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1. Introduction to The Bancroft Library

Although The Bancroft Library officially dates from 1905, when the University of California acquired Hubert Howe Bancroft's personal library, it was actually born some forty-two years earlier, when Bancroft, while assisting the editor of a projected guide book to the Western States, discovered seventy-five volumes pertaining to California and the West on the shelves of his own San Francisco bookstore. Suddenly bitten by the collecting bug, the native of Ohio began accumulating works on the history of his adopted state. Over time the scope of his interests came to encompass the entire Trans-Mississippi West, extending from Alaska to Central America to Hawaii.

Ultimately, Bancroft saw his collection as history awaiting an author. Unable to find scholars willing to tackle his massive accumulation of books and manuscripts, Bancroft elected to write it himself, with assistance from a staff of interviewers, transcribers, and authors. The final work encompassed thirty-nine volumes, covering The Native Races, Central America, Mexico, The North Mexican States and Texas, Arizona and New Mexico, California, The Northwest Coast, Alaska, and the remainder of the American West.

Had Bancroft been only a collector and a writer, his contribution to history would have been immense. But because so many of the leading figures in California's history were still alive, Bancroft had the opportunity to acquire original documents, such as those of General Mariano Guadalupe Vallejo, and the estate of Sir James Douglas, once governor of British Columbia. If he could not secure original documents, he had transcriptions made of relevant portions, as in the case of the Archives of Spanish and Mexican California then in the hands of the U.S. Surveyor General. And when there were no documents at all, he created them by seeking out and interviewing historical figures. These Bancroft Dictations are among the most valuable documents in the collection.

Bancroft's history project was completed in 1894. Realizing the value to posterity of his collection, he sought a permanent home for it, eventually selling it for a fraction of its value to the University of California, with the provision that it be maintained as a separate library, and that the core collection be added to over time.

First housed in the attic of California Hall, and then in the Doe Library, The Bancroft Library moved into its present location, in the Doe Annex, in 1973. At the same time, the original scope of the library was enlarged to include a number of other special collections, including the former Rare Books Collection. The Bancroft Library now includes the Mark Twain Papers and Project, the Regional Oral History Office, the Center for Tebtunis Papyri, the University of California Archives, the History of Science and Technology Program, the Magnes Collection of Jewish Art and Life, and the Pictorial Collection. It has become one of the largest and busiest special collection libraries in the United States.

As an intern, volunteer or staff person working with archival collections, you will be taking an active and much needed role in preserving history. The ultimate goal of gathering, maintaining, and processing these records is ensuring they are both preserved and made accessible to researchers.

It is the job of the archival processor to prepare collections of materials for use by researchers and the general public. The archival processor reports directly to a supervising archivist, who is responsible for the processor’s training and guidance. Collections vary greatly in size and may take anywhere from a few hours to many months to arrange and describe.
2. Overview of Processing

Archival collections are wonderfully diverse. They may contain letters, diaries, ledgers, receipts, sound recordings, pictorial materials, and documentation in other formats, and range in size from a single item in a folder to thousands of items in hundreds of cartons. Some arrive in file folders, beautifully organized and labeled; others arrive loose in garbage bags. Because of this variety, there can be few hard and fast rules for processing manuscript collections. There are, however, standards, policies, and procedures that must be applied with common sense and flexibility.

Processing is typically thought of as arranging, describing, and cataloging archival collections. This manual divides processing into a number of tasks: preliminary research and survey, planning, arrangement, description, and preservation.

Not every processing project will proceed in the orderly sequence described in this manual. Some tasks will be undertaken simultaneously or in a different order and not all tasks will be performed for every collection. When deciding how much to do and in what order to do it, remember that your goal is to preserve the materials and make them accessible. If you have any questions, always consult your supervising archivist for assistance.

When you begin to process a collection, you will first become familiar with the background of the creators of the papers, the history of the collection, and the papers themselves. You will prepare a processing plan, which you will present to and discuss with your supervising archivist. Your plan may be modified at this point to ensure that it conforms to the Bancroft’s usual practices and that the projected level of work is appropriate given the research potential and condition of the collection and the time available for processing. This plan is a working document that will be reviewed and revised as you process the collection.

You are now ready to implement your proposed plan. You will put the materials into the order agreed upon in your processing plan (with necessary modifications, of course) and then complete requisite preservation work. As you work through the collection, you will take notes on everything, chiefly to record the information that you will need when writing your finding aid. These notes will also serve to refresh your memory if you are gone from your project for an extended period of time. They will also provide helpful tracks should someone need to find materials in your absence or take over the project.

As you process, you will begin writing the collection's finding aid. It is usually easier to describe the materials as you go through them, rather than wait until you have everything arranged and then try to remember what you saw days or weeks ago. In fact, you may write a draft of the biographical or historical note as soon as you finish your background research and later add any essential information gleaned during processing. Similarly, it is usually a good idea to write series descriptions as you go through the collection and make needed revisions, if any, after you have gone through the whole collection. As you will find out later in this manual, it is usually good practice to write your collection overview and abstract last.
3. Preparing to Process

3.1. Preliminary Research and Survey
Getting an overview of your collection and preparing a processing plan are the first major steps in processing. You will begin by preparing the plan on the form provided. Throughout the project, you will meet with your supervising archivist to review and modify this plan as appropriate.

The first thing you need to determine is whether you are

- processing a new collection; or
- adding to an already established collection in which:
  o the addition can be made to follow the pattern of the existing finding aid;
  o the addition requires that minor revisions be made to the existing finding aid;
  o the addition is added to the end of the collection and separately maintained; or
  o very rarely, the addition changes the collection to such a degree that it is necessary to reprocess the entire collection.

3.1.1. Where to Begin
Before you start processing, you will want to get a sense of the history of both the collection and the creator of the papers, be it an individual, family, or organization.

3.1.1.1. Collection History
A good place to start the search for information about the history of the collection is with the collection file. Collection files generally contain information essential to processing: file descriptions and folder lists, notes on the original arrangement of the papers and how they were transferred, special conditions of the gift, purchase, or loan/deposit and disposition of discards as outlined in donor agreements, details on access restrictions, letters from researchers concerning the papers, and other material. You may wish to organize the collection file before proceeding to the papers themselves, so that the file presents a clear picture of what is known about the collection's history.

You will add some information, such as restrictions on access and disposition of discards and non-record items, to your processing plan. Collection files must be checked out by using an out card (make sure to indicate month and year you removed the file, your initials and the call number of the collection).

An important determination to make at this point is whether any restrictions apply to all or part of your collection. If the collection has restrictions, you will need to segregate such material and label it, to ensure that restrictions on use will be clear to staff and to researchers. In the finding aid, you will need to let researchers know the details, including how long these items are closed.

3.1.1.2. Historical Context
To process effectively, you need enough information about the creator of the papers to answer basic questions about the collection: who, what, when, and where. If you exhaust the possible sources and still come up empty, the papers themselves become the chief resource. The donor may also be a source of information about the institutional or biographical information of the creator.

3.1.1.3 Related Collections
It is also important to identify other collections the Bancroft may hold related to your collection. These may be previous accessions from the same donor, pictorial collections, family papers or organizational records. Determining what other collections exist can help you in structuring series, determining what materials might be separated and in providing a complete description of Bancroft holdings to researchers.
3.1.2. The Survey
Having gained some sense of the collection and its historical context, you are ready to examine the collection itself. If space allows, spread out all of the boxes and open them. Scan the papers to get a feeling for their scope and content. Skim. Do not spend too much time on any one item. Resist the temptation to read every document or begin arranging and describing. At this point, just try to get a picture of what the collection is like.

As you begin to look through the containers, remember to handle the materials gently. Folder labels often flake off and delicate manuscripts can easily tear. Slowly remove small handfuls of papers; after examining them, return them carefully to their original place. Books, bound volumes, photographs, tapes, discs, and other material in a manuscript collection deserve the same care.

3.1.2.1. On the Lookout
Since your survey and analysis of the papers will form the basis of your processing plan, you will want to look for certain things in the papers as you go along. Look at the processing plan form and see what elements are needed. Take particular note of the following features of the collection:

- **Provenance**: The collection file should tell you from whom we received the papers. What person, organization, or office actually generated and/or accumulated the material? Have the papers passed through a series of hands? Check the accuracy of the name given to the collection (collection creator) remembering that, especially with new collections, the name assigned at accessioning is a preliminary judgment call and may not reflect the true nature of the papers.
- **Names**: Look out also for basic identifying information about the collection creator and other major players in the collection. In particular, take note of essential names and dates.
- **Arrangement**: Observe the arrangement of the papers. Can you discern a purposeful order? Are the papers in file folders? If so, do the folder headings appear to be accurate and meaningful? Are there lists of folder headings at the beginning of a file? Is there an index? Does the collection seem to be in its original order or has someone, either the creator or someone else, imposed another order? How well does the current arrangement provide access to the information in the papers? Look for related groupings of material. Sets of material in the papers are the basis of subcollections, subgroupes, series, and subseries--the building blocks of every arrangement scheme. Is the current arrangement of the papers usable? If not, what arrangement might be appropriate? If the papers seem to be in no particular order, are there series that you can create to facilitate use of the collection?
- **Content**: As you scan the papers and briefly examine selected items, try to form an impression of what the collection is about. What are the major subjects and research strengths? How well do the papers document the various aspects of a person's or an organization's history? Is there anything missing? Do some materials seem not to fit with the rest of the collection?
- **Format and Physical Condition**: These aspects of the papers are almost as important as the content in deciding what to process and what levels of processing will be used. Are most of the items letters, legal, or oversized? Are there duplicates? Are there photocopies? What condition is the paper in? Is mold visible? Are there peculiar odors? Is the handwriting legible? What formats other than paper are in the collection? What condition are these other materials in?

In addition, you will want to note:
- approximate earliest and latest dates of the papers (inclusive dates);
- approximate earliest and latest dates of the bulk of the papers (bulk dates);
- frequent or prominent correspondents;
- major figures and major events in the life of an individual or in the history of an organization;
• major occupations of individuals or major functions of an organization;
• towns, counties, or other locations that are well-documented;
• confidential or sensitive materials, such as transcripts, medical or personnel records, and case files of third parties
• languages (other than English).

Keep whatever information you gather. It will be helpful in making decisions about arranging your collection, and will also be useful in processing plan discussions with the supervising archivist.

3.1.2.2. Taking Notes
Take notes from beginning to end. Your notes will help you make better processing decisions and will also help when you write the finding aid at the end of the project. Writing down information as you see it can save much time later on. Use your judgment about how much to write, but err on the side of taking more rather than fewer notes. Backtracking to locate something you forgot to note can be extremely frustrating.

Processing notes tend to fall into one of two categories:
• Content notes help in writing the finding aid and in cataloging the papers through name and subject access points.
• Sorting notes are aids in arranging the papers—clues, facts, perceptions, and educated guesses that might help in determining a workable order for the collection. Examples include reminders to yourself about locations of individual items in the papers and hunches about the name the creator gave to a certain file.

Leave tracks as you go. Label the boxes, your stacks of material, and your notes. Document your work so that someone else could carry on in your absence. Leave notes to yourself if you know that you will be leaving this project to work on another or be away for any extended period of time.

Do not lose sight of the idea that your task at this point is to survey. Pace yourself accordingly.

Although every manuscript collection is different, a very thorough overview of a medium-sized collection (10 to 15 cartons) should not take more than a few days; as your experience grows, a relatively small collection may reveal its salient points to you within minutes.

3.2. Writing a Processing Plan
Your analysis of the collection will result in a processing plan. This plan should be written down on the processing plan form and discussed with your supervising archivist. The plan becomes an important document, providing a framework and continuity for the project. You and your supervising archivist will refer to it regularly and adjust it as necessary throughout the course of the processing work.

As you read these sections, bear in mind that you will have to make decisions on the following points:

• Overall arrangement scheme: list proposed series and subseries, if any.
• Arrangement within series and subseries.
• Levels of processing for each series: Should material be arranged to the container, file, or item level?
• How much refolding and relabeling is appropriate? How extensive should you make each series description (narrative plus folder/file listings)?
• Biographical/historical note: How extensive will it be? What form will it take? How accessible is pertinent information?
• Discards: What kinds of material will be returned, transferred, or trashed? There are some kinds of materials that are simply not appropriate for retention. (See Appendix A).
• Supplies: Are there any unusual needs for supplies—large numbers of folders (thousands) or containers (50 or more), or other special needs?
• Duration: How many total hours will the project require? What is a realistic project completion date?

• Other considerations: Are special indexes or unusually detailed cataloging warranted? Are there unusual conservation needs? There may have been promises made to the donor (for photocopies, etc.). How will these affect the project? What else needs to be kept in mind as the work proceeds?

The plan is a working document. You should expect changes and modifications to occur. See Appendix B for a sample form.
4. Arrangement

Arrangement is the process of organizing a collection to achieve physical and intellectual control over its materials. It is probably the most important activity a processor performs. In organizing the collection, it is important to consider the intended structure of the finding aid as well as the materials themselves, and the potential needs of future users.

Physical Arrangement: The actual physical arrangement of the items in a collection may or may not parallel the intellectual arrangement: items that are described together may be stored separately because of their different size, shape, or physical format. Since decisions about physical arrangement are made primarily to enhance preservation, physical arrangement is treated in the Housing and Preservation section.

4.1. Original Order

A basic archival principle is to preserve original order. Maintaining the original order established by the creator of a collection preserves contextual information, as well as information regarding the creator, that may be important to researchers. Using the original arrangement scheme may also save the processing staff valuable time and effort.

However, it will sometimes be necessary to impose a workable arrangement on the collection when no discernible order exists. If it is apparent that the order was not established by the creator and is not helpful in using and understanding the collection, or if the original order seriously impedes use of the collection by researchers, it is the archivist’s responsibility to devise and implement a better arrangement plan.

4.2. Processing and Control Levels

Due to limited staffing and the desire to make as many collections accessible to researchers as possible, most collections at The Bancroft Library will be minimally processed. This means that refolding will be done only when needed, fasteners and duplicates may not be removed, and arrangement will not go below the series level (no subseries). Minimal processing helps to eliminate our backlog of "hidden collections" in favor of providing broad, if not always deep, access to all of our collections in a timely fashion.

Collections with high research value or funding may allow for more in-depth processing. The supervising archivist will notify the processor if the collection is to be processed in-depth.

Different series of collections may be processed at different levels based on perceived research value and existing order of groups of records.

The level of processing will generally determine the appropriate control level. Control levels affect such mechanical operations as the amount of folder labeling, refolding, and item-level conservation, as well as how detailed the description will be.

4.3. Subdividing the Collection

4.3.1. Series and Subseries

Collections usually divide into logical units of some sort. These parts are usually established as series, which may be further divided into subseries. A series is a group of files or documents kept together because of some connection arising out of their creation or use. A series might be a body of records arranged under a single filing system, or kept together as a unit because it relates to a particular function or has a particular physical form.

Identifying the series will be straightforward in a well-kept collection, where files arranged as a single unit constitute a series. In other cases, series must be constructed on the basis of
other unifying characteristics—their genre type or form or their relationship to some subject or activity. Thus, series and subseries may be genre or format-based or they may be based on the separate activities or functions of the creator of the papers, or they may be a hybrid of all of these.

Oftentimes, various types of collections, such as faculty papers or organizational records, may have similar series. In such cases it is useful to refer to Standard Series (see Appendix C) in organizing a collection.

Although series can be many and varied, a certain amount of restraint, largely guided by common sense, should be applied. Each different format of material does not necessarily need its own series. If you have audiotapes, for example, they might form their own series or become part of a series when they fit intellectually with other materials. Or they might wind up in an “audiovisual materials” series with other A/V materials that don’t relate to anything else.

4.3.2. Genre/Format vs. Activity/Function vs. Hybrid Arrangements

When arranging a collection, we want to establish a framework that will enable the researcher to see the various parts of a collection without losing sight of the whole. There is no one best arrangement scheme—every collection is different in its own way—but generally speaking, intellectual arrangement takes precedence over format arrangements, because the former conveys more information that is valuable to potential researchers. Collections often will require a hybrid arrangement approach, grouping material by some combination of genre, format, activity, and function.

<table>
<thead>
<tr>
<th>Arrangement</th>
<th>Definition &amp; Usage</th>
<th>Series Examples</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Genre/Format</td>
<td>Genre/format arrangement groups materials of the same genre or format together.</td>
<td>correspondence, writings, organizational records, financial materials, legal</td>
<td>Examples of type series are correspondence, writings, and financial materials. A variety of formats may be found within each of these series (i.e. Correspondence series in the Henry May papers or “Writings” series in the Gwendolyn Brooks papers. See Appendix D).</td>
</tr>
<tr>
<td></td>
<td>Often used when a collection arrives in little discernible order, and in many cases is adequate to meet researchers’ needs. May also be used to highlight a format that researchers might be interested in, regardless of the collection from which they come.</td>
<td>materials, subject files, research notes, printed material, audiovisual materials, electronic media, artifacts</td>
<td>Examples of format series are audiovisual materials or electronic media. A variety of subformats may be found within each of these series.</td>
</tr>
<tr>
<td>Activity/Function</td>
<td>Activity/function arrangements group materials by central ideas rather than physical attributes.</td>
<td>personal correspondence, business correspondence, press files (or publicity)</td>
<td>Many activity/function series names will be proper nouns specific to the creator (i.e. Black Panther Party materials in the Eldridge Cleaver Papers. See Appendix E).</td>
</tr>
<tr>
<td>Hybrid</td>
<td>A mixture of genre/format and activity/function arrangements.</td>
<td>All of the above</td>
<td></td>
</tr>
</tbody>
</table>

- 12 -
### 4.3.3. Sequence of Series

There are no hard and fast rules governing the sequence in which series and subseries appear. Because collections contain such a wide variety of materials and because types of materials are of varying degrees of significance within collections, no predetermined order will be satisfactory in all cases.

The best guideline is to arrange series in order of research value. Displaying a collection's strengths assists researchers in determining its potential value to their work. In a great number of collections, the correspondence series contains the most valuable research materials; in these cases, the correspondence series comes first, followed by other series in descending order of importance. Choose an order that clearly displays the collection's contents. The more logically the series are ordered, the easier the collection will be to describe and for researchers to use.

### 4.3.4. Reference Charts for Organizing Collections

The following two charts are meant to guide you based on the type of collection you are processing.

<table>
<thead>
<tr>
<th>Records Collections</th>
<th>Common Series</th>
<th>Characteristics</th>
<th>Arrangement Considerations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Administrative Files</strong></td>
<td>Constitutions, bylaws, policies and procedures, forms, memos, transactions, minutes, proceedings, reports</td>
<td>Organize into subseries, if necessary.</td>
<td></td>
</tr>
<tr>
<td><strong>Financial and Legal Records</strong></td>
<td>Deeds, contracts, wills, depositions, estate inventories, briefs, bills and receipts, statements, ledgers, cash books, day books</td>
<td>Financial and legal materials are often arranged into one series. A complex or large group of financial or legal materials may demand individual series that require further division.</td>
<td></td>
</tr>
</tbody>
</table>
| **Correspondence** | Incoming/outgoing letters, telegrams, cards | Determine arrangement. Maintain original order if there is one. If you must impose an arrangement in order to make the correspondence accessible, the following are the most common:  
  • Chronological  
  • Alphabetical  
Many collections have a single correspondence series, entitled Correspondence. Other collections have multiple series or subseries of correspondence. Possible titles include , Personal Correspondence, Professional Correspondence, etc. |
<p>| <strong>Publicity</strong> | Newsletters, press releases, brochures, clippings, scrapbooks | Organize into subseries by format, if necessary. |
| <strong>Subject Files</strong> | Depends on collection | Maintain original order, if possible. If no order can be discerned, impose the simplest order possible (alphabetical, chronological, geographical, etc.). |</p>
<table>
<thead>
<tr>
<th><strong>Common Series</strong></th>
<th><strong>Characteristics</strong></th>
<th><strong>Arrangement Considerations</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Biographical/Personal Files</td>
<td>biographical documents (such as birth certificates, death certificates, report cards, etc), genealogical materials, family history materials, certificates and awards, diaries, memoirs</td>
<td>Organize into subseries, if necessary. If something is significant enough (in volume or importance) to constitute its own series such as School Work or Awards and Recognition, go ahead and create a separate series for it. For example, if there are a significant number of personal diaries, you might create a series called Diaries.</td>
</tr>
</tbody>
</table>
| Correspondence | incoming/outgoing letters, telegrams, cards | Determine arrangement. Maintain original order if there is one. If you must impose an arrangement in order to make the correspondence accessible, the following are the most common:  
- Chronological  
- Alphabetical (especially for literary collections where the “who” may more important than the “when”).  
Many collections have a single correspondence series, entitled Correspondence. Other collections have multiple series or subseries of correspondence. Possible titles include Family Correspondence, Personal Correspondence, Professional Correspondence, etc. |
| Professional Activities | files on professional activities and organizations | Organize into subseries by format, if necessary. |
| Subject Files | depends on collection | Maintain original order, if possible. If no original order can be discerned, impose the simplest order possible (alphabetical, chronological, geographical, etc.). |
| Research Materials | notes, remarks (often for specific projects) | Organize into subseries, if necessary. If research culminated in a particular project (book, etc.), note this for the researcher. |
| Writings | speeches, journal articles, stories, manuscripts of books, pamphlets, poems, memoirs, sermons, essays | Separate writings by creator and those by other authors. Then separate into categories such as essays, stories, poems, etc., if necessary. |
| Photographs | photographs, negatives, photograph albums | Organize into subseries, if necessary. |
| Audio-Visual | video-tapes, audio reels and tapes, films, audio CDs, DVDs | Audio, film, video, and electronic media may require their own series or they may be embedded in other series. These series are often arranged chronologically, but may also be grouped by creator or subject. |
4.3.5. Arrangement of Files within Series and Subseries

Once you have the collection sub-divided into series and, if necessary, subseries, you must decide on how to order the individual files within these larger categories.

NOTE: there are many instances when arrangement of files within series and subseries is UNNECESSARY (especially with smaller collections).

If a collection requires arrangement of files, consider the following:

1. Go with the series or subseries’ original order if at all possible.
2. Sometimes files or items arrive with a pre-existing numbering scheme. If this scheme is still viable, it should be maintained, although you may have to superimpose another order to place the pre-numbered materials within the collection. In this case, you must be sure to include an explanation of the creator-generated arrangement in the appropriate descriptive passage.
3. If the papers are in relatively good order when they come in, there may be no need for further arrangement below the series level.
4. Only impose an arrangement when the anticipated improvement in access justifies the cost in time taken to arrange within series.

### Arrangement Schemes for Files in Series or Subseries

<table>
<thead>
<tr>
<th>Arrangement Schemes for Files in Series or Subseries</th>
<th>Commonly Applied to:</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alphabetical</td>
<td>Subject Files</td>
<td>Most literary researchers would prefer an alphabetical listing of correspondents that they can scan for names of interest compared to searching through chronological files.</td>
</tr>
<tr>
<td></td>
<td>Correspondence (especially in literary collections)</td>
<td></td>
</tr>
<tr>
<td>Chronological</td>
<td>Correspondence</td>
<td>Files that arrive in reverse chronological order are normally kept that way. When you are imposing chronological order, however, follow the more normal order from earliest to latest date. Undated items should follow dated items. Items having multiple dates (usually financial or legal items) should be filed by the latest date.</td>
</tr>
<tr>
<td></td>
<td>Financial records</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Annual reports</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Minutes</td>
<td></td>
</tr>
<tr>
<td>Geographical</td>
<td>Travel files</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Data files</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fund-raising material</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Some subject files</td>
<td></td>
</tr>
</tbody>
</table>
4.4. Restricted Materials

Occasionally in the course of processing, you will come across confidential materials or the donor may have imposed a restriction on the collection as a whole or on a series of materials.

4.4.1. Donor Imposed Restrictions

Donor-imposed restrictions should become evident upon reviewing the collection file as every deed of gift has a statement either allowing access to the collection as a whole or spelling out any restrictions put in place by the donor. This information may also be found in MyECMS.

4.4.2. Sensitive Materials

In the course of processing any collection, you should also be on the lookout for sensitive materials. In the case of in-depth processing, this will consist of reviewing the entire collection for legally-restricted materials (such as student records or social security numbers) in the course of arranging and describing. In the case of minimal processing, this will entail identifying those types of materials that may have sensitive information (such as a professor's papers) and trying to identify clutches of such materials (but without reviewing every piece of paper).

In the case of minimally processed collections it is also useful to include the following note in any finding aid:

Even though all reasonable and customary best-practices have been pursued, this collection may contain materials with confidential information that is protected under federal or state right to privacy laws and regulations. Researchers are advised that the disclosure of certain information pertaining to identifiable living individuals represented in this collection without the consent of those individuals may have legal ramifications (e.g., a cause of action under common law for invasion of privacy may arise if facts are published that would be deemed highly offensive to a reasonable person) for which the University of California, Berkeley assumes no responsibility. This statement is used when the processor has reason to believe that sensitive materials exist in the collection, but for various reasons is not able to identify and/or remove them before making the collection available to researchers. For more about sensitive materials, see Processing Guidelines for Materials containing Confidential/Privacy Issues (Appendix F).

4.4.3. Identifying and Housing Restricted Materials

If the collection has restrictions, you will need to segregate restricted material and label it to ensure that restrictions on use will be clear to Public Services staff and to researchers.

NOTE: Any restrictions to an otherwise open collection should be noted in both the MARC record (Field 506) and in the Access Note of the Finding Aid. See Description 5.1 for examples of access and usage restriction statements.

If all or some materials in a box are restricted, be sure to stamp "RESTRICTED" in red on the box label to alert Public Services staff to advise patrons of the restriction. Closed items are always isolated in their own boxes and filed at the end of the collection. The box label minimally should include the collection number, the collection creator, and be stamped “RESTRICTED” in red on the label. Series or subseries information may be included on the label if appropriate.
5. Description

Description is the process of describing a collection to allow researchers to identify, not only the collection, but its contents. It is especially important to provide a good description to large collections which might otherwise prove unwieldy for research. In describing our collections, we should both aid the researcher in discovery of our holdings and in determining which containers of a collection might be most pertinent to their research.

Levels of Description: Depending on the size or perceived interest in the collection (or various series within the collection) description levels may vary.

5.1. The Catalog Record

Every collection that is held by Bancroft is given a catalog record, regardless of size. Records are not considered "final" until all required elements have been entered. Often "skeleton" records are created upon accession. These contain very basic information, which, upon further processing, often changes. This is often the case with date ranges. Once a collection is processed, you should work with your supervisor to catalog the collection. Much of the information used in the catalog record will be duplicated in the Finding Aid and vice versa. Examples of content are provided below (for more information refer to Describing Archives: A Content Standard, or DACS). See MARC Template for Collection Records in OCLC (Appendix G) for formatting.

<table>
<thead>
<tr>
<th>MARC Field</th>
<th>Content Description</th>
<th>Example</th>
</tr>
</thead>
</table>
| 245: Title (DACS 2.3 and 2.4) | The MARC title includes two elements:  
Collection title: The collection title is almost always "papers" for a collection comprised of the papers of an individual or family. Use "records" for the records of organizations or other corporate entities.  
and  
Collection dates: The collection's inclusive dates, showing the earliest and latest dates of the materials. If you are minimally processing, dates may be somewhat vague (e.g., 1970s or circa 1865-1910). In some collections, you will find material from a range of years, but a large majority from a smaller range of years.  
For example, the William Randolph Hearst papers contain material dating from 1874 through 1951, but most of the collection dates from 1927 through 1947. Thus, the inclusive dates of this collection are 1874-1951 and the bulk dates are 1927-1947. | Hearst, William Randolph, 1863-1951. |
| 300: Extent (DACS 2.5) | Record the extent or size of a collection as both container counts (by type) and linear footage.  
Linear feet are calculated according to the | 14 boxes, 46 cartons, 9 oversize boxes, 8 oversize folders (67 linear feet) |
<table>
<thead>
<tr>
<th>MARC Field</th>
<th>Content Description</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>containers used, whether or not these boxes are full. See Housing and Labeling Conventions <a href="#">Appendix H</a> for container measurements in linear feet.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>351: Collation (DACS 3.2)</td>
<td>This element is only used for collections larger than 1 container but not large enough for a container listing/ finding aid (generally those smaller than 5 containers).</td>
<td>Carton 1: Correspondence, interviews, and drafts. Carton 2: Drafts and notes. Oversize folder 1: Notes and timelines.</td>
</tr>
<tr>
<td>506: Restrictions (DACS 4.1)</td>
<td>Any restrictions to the collection (either physical impediments or restrictions on access) will be recorded in a 506 field. When you prepared your processing plan, you consulted the collection file to determine whether any restrictions apply to all or part of your collection. In arranging your collection, you may have segregated restricted material and labeled it to ensure that restrictions on use will be clear to Public Services staff. In the finding aid, you need to let researchers know what restrictions to expect. If you have any questions about how to word your usage restriction note, consult your supervising archivist.</td>
<td>Generally every Bancroft collection has at least one 506, noting that all or some components of the collection are held off-site (at the Northern Regional Library Facility, or NRLF): COLLECTION STORED, IN PART, OFF-SITE: Advance notice required for use. However in some cases a collection does have a restriction and it should be explained in a separate 506 field: RESTRICTED BOX 1: Sealed until 2023 at the request of the donor.</td>
</tr>
<tr>
<td>520: Abstract (DACS Ch. 3)</td>
<td>A short summary of the contents of the collection. When a full finding aid has been written for the collection, it is often the first paragraph of the Scope and Content Note. The summary should consist of one or more sentences giving an overview of the materials found in the collection and placing both the creator and the papers in context in terms of time and place. If the bulk of the papers focus on a narrower time period than the collection's dates, the opening sentence is the proper place to indicate this. The remainder of the abstract should list major persons and events reflected in the collection.</td>
<td>Consists of a portion of William Randolph Hearst's business and personal office files primarily for the years 1927-1929, 1937-1938, and 1944-1947. The papers present an overview of Hearst's newspaper empire and his management and editorial styles; provide a glimpse into his filmmaking; and an incomplete picture of his acquisitions of antiques, art, and property. Also includes a small amount of correspondence with architect Julia Morgan about the construction of Hearst Castle. The bulk of the collection concerns the editorial management of his newspapers, magazines, and related companies.</td>
</tr>
<tr>
<td>MARC Field</td>
<td>Content Description</td>
<td>Example</td>
</tr>
<tr>
<td>------------</td>
<td>---------------------</td>
<td>---------</td>
</tr>
<tr>
<td>546: Languages Represented (DACS 4.5)</td>
<td>Note primary languages found within the collection.</td>
<td>In English and Spanish.</td>
</tr>
<tr>
<td>530: Alternate Formats (DACS 6.2)</td>
<td>Note any alternative formats, such as transcripts or microfilm of portions or all of the collection.</td>
<td>Digital reproductions of selected images are available.</td>
</tr>
<tr>
<td>524: Preferred Citation (DACS 7.1.5)</td>
<td>Note the proper citation format for the collection, based on MARC Template for Collection Records in OCLC.</td>
<td>Preferred citation: William Randolph Hearst papers. BANC MSS 77/121 c, The Bancroft Library, University of California, Berkeley.</td>
</tr>
<tr>
<td>541: Acquisition Information (DACS 5.2)</td>
<td>The acquisitions information note makes a simple statement of where materials came from, using &quot;Gift of&quot; for donor gifts and loans, &quot;Purchased from&quot; for bought items, and &quot;Transferred from&quot; for interdepartmental transfers.</td>
<td>Multiple accessions from different donors, vendors, or transferring departments call for multiple entries, each listing the source, its location, and the year(s) of acquisition: Gift of William Randolph Hearst, Jr., Austine Hearst, and the Hearst Corporation, 1972. Additions: Gift of Austine Hearst, 1975.</td>
</tr>
<tr>
<td>544: Related Collections (DACS 6.3)</td>
<td>List other collections within Bancroft or in other institutions that contain materials complementing or in some way connected to the collection in hand. This connection must be a close and substantial one for collections to be considered related. Family relationship or acquaintance is not sufficient grounds for listing a collection as related; for that, the material in the two collections must have some real relationship.</td>
<td>Names of in-house related collections usually are listed first, followed by their collection number in parentheses: George and Phoebe Apperson Hearst Papers (BANC MSS 72/204 c)</td>
</tr>
<tr>
<td>544: Separated Materials (DACS 6.3)</td>
<td>Note what (if any) materials have been filed separately from the main portion of the collection. Generally this occurs to better serve non-manuscript formats, such as audio-visual materials or photographs. List the type of materials transferred, unit transferred to and, if known, the call number of the transferred materials.</td>
<td>Photographs transferred to the Pictorial Collections of The Bancroft Library (BANC PIC 1977.118--PIC).</td>
</tr>
<tr>
<td>545: Biography/Historical Note (DACS Ch. 10)</td>
<td>This is not a full biography or history, but a ready reference that presents an overview of the creator's life or history. It should be no more than one or two sentences which</td>
<td>William Randolph Hearst was an American journalist, publisher, and politician.</td>
</tr>
</tbody>
</table>
researchers can use to confirm that the John Smith papers are in fact the papers of the particular John Smith they are researching.

**Example**

Finding aid available in the library and online.

Collection processed at folder level in 1999.

**Index Terms**

Required to include at least three terms. They may be personal name(s), family name(s), corporate name(s), formal or supplied title(s), subject(s), geographical name(s), genre/form term(s), occupation(s), or function(s) as found in a major thesaurus, such as Library of Congress Subject Headings (LCSH)

Only names and subjects significant enough to receive mention in the finding aid merit consideration as index terms.

**5.2. The Finding Aid**

The basic information in the catalog record is augmented to produce a Finding Aid. Depending on the level of processing, a Finding Aid may be a voluminous and detailed tome or a simple summary of the collection with a listing of each container's contents. Generally finding aids are only created for collections larger than 5 cartons (or 6.25 linear feet).

The following sections lay out the basic finding aid content and the basic procedures for describing a collection's arrangement.

With the advent of Encoded Archival Description (EAD), descriptions must be somewhat more standardized and the tools in which we input information are constantly changing. However, the basic information remains the same.

The chief parts of a standard finding aid are:

- Collection Summary
- Information for Researchers
- Administrative Information
- Biographical/ Historical Note
- Scope and Content
- Series Description
- Container Listing

While styles have changed over the years, be assured that the goal has remained constant. Remember that the chief function of the document you are producing is to tell researchers about your collection. With these researchers in mind, you have arranged the collection in a clear and logical fashion; now describe it in a similar way.
Refer to DACS for further descriptions of content elements and the Finding Aid Template (Appendix I) for formatting of text.

Once you have gathered the necessary information, you will need to refer to the WebGenDB (WGDB) Guide in order to input the finding aid.

5.2.1. Content

5.2.1.1. Collection Summary

The collection summary contains basic identifying information and an abstract of the collection. All of this information will duplicate that found in the MARC record. Fields include:

- Collection Title
- Collection Dates
- Collection Number
- Creator/Collector
- Extent
- Repository
- Abstract
- Languages Represented
- Physical Location

See Finding Aid Template (Appendix I) for details.

5.2.1.2. Information for Researchers

This section provides basic information of particular relevance to researchers, such as whether or not the collection is open for research. Again, most of this information will duplicate that found in the MARC record. Fields include:

- Access
- Publication Rights
- Preferred Citation
- Alternate Forms Available
- Additional Notes on Collection
- Related Collections
- Separated Material
- Indexing Terms

See Finding Aid Template (Appendix I) for details.

5.2.1.3. Administrative Information

This section provides basic information about the administration of the collection. Again, most of this information will duplicate that found in the MARC record. Fields include:

- Acquisition Information
- Accruals
- Processing Information

See Finding Aid Template (Appendix I) for details.
5.2.1.4. Biographical or Historical Note (DACS 2.7 and Chapter 10)

This section of the finding aid is headed "Biographical Note" when its focus is the life of one or more individuals and "Historical Note" when it deals with the history of an organization. The biographical/historical note provides a rudimentary context for the descriptions that follow. It is not a biography or a history, but a ready reference that presents an overview of the creator’s life or history, and details those aspects critical to a researcher's work with the papers.

The biographical/historical note should be brief—from one paragraph to several pages in length, but only rarely more than two pages. A narrative biographical/historical note may be warranted by the complex or multi-dimensional career of the subject. Often, however, this information can be presented chronologically in timeline form. Remember that the purpose of the note is to provide the researcher with a ready reference to the subject's activities, so that information in the rest of the finding aid will have greater meaning. A statement in the series description to the effect that there is correspondence for a certain span of years, for example, is made much more effective if the biographical note indicates that during those years the subject was in school or running a business or retired and engaged in community work. Emphasis should be on that portion of the subject's career to which the bulk of the collection relates.

It is sometimes possible simply to lift or adapt a note from another source (be sure to credit the original). Biographical or historical data may be abbreviated when the reader can be referred to standard sources such as the *Dictionary of American Biography* or to other readily available biographical or historical directories. However, basic data should be included in the finding aid even when such condensation takes place.

The nature of the collection may help to determine the structure of the biographical/historical note. Not all collections relate to only one person or organization. Some consist of letters of two correspondents, family papers, autograph collections, subject collections, or other forms.

5.2.1.5. Scope and Content (DACS 3.1)

The collection overview briefly describes the collection's contents and may discuss the distribution and quality of materials in the collection. It usually consists of only one or two paragraphs and seldom exceeds one page. The first paragraph is used as the abstract, which is the same as the 520 field in the MARC record.

In addition to a collection overview, you may want to evaluate how well the collection documents significant facets of the creator's life or history. You should also mention material, if any, that a researcher might not expect to find in this collection. For example, Archie K. Davis was chair of the board of Wachovia Bank, but his papers contain very little about Wachovia, focusing rather on his historical research, his terms as president of the American Bankers Association and United States Chamber of Commerce, and his political activities. Reference to special circumstances surrounding provenance or other matters is appropriate when you feel the need to explain why the papers are constituted the way they are. An explanation of how the arrangement scheme was established is often appropriate.

For examples of collection overviews, see the following finding aids:

Robert Matsui Papers (BANC MSS 2008/101)
NAACP, Region I Records (BANC MSS 78/180)
Gwendolyn Brooks Papers (BANC MSS 2001/83).
5.2.1.6. Series Description (DACS 3.2)

A series description is composed of:

The Heading-- Series title/inclusive dates/extent/arrangement scheme.
The Narrative Description-- a short summary of the contents of the particular series.

5.2.1.7. Container Listing

This is simply a listing of the materials found within each container of the collection. The Container Listing can describe materials at the folder or container level, depending on the level to which the collection is processed and descriptive need. The listing will include container information (type/number/folder if relevant), title, and date span for the contents of the listed element (box/carton/folder).

5.2.2. Styles and Formatting

Styles and formatting of Bancroft Finding Aids should be based on DACS. For questions regarding grammar and style that cannot be found in the Processing Manual or DACS, refer to the Chicago Manual of Style.

According to DACS, all abbreviations must be spelled out in the container listing.

5.2.2.1. Names

In general, the formatting of titles and names should follow those outlined in DACS Chapter 12. Below are some key stylistic/filing standards that often come up in the course of processing. Remember the most important factor when formatting and filing on names is consistency within the collection.

- Capitalize the names of all institutions, associations, conferences, companies, religious denominations or orders, local churches, international organizations, political parties (but not political systems, i.e. capitalism) and government bodies.
- Generally, personal correspondence should be filed by last name. In the container list use full name, last name first. Use direct order for names of corporate entities. These names are not necessarily the authority file version.
  - E.g.: Brower, David
  - or David Brower and Associates
- If there are two names, use direct order for the second name:
  - E.g.: Stevens, Thaddeus to James Buchanan
- When known, put the full words for an acronym and initials in parentheses after it. Acronyms should be expanded the first time they appear. Thereafter, you can use the acronym.
  - E.g. National Association for the Advancement of Colored People (NAACP)
- If a person is known by more than one name, use the name by which the person is clearly most commonly known.
- Personal names beginning with Mac, Mc, or M should be alphabetized letter-by-letter as they appear.

5.2.2.2. Dates

Dates of materials can be represented in a number of ways; see DACS 2.4 for other examples. Dates should be written in the dd/mm/yyyy order date order.

Dates always reflect the dates represented by the materials in the folder, not dates that they refer to. For instance, if you have a reproduction of a diary, the date should reflect
the date of the reproduction, not the original. The original diary date can be reflected in
the title.

If items within a folder are undated, but are assumed to fall within the range of the dated
material, do not add "undated" to the date span. For example, if a folder contains items
from 1930-1970, and an item is assumed to be from the 1950s or 1960s, do not add
undated to the date range.

Below are some key stylistic/filing standards that often come up in the course of
processing. Remember the most important factor when formatting dates is consistency
within the collection.

- Hyphens used with dates should always be short and with no spaces.
- Do not use "ongoing" when further additions are expected. Use the most recent date
  in the collection for the end date in the range: [DACS 2.4.8]
  - E.g. 1934-1999
  - Not: 1934-ongoing or 1934-
  use parentheses around bulk dates. [DACS 2.4.10]
- In general, use inclusive date ranges unless there is a significant gap in years, in
  which case list individual dates or date ranges of significance, as follows:

  For groups of items from consecutive years without significant gaps, use
  inclusive dates:
  - E.g.: 1943-1956 (for items from 1943, 1944, 1950, 1951, 1952, and
    1956)

  For significant gaps of more than a few years, indicate date groups by using
  commas:
  - E.g.: 1943-1946, 1959 (for items from 1943, 1944, 1945, 1946, and
    1959)

  For a few items, list each year, separated by a comma.
  - E.g.: Stevens, Thaddeus to his housekeeper, 1843, 1878, 1881 (three
    items).

  For estimated date ranges and single dates, use "circa" to represent any year within
  5 years of the given date. Do not abbreviate and do not use brackets. [DACS 2.4.12,
  2.4.15]
  - E.g. circa 1950 represents dated somewhere between 1945-1955;
  - circa 1870-1879, represents dated somewhere between 1865-1884.

  Do not use [1960s] or [196] to indicate a decade; use "1960s" for archival format as
  well as in narrative sections.
  - For undated items, use “undated,” not “n.d.” [DACS 2.4.16]

5.3. Additions

Additions to existing collections come in many shapes and sizes. It is often the case that an
addition consists of materials that can be dropped into appropriate places in an already
established arrangement with little or no impact on the description. An addition of this type
sometimes requires revision of several lines of the finding aid and/or some slight additional
information. Possible changes include revision of the acquisitions information statement, the
number of items or range of dates; slight revision of the abstract, online catalog terms, and/or
series description(s); or insertion of new folders in the list of existing folders.
If new materials arrive from the same donor as a previously accessioned collection they should, in most cases, be treated as additions to the existing collection. If subject matter is the same but provenance differs, materials should, in most cases, be accessioned as new collections with a separate call number. Always discuss the handling of additions with your supervisor.
6. Housing and Preserving

6.1. Preservation/Conservation

Preservation consists of actions that slow or prevent damage to materials. Among these are controlling the macroenvironment (temperature, relative humidity, light, etc.), providing a safe microenvironment (archivally sound housing in terms of boxes, folders, etc.), imposing rules for the proper handling of materials by staff and researchers, and devising and implementing a disaster plan.

Conservation, on the other hand, is chiefly defined as bench work and is described in terms of treatments performed on individual items. These include cleaning, deacidification, tear repair, encapsulation, and other procedures.

Whether or not you ever become involved in conservation, preservation is undeniably an important part of your work as a processor. Most conservators agree that controlling the macroenvironment is the most significant element in any preservation effort.

6.2. How Much Work Should I Do?

Like everything else in manuscripts work, no hard and fast rules can be applied to determine the preservation requirements of the collections you process. Once again, it is important to understand the relationship among the chief processing procedures. Minimal processing in terms of arranging, describing, and cataloging usually implies minimal attention to preservation.

Since most collections will be minimally processed, it is likely that the collection will simply be re-boxed and labeled.

As the depth and intensity of arranging, describing, and cataloging largely depend on the collection's research value and available resources, so the extent of preservation work actually performed on a collection is determined, to a large degree, by how valuable the material is and what resources are available.

6.2.1. Removing Fasteners

In the best of all possible worlds, all fasteners would be removed from all collections. In reality, however, it is rarely practical to remove them all.

If you are minimally processing you should turn a blind eye to any and all fasteners. It is counterproductive to invest time in removing them and reestablishing the relationship among leaves of materials.

When your collection does call for intensive processing, removal of fasteners should proceed gingerly, so that no damage results. If materials obviously belong together or pages are numbered there is no need to re-fasten them. If materials are not clearly connected, you may refasten them with a plasticlip or a paper sling.
<table>
<thead>
<tr>
<th>Fastener Type</th>
<th>Problem</th>
<th>Minimal Processing</th>
<th>Intensive Processing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staple/Pin</td>
<td>If not stainless steel, can rust and discolor paper. All staples and pins can tear or otherwise damage a manuscript and adjacent materials over time.</td>
<td>Leave all fasteners in place.</td>
<td>Safe removal of staples means lifting each folded prong with a microspatula and then using the microspatula to lift the staple out. Very frequently, staples are left intact because of the time and effort it would take to remove them and because the damage they might do as they are removed exceeds the damage they may do over time.</td>
</tr>
<tr>
<td>Paper clip/ Binder clips</td>
<td>If not stainless steel, can rust and discolor paper. All clips can tear or otherwise damage a manuscript and adjacent materials over time.</td>
<td>Leave all fasteners in place.</td>
<td>Rusted paper clips should be gently pried up from the surface of the paper with the microspatula and then slipped off.</td>
</tr>
<tr>
<td>Brass stud, brad, or grommet</td>
<td>Like all fasteners, can tear or otherwise damage a manuscript and adjacent materials over time.</td>
<td>Leave all fasteners in place.</td>
<td>Brass studs, brads, or grommets should be left intact since their removal is certain to cause more damage than their presence.</td>
</tr>
<tr>
<td>Binder with metal parts</td>
<td>Binders often take up too much room. The metal parts in some binders can rust and discolor paper.</td>
<td>Transfer materials from binders with metal parts to folders</td>
<td>Transfer materials from binders with metal parts to folders</td>
</tr>
<tr>
<td>Rubber band</td>
<td>Dries out, hardens, disintegrates, and discolors paper.</td>
<td>Remnants of desiccated rubber bands may, if noticed, be lifted off the paper's surface with a microspatula.</td>
<td>Remnants of desiccated rubber bands should be lifted off the paper's surface with a microspatula.</td>
</tr>
<tr>
<td>Tape/Glue</td>
<td>Disintegrates and discolors paper.</td>
<td>Leave all fasteners in place.</td>
<td>Do not attempt to separate taped or glued items that do not come apart easily. If separation is called for, remove these items from the collection for evaluation as conservation candidates.</td>
</tr>
</tbody>
</table>
6.2.2. Housing and Labeling

6.2.2.1. Containers *

Several styles of container are used. All of them are ostensibly "acid-free," but some containers are simply more alkaline than others. The two most common containers used at Bancroft are cartons and manuscript boxes. Cartons are usually white and are the size of banker boxes, while manuscript boxes are usually made of grey board. For additional types of containers please see Housing and Labeling Conventions (Appendix H).

You should consult with your supervising archivist about what type of container is right for your collection. This will depend on the size of your collection and the types of documents in the collection.

Other acid-free container options are available as needed for odd-sized materials. Consult with your supervisor to determine when these non-standard containers should be used.

DO NOT: Overfill or underfill containers, as this can damage the collection.

<table>
<thead>
<tr>
<th>Action</th>
<th>Problem</th>
<th>Solution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overfilling container</td>
<td>Materials will become distorted over time and/or risk being damaged when they are removed and refilled.</td>
<td>Move materials to additional container. Try to keep sets of folders together if possible (e.g. 1 of 2, 2 of 2), though this is not mandatory.</td>
</tr>
<tr>
<td>Underfilling container</td>
<td>Folders will lean at an unhealthy angle that causes them and their contents to curl at the top or bottom.</td>
<td>Cardboard spacers, made from alkaline board, are readily available to fill unused space and make folders stand erect in any type of box.</td>
</tr>
</tbody>
</table>

A note about container weight:

Some containers may be stored on site after processing, but most containers are sent to an off-site storage facility, the Northern Regional Library Facility (NRLF), which has placed limits on the weight of a container in order to protect the physical health of their staff. Containers weighing over 35 lbs. will be returned to Bancroft for rehousing. Even if you know that the container will be stored at the Bancroft Library, aim for a weight limit of around 30 lbs. A digital scale is kept in Manuscripts (next to 575H) to check the weight of containers prior to shipping.

* See Appendix J for Location of Supplies
Labels:

Container labels should include the information necessary to promote quick and easy retrieval and refiling, which prevents unnecessary handling of materials. Essential container label elements are: Repository Name, Collection Name, Collection Number, and Container Number.

Example:

**BANCROFT LIBRARY**

**STANDARD LABEL**

<table>
<thead>
<tr>
<th>Call number</th>
<th>BANC MSS 73/188</th>
<th>Malmquist, Harold S.</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Container type / number</td>
<td></td>
<td>Papers.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Box 4</td>
</tr>
<tr>
<td>Name derived from record.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Title</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Use this type of label for everything but oversize folders. A label template for MSS can be found in Q:\MSS\Labels; a template for UARC can be found in Q:\UARC\Labels.

* Containers are numbered sequentially by type, e.g. Carton 1-10, Box 1-10.

Restricted Materials:

If all or some materials in a container are restricted, be sure to use the red ink stamp to stamp "RESTRICTED" on the container label. If a folder(s) is restricted within a collection, write "RESTRICTED" on the folder tab in a clearly visible place.

6.2.2.2. Folders

Folders offer support and protection to the materials they house. Clear and accurate folder labels promote quick and easy retrieval and refiling, which prevents unnecessary handling of items.

Letter-size folders hold items up to 8.5 x 11 inches or so; legal-size folders hold items up to 8.5 x 14 inches or so. Larger items, except those that can be SAFELY folded ONCE to fit in letter-size or legal-size folders, call for oversize housing (see Section 6.2.2.3. for more information on oversize housing).

Note: In most cases you will not refolder unless the original folders are hanging files, have deteriorated, or are in danger of losing an existing label.
Folder labels are handwritten in pencil. Essential folder label elements are: **collection number**, **container number**, and **folder number**. Every collection must have these elements to be served in the Reading Room. When fully processing a collection, the folder should also include folder title and date.

Example:

**LEGAL OR LETTER SIZE ACID-FREE FOLDERS**

Use pencil only.

<table>
<thead>
<tr>
<th>Container type</th>
<th>Series or Subseries name</th>
<th>Container number</th>
<th>Folder number</th>
<th>Folder title</th>
<th>Dates (19xx-19xx)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Box 2:15</td>
<td>Poetry</td>
<td>99/244</td>
<td>Aardvark and Impala</td>
<td>1959</td>
<td></td>
</tr>
</tbody>
</table>

Call number without BANC MSS.

Don't fill folders fuller than the 2nd fold.

Make a template to ensure that all columns of text on folders in the collection line up.

**Note:** When repurposing existing folders, put container/folder numbers as close as possible to the upper left-hand corner of the folder.
Should I use letter- or legal-size folders?

You may use either legal- or letter-size folders in containers, depending on which size better accommodates the materials you are housing. When only a few legal-size items are present in a collection destined for a container, these items may be stored folded so that the contents of the container can be housed in letter-size folders.

**DO NOT:** Mix legal- and letter-size folders in the same container. If you do that, the letter-size folders will slide around in an unhealthy fashion.

**Exception:** When minimally processing, original letter size folders may be grouped together in legal size folders to prevent sliding around in a container containing primarily legal folders.

How full should I make the folders?

Except for folders containing only one or two leaves, all folders should be “squared.” Use the pre-scored lines to “square” the edge of a folder to allow papers to stand vertically along the bottom. Place as many items as can fit easily into a folder squared to ¼-½ inch. If contents exceed the ½ inch squared folder, split into as many folders as necessary, marking each folder within the set as 1 of [number of folders].

Each document should be able to stand up straight along the bottom of the folder without curling on the edge. Sturdier or thicker items (multipage reports, for example) may fill a folder more fully.

**DO NOT:** Square folders beyond ½ inch (the second pre-scored fold), except to accommodate bulky items that can not be split easily between two or more folders.

How do I house volumes in folders?

Volumes that can comfortably fit in folders should be placed spine down in folders and added in the correct order within the collection’s folder numbering system. Length, width, and thickness are all considerations. You may decide that a volume of greater thickness than that provided by the pre-scored lines on folder bottoms is too large for normal foldering, although wide volumes can sometimes be comfortably accommodated by creating your own folds along the folder bottom. More than one volume occasionally may be housed in a single folder, depending, of course, on the dimensions of the volumes involved.

Remove volumes housed in bulky loose-leaf binders from the binders and place them in a folder or folders. Information of value appearing on the binder may be photocopied onto acid-free paper and preserved with the inner pages.

6.2.2.3. Oversize Papers and Other Items

Papers that do not fit into legal- or letter-size folders are typically housed in over-size folders, which are then placed in oversize boxes or directly in flat file cases. They should always be stored flat.

**Did you know?** Folding large items and retaining them in letter or legal sized containers is often permissible if the item is of low artifactual value and/or if you are minimally processing. The decision to fold or unfold, however, should be made in consultation with your supervising archivist.

**DO NOT:** Trim large items to fit them in containers.
Because oversize papers and other physically separated materials (such as A/V) are not grouped in their own series and are not physically located in the regular run of materials, ensure that researchers are aware of them by writing the box and folder number in the container list in the finding aid. In addition, track physical separation of materials using a Separation Sheet (Appendix K).

**How to label oversize folders:**

There are two conventions for labeling oversize folders dependent on where the folders are to be housed.

When storing oversize folders in drop-front boxes, the fold should face the drop front so contents don't spill out. This means the folder should be labeled in the bottom left edge, with the fold at the bottom of the folder.

When storing oversize folders in any other box or in flat-file drawers the fold should be at the top of the folder (see diagram below), still labeling the bottom left edge so that it is easy to see as you flip through the folders in the map cases and boxes.

Restricted items should be isolated in their own folders. Write "RESTRICTED" on folders that contain restricted items in a clearly visible place near your other labeling.

When you are labeling oversized folders that will be housed in the flat file drawers, be sure to use one numbering system:

Number oversize folders intended for drawers sequentially, following folder number with folder size (A, B, or C). E.g. 1A, 2B, 3A, 4B, 5C.

Use the lighter 10-point stock folder for storing materials in oversize boxes and place folders in the box with the fold facing the drop front of the box, so that the contents don’t spill out.

Use stamps, not labels on oversize folders.
Use the heavier 20-point folder stock for storing oversize materials in drawers. For examples of other sizes of oversize folders, check the Guide to Housing and Labeling Conventions.

6.2.2.4. Pictorial Materials:

Pictorial materials that arrive interfiled with manuscript or archival collections should initially be kept with those collection materials. They may be rehoused depending on the level at which the collection is being processed.

Some pictorial materials that arrive with manuscript or archival collections may be transferred to the Pictorial Unit (see Appendix L for Transfer Guidelines). Also, certain other materials may be transferred based on a consideration of their format, size, physical condition, and importance. Please let your supervisor know if you come across materials you think would be appropriate for transfer.

For pictorial materials that are kept within manuscript or archival collections, items are batched in archival folders and the folders are labeled and numbered with standard folder elements.

What type of housing should I use?

Routine housing usually consists of archival folders for photographic prints in the closest size appropriate to the originals (letter, legal, 12 x 15, 16 x 20, 20 x 24, 24 x 36, 36 x 48, or 16 x 48). Small photo prints or valuable items may be sleeved in polypropylene sleeves or mylar.

Basic Guidelines:

Wear gloves when handling photographic prints and negatives.

Determine if photographs will be stored in separate box(es) or integrated within the collection.

Whenever possible, folder photographic prints separately from manuscript materials.

When small quantities of photographs are integral to accompanying manuscripts and can not easily be foldered separately, provide polypropylene or mylar sleeves if considered important.

If the container includes un-sleeved photographs, be sure to use the red ink stamp to mark "INCLUDES PHOTOGRAPHS" on the container label. This will alert Public Services staff that patrons should be provided gloves when the container is served in the Reading Room. Please refer to the Appendix L for instructions on how to identify pictorial materials retained in the collection within MARC records and archival finding aids.

Ideally, negatives and other film-based media should be housed in separate boxes to avoid the deleterious effects of off-gassing on manuscript materials and to help preserve the film-based media itself. Negatives and slides should be individually sleeved, but placing existing envelopes of negatives in a box or document binder and labeling the container is the minimal step required.

6.2.2.5. A/V Materials:

Audio-visual materials which arrive as part of Manuscripts or University Archives collections are currently being retained within those collections, although they may be transferred to archival housing. Talk to your supervisor and refer to Finding Supplies to
locate appropriating housing for A/V materials. See section 6.2.2.3. for instructions on how to track A/V materials retained in the collection.

6.3. CONSERVATION

Conservation issues are often identified during the initial appraisal, but they may appear well into processing a collection. Notify your supervisor of any conservation issues as you discover them. Especially be certain to let your supervisor know immediately if you notice any mold, water, insect, or critter damage on the materials.

Note: Any concerns regarding pictorial materials should first be referred to the Pictorial Unit.

If materials are damaged or require special housing, they may be sent to the Conservation Treatment Department (CONS) using a Bancroft Conservation Routing Form (see Appendix M). Flagged materials are transferred to CONS through BANC/CONS, currently David Kessler of Bancroft Public Services, who coordinates charging and transport. Items which may contain active mold or live critters (or their eggs) should be bagged before being sent to David Kessler.

The Bancroft Conservation Routing Form should adequately describe the item, and should include information on the frequency of its use, as well as define a proposed timeline for treatment. Only use the High Priority Cons designation on the form for materials requested by patrons, materials processed with gift funds, or materials queued for digitization or exhibit preparation.

The form should also identify the original location of the item (if it has been removed from a container). If the item has been removed from a container, the original locations should be flagged for ease of refilling and to indicate to staff and patrons that the item is currently undergoing conservation treatment.

Don’t forget to add a copy of the routing form to the collection file.
7. Finishing the Job

You have arranged, described, and preserved. Now it is time to put the collection on the shelf and clear off your work area in preparation for your next job. It is unacceptable to call a processing job finished when you still have collection parts or collection detritus on, under, or around your desk or anywhere else in Tech Services.

NOTE: Before calling your collection done, review the Completion Checklist (Appendix N) to make sure all loose ends have been addressed.

7.1. Barcoding

Every container must be barcoded. However, BTS is not responsible for barcoding new collections which will be housed at NRLF. Any additions to existing holdings at NRLF, or containers to be housed on-site (including oversize folders) will be barcoded by BTS staff.

7.1.1. New Containers

Barcoding will be done at the same time as labeling and/or at the end of processing, before containers go to the stacks. Ask your supervisor or the Principal Cataloger for instruction. Guidelines for placement of barcodes can be found in the Housing and Labeling Conventions document (Appendix H).

7.1.2. Re-Using Barcodes (or Old Barcode/ New Container)

We try to use containers as long as possible but sometimes if they are falling apart we may need to move the contents from an old to a new container. As long as the barcode/container type/number match, these "new" containers can be treated as returns.

In processing a collection, we may also re-order containers. If containers are of the same type (i.e. what was Carton 5 is now Carton 6), you can simply change the catalog record to reflect that the old barcode for Carton 5 now represents Carton 6. However, you cannot reuse barcodes on a different size container. NRLF shelves by size not call number. So if you return a carton with the barcode for a box it will not fit in the designated space and will be returned to TBL.

7.1.3. No Longer Used Barcodes (Deaccessioning)

In processing a collection, we may reduce the number of containers. In this case the barcodes for the no longer extant containers need to be deaccessioned from NRLF. Fill out the NRLF Deaccession Form (Appendix O) as fully as possible, copy, and send original to NRLF Deposit Services. File the copy in the collection file.

7.2. Shelving Your Collection

Discuss with your supervisor where collection should be shelved. Due to space constraints, nearly every new collection is now housed at NRLF. However, most oversize materials and all oversize folders are housed on-site. In rare cases (usually by curator request), a collection that we expect will be heavily used will be housed on-site to save the wear and tear of transit.

7.2.1. Containers to be Shelved at NRLF

7.2.1.1. New Deposits

New deposits (any containers not previously held at NRLF) must be shipped through Public Services. If your containers do not already have an NRLF barcode you will need to follow these steps.
New Collections:

- once containers have been labeled and checked against the container listing, shelve containers destined for NRLF in any free space in the Ready to Ship aisles on the 1st Floor (Rows 127 and 129).
- e-mail the Stacks Manager to let her know where and what you have shelved.
- in the case of very large collections, contact the Stacks Manager prior to shelving as she may choose to pull containers from their current location on the 5th floor to ship to NRLF as space is available.

New Containers: when adding new containers to an existing collection already partially housed at NRLF you will be responsible for barcoding the new containers. Check with your supervisor or the Principal Cataloger for instruction.

- once containers have been labeled and checked against the container listing, shelve containers destined for NRLF in any free space in the Ready to Ship aisles on the 1st Floor (Rows 127 and 129).
- e-mail the Stacks Manager to let her know where and what you have shelved.
- in the case of very large collections, contact the Stacks Manager prior to shelving as she may choose to pull containers from their current location on the 5th floor to ship to NRLF as space is available.

7.2.1.2. Pre-existing Collections (re-pack jobs/returns)

- once containers have been labeled and checked against the container listing shelve containers to be returned to NRLF in the Staff NRLF returns area in BPS.
- if collection is larger than 10 cartons, contact the Stacks Manager prior to shelving as she may choose to pull containers from their current location on the 5th floor to return to NRLF as space as available.

7.2.2. Containers to be Shelved at TBL

7.2.2.1. New Additions (not oversize folders)

- contact the Stacks Manager with location, number/type of containers and call number. She will let you know whether BPS staff will pull from current location or if the collection should be staged elsewhere.
- If collection comprises only a few containers, shelve in "New On-Site Accessions" area in BPS.

7.2.2.2. Pre-existing Collections (re-pack jobs/returns)

- once containers have been labeled and checked against the container listing, shelve containers to be returned to TBL stacks in the Staff On-Site returns area in BPS.
- if collection is larger than 10 cartons, contact the Stacks Manager prior to shelving as she may choose to pull containers from their current location on the 5th floor to return to stacks.

7.2.2.3. Oversize Folders

- once folders have been labeled and checked against the container listing, shelve by size (A/B/C) in appropriate "Ready to Shelve" drawer on 5th Floor.
- add a tracking note to the MARC record to read "yyyymmdd Transferred to Ready to Shelve (A/B/C) Drawer OS 10C/D/E. [initials]"
- e-mail Stacks Manager if you fill any of the drawers to capacity.
### Shelving Bancroft MSS Collections

<table>
<thead>
<tr>
<th>Shelving Location</th>
<th>New Collection?</th>
<th>New Container?</th>
<th>Return</th>
<th>Barcode</th>
<th>Stage</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>NRLF</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Row 127 or 129 (1st Floor)</td>
<td>Stacks Manager</td>
</tr>
<tr>
<td>NRLF</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Row 127 or 129 (1st Floor)</td>
<td>Stacks Manager</td>
</tr>
<tr>
<td>NRLF</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>NRLF Return Area</td>
<td>No need, unless large quantity, then Stacks Manager</td>
</tr>
<tr>
<td>TBL</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>ask Stacks Manager</td>
<td>Stacks Manager</td>
</tr>
<tr>
<td>TBL</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>if one or two containers, stage in New On-site Deposit area in BPS; if more, ask Stacks Manager</td>
<td>Stacks Manager</td>
</tr>
<tr>
<td>TBL</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>If not already barcoded</td>
<td>On-site Return area unless over 5 cartons then ask Stacks Manager</td>
<td>No need, unless large quantity, then Stacks Manager</td>
</tr>
<tr>
<td>TBL Oversize Drawers</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>By size in appropriate Ready to Shelve drawers on 5th Floor</td>
<td>No need unless drawer is full, then Stacks Manager</td>
</tr>
<tr>
<td>TBL Oversize Drawers</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>By size in appropriate Ready to Shelve drawers on 5th Floor</td>
<td>No need unless drawer is full, then Stacks Manager</td>
</tr>
<tr>
<td>TBL Oversize Drawers</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>If not already barcoded</td>
<td>Bring to re-shelving area in BPS</td>
<td>No need, unless large quantity, then Stacks Manager</td>
</tr>
</tbody>
</table>

7.3. Feng Shui Your Workspace; Or, Getting Rid of the Detritus

Upon completing the processing of a collection you are often left with a pile of materials which you have decided do not belong with the collection, whether due to physical constraints (such as photographs or objects which should be transferred to other Bancroft units for proper handling); duplication within the collection; or simple lack of historical relevance (such as a donor's garbage bills).

Before declaring yourself done working with a collection all of these loose ends must be tied up. Your supervising archivist will consult with you about what to do with materials that are not appropriate for retention, but ultimately the onus is on you to manage the disposition of discards and transfers. DO NOT UNDER ANY CIRCUMSTANCES LEAVE UNLABELED BOXES OF DISCARDS ANYWHERE IN BTS TO BE DEALT WITH AT A LATER DATE.

7.3.1. Documenting Discards

Some materials cannot be retained with collections; other materials should not be kept. See Appendix A for examples of materials not appropriate for retention.

Donors are asked to specify in the deed of gift what they want done with materials not appropriate for retention. The choices are typically to return these items to the donor or for the donor to give us permission to do with them what we wish. The gift agreement should state the donor’s preference for disposition of discards. But if there is any uncertainty, the
donor or his agent should be contacted either by you, your supervisor, or the appropriate curator.

When a collection is a purchase or a gift and the donor does NOT want materials back, you and your supervising archivist will follow one or more of the following options:

- offer items to other parts of the Library or Affiliate Libraries (e.g. East Asian Library, the Environmental Design Archives, the general collections in Doe);
- for items of possible artifactual value, turn them over to the Acquisitions staff for eventual sale/identification of another repository who may find the material useful;
- recycle them;
- shred them (large-scale shredding can be arranged for large clutches of sensitive material; in this case file documentation of destruction provided by shredder in collection file);
- trash them, if they cannot be recycled.

Always be sure to work in consultation with your supervising archivist when disposing of any unwanted materials.

When a collection is a gift and the donor does want materials back, you and your supervising archivist will box up discards as neatly as possible and ship them to the donor. The donor’s address should be available in the collection file. See Appendix P for a sample return letter.

When it comes to returns, use some discretion in determining what to ship to the donor and what to discard. We typically return sensitive materials, research notes, duplicate photographs, duplicate printed material that has some direct connection to the donor, greeting cards and postcards lacking informational or artifactual value, and anything else that could go in the trash but might make us look bad if someone who did not understand our retention guidelines came across it. If the discards from a collection consist of little more than old gas bills or 20 copies of the same newspaper article it may be worth your time to contact the donor directly to obtain approval for disposal rather than shipping such material to the donor.

In all cases, if the size of the collection is reduced dramatically, document discards in MyECMS.

**7.3.2. Transfers**

We often determine that certain formats do not need to be housed with the bulk of the collection or would be better served by another processing unit and therefore transfer items to other BTS units.

When transferring material to another unit in the Bancroft, fill out a Transfer Form (Appendix Q) for the transferred items. Retain a copy of the completed form for the collection file and give the original to the receiving unit with the transferred material. Also note the transfer in MyECMS.

<table>
<thead>
<tr>
<th>Type of Material</th>
<th>Description</th>
<th>Where</th>
</tr>
</thead>
<tbody>
<tr>
<td>Publications</td>
<td>Books, periodicals, and other publications relevant to our collections but that don't contextually need to remain with the collection. Generally the only published books left in a collection would be items which have been annotated by the donor.</td>
<td>TBL Acquisitions</td>
</tr>
<tr>
<td>Objects</td>
<td>Artifacts to be cataloged separately as part of the Historical Objects collection</td>
<td>TBL Pictorial</td>
</tr>
<tr>
<td>Photographs</td>
<td>Large collections of photographs that are related to California and the West, but that are only loosely connected to the collection with which they arrive. OR Large clutches of photographs that do relate to the collection with which they arrived, but are so voluminous, fragile or valuable, that they should be treated as their own collection. (see Appendix L for guidelines)</td>
<td>TBL Pictorial</td>
</tr>
<tr>
<td>Manuscripts</td>
<td>Large collections of manuscripts that are related to California and the West but that are only loosely connected to the collection with which they arrive. OR Large clutches of manuscripts that do relate to the collection with which they arrive, but are so voluminous they can be treated as their own collection (e.g. MSS interleaved in a book collection or a photographer’s correspondence).</td>
<td>TBL Manuscripts</td>
</tr>
<tr>
<td>University Archives</td>
<td>UC-produced publications or ephemera that only tangentially relate to the material in the collection with which they were received.</td>
<td>University Archives</td>
</tr>
<tr>
<td>Maps</td>
<td>Maps that have little or no connection with other material in the collection with which they were received. (Think about whether a researcher would be likely to find a particular map in a particular collection. If it seems unlikely, then the Maps Collection may be a better place for the map to be preserved and used.)</td>
<td>TBL Cataloging</td>
</tr>
</tbody>
</table>

### 7.4. Updating Collection Records

#### 7.4.1. MyECMS

Creating and updating MyECMS records should become a matter of course in the accessioning and processing of all collections. See [MyECMS Manual](#) for detailed instructions, but upon completion of the processing of a collection you should, at a minimum, update the following fields:

- **Current Location**: Fully Shelved
- **Current Linear Feet**: Fully Accessible
- **MARC Record Status**: NRLF
- **Origination/Creator**: Finding Aid
- **Language**: Processing Level Needed (should be changed to "no further action")
- **Extent**: Container Type/Count/Location
- **Processing Notes**: Guides
- **Processor/Archivist**: Fully Processed
- **Fully Processed**: Fully Accessible
7.4.2. Collection File

Upon completing the processing of a collection you are responsible for the updating of the Collection File, which should include:

- cleaning out any unnecessary information (e.g. copies of biographical info as you have now authored a Biographical Note)
- making sure copies of accession information are in the file (deed/ Purchase Agreement/ Records Transmittal Form/informal documentation of gift/purchase)
- making sure copies of any Transfer/Separation Sheets are in the file
- making sure copies of any NRLF Deaccession Forms are in the file
- re-filing with appropriate collection files.
8. Final Notes

Please don’t be afraid to ask any questions you might have of your supervisor. No question is stupid, and you don’t want to waste time doing any unnecessary tasks, or having to redo something that you did incorrectly the first time. If you run across material that you find has offensive content, and you don't wish to work on it, please contact your supervisor to discuss the matter. Talking is encouraged, though you have a job to do, much of archival work is tedious and socializing helps kill the time. This is a fluid document, procedures change regularly and the manual will be modified as needed, any suggestions you have for revisions or improvements are strongly encouraged.

9. Acknowledgements

This manual has been copied shamelessly from the GLBT Historical Society Processing Manual, which, in turn, could not have been completed without copying shamelessly from the UNCC Processing Manual (http://www.lib.unc.edu/wikis/archproc/index.php/How_to_Proceed). Thanks to the Manuscripts Survey Team: Marjorie Bryer, Amy Croft, Dana Miller and Elia Shelton for getting this project underway. This manual was a group effort and would not exist were it not for the input of all Bancroft Technical Services Staff.
Appendix A. Materials Not Appropriate for Retention

Materials typically returned to donors or consigned to the trash or recycling are listed below. In most cases, you will want to consult with your supervising archivist on how each class of materials should be handled within the context of your collection.

• **Multiple copies.** It is rarely (maybe never) the case that we need more than one copy of any item. If you are minimally processing, do not spend time removing duplicates.

• **Sensitive materials**, like student records, job recommendations and evaluations, health records, etc. Some of these materials are very specifically covered under federal legislation. Check with your supervising archivist about legal considerations of potentially sensitive stuff and see Appendix F. In most cases this material will need to be shredded prior to disposal.

• **Minor financial records in LARGE quantities**, including 20th/21st century checks, check stubs, bank statements, check registers, and other financial records. For similar materials from earlier times, consult with your supervising archivist before removing them.

• **Research notes**, unless they make a real contribution to the creator's field of study or are incredibly well organized, these are usually useable only by their creator.

• **Greeting cards and postcards with no informational value.** If greeting cards or postcards are of particular artifactual interest they may be transferred to the Pictorial Unit.

• **Copies of materials in other repositories**, whether photocopies, microfiche, microfilm, or generated by some other copying process. Sometimes these were collected by the creator for research use and sometimes they are supplemental to materials in the collection. It is tempting to say that we NEVER retain these materials. This is usually the case when they were collected for research use. When they supplement materials in the collection, however, the decision becomes a bit more difficult. Nine times out of ten, we will not retain copies of materials in other repositories, but you should discuss these materials with your supervising archivist.

• **Clippings of a miscellaneous nature.** Clippings relating directly to the creator are usually retained. Collections of clippings on specific topics, especially if they relate to the creator's chief area(s) of interest, may be retained at the discretion of the curator.

• **Envelopes** from letters or other items. If fully processing you will have removed correspondence from envelopes. Unless of artifactual value or providing additional information about the correspondence envelopes are to be discarded.

• **Currency, coins, stock certificates, and similar materials.** These materials should be given to the Acquisitions Unit.

• **Organic materials**, including flowers, grasses, pet bugs, consult with your supervisory archivist.

• **Brass name plates, awards and other bulky items**, unless you feel that they should be retained as museum items. If the item has no artifactual value, but contains significant information, you may want to photocopy it onto acid-free paper.

• **Picture frames**, ninety-nine percent of the time we dispose of these in the trash, carefully. Make sure that glass, nails, and other frame parts do not present a danger to the unsuspecting person who is emptying the trash.

• **Printed material**, books, government documents, periodicals, maps, and other publications that do not contribute to the understanding of the creator’s life and/or activities are often transferred to other departments in the Library via Acquisitions.
Appendix B. Processing Plan

1. Collection title: _________________________________________________________________

2. Call number: BANC MSS _________________________________________________________

3. Survey and compile documentation (check off sources researched):
   - Collection files
   - Acquisition files
   - OSKICAT record
   - ECMS record
   - Old shelf list/ Preliminary Listing
   - Other ______________________________________________________________________

4. Deed of Gift signed*:   ☐ Yes   ☐ No
   If yes:
   Restrictions noted (sensitive materials, copyright restrictions, etc.):
   _____________________________________________________________________________
   _____________________________________________________________________________
   Disposition of non-record material noted:
   _____________________________________________________________________________
   _____________________________________________________________________________

5. Extent:
   Number of containers:
   - Cartons    _____
   - MSS boxes   _____
   - Oversized folders  _____
   - Oversized boxes  _____
   - Oversize tubes   _____
   - Volumes   _____
   - Portfolios   _____
   - Other    _____
   **Approximate linear feet**_____ 

* (*If No Deed of Gift: Supervisor will notify curator that no work will be done until Deed is signed and returned.)

** see Appendix R for measurements of containers
6. Approximate date range: ca. _______ - _______

7. Physical arrangement/housing:

______________________________________________________________________

Overall initial organizational condition:

☐ Well organized (meaningful folder headings, in some order)
☐ Moderately organized
☐ Poorly organized

8. Processing notes:

Noticeable gaps in papers/records:
______________________________________________________________________

______________________________________________________________________

Foreign languages present:
______________________________________________________________________

______________________________________________________________________

Sensitivity issues:
______________________________________________________________________

______________________________________________________________________

9. Potential Materials to be Discarded (series, subseries, or individual items):

______________________________________________________________________

______________________________________________________________________

______________________________________________________________________

10. Physical Condition/Formats in collection:

______________________________________________________________________

______________________________________________________________________

______________________________________________________________________

11. Items (published works, pictorial, objects, and audio/visual materials) to be cataloged separately:

______________________________________________________________________

______________________________________________________________________

12. Proposed arrangement (include tentative series titles, and subseries, if applicable):

______________________________________________________________________

______________________________________________________________________

______________________________________________________________________
Appendix B, cont'd.

13. Tentative subject headings (3 minimum):
   a._____________________________________________________________________
   b._____________________________________________________________________
   c._____________________________________________________________________

14. Possible genre headings (not always applicable):
   a._____________________________________________________________________
   b._____________________________________________________________________
   c._____________________________________________________________________

15. Physical Treatment:
   ___ All folders marked with collection number (REQUIRED)
   ___ Number all folders (REQUIRED)
   ___ Remove rusty fasteners (staples, paper clips)
   ___ Remove rotten rubber bands
   ___ Take materials out of binders/ portfolios, put in acid-free folders
   ___ Sleeve loose photos
   ___ Remove oversize materials and rehouse in flat files/tubes
   ___ Separate extremely fragile or torn paper in mylar

16. Estimated timeline for processing completion:

<table>
<thead>
<tr>
<th>Processing Rate</th>
<th>Current Arrangement</th>
<th>Desired Processing Level</th>
<th>Hours Per Linear Foot</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>No order; papers are loose</td>
<td>folder level</td>
<td>40</td>
</tr>
<tr>
<td>B</td>
<td>Collection has some order</td>
<td>folder level</td>
<td>30</td>
</tr>
<tr>
<td>C</td>
<td>Collection has some order</td>
<td>container level</td>
<td>20</td>
</tr>
<tr>
<td>C1</td>
<td>Collection is mostly in order</td>
<td>folder level</td>
<td>20</td>
</tr>
<tr>
<td>D</td>
<td>Collection is mostly in order</td>
<td>container level</td>
<td>10</td>
</tr>
<tr>
<td>D1</td>
<td>collection in order; straightforward re-housing</td>
<td>folder level</td>
<td>10</td>
</tr>
<tr>
<td>E</td>
<td>Collection is in order; no refolding needed</td>
<td>container level</td>
<td>5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Linear Feet</th>
<th>Hours Per Linear Foot</th>
<th>Total Hours</th>
<th>Days</th>
<th>Weeks</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Prepared by: _______________________________
Date: ____________________

Approved by: _______________________________
Date: ____________________
Appendix C. Standard Series used at The Bancroft Library

Standard Record Series for Faculty Papers

The Bancroft Library, under the auspices of the University Archives, actively collects the papers of faculty members of the University of California, Berkeley who meet the library's selection criteria. Faculty papers contain significant information on teaching, research, administrative, and professional activities. They allow researchers to gain valuable perspective on the educational mission and intellectual vitality of the university community. In addition to providing documentation of the careers of individuals, they can be rich primary source materials for university history.

The following series are used as guidelines in establishing a series structure for the processing of such collections. The series listed below are not designed to be applied equally to all faculty papers, but instead to be used flexibly, utilizing only those series needed for each collection.

I. Correspondence, including chronological, alphabetical, and subject files.

II. Research Files, including field notes, experimental findings and data sets.

III. Professional Activities, including documentation of committee work for and leadership of professional organizations, and consulting work.

IV. Writings, including speeches, drafts of articles and books, reviews written by the faculty member, and by others about the faculty member’s publications.

V. Course Materials, including course outlines, lecture notes, assignments, and examination questions.

VI. Administrative Materials, including documentation of departmental and committee work for UC Berkeley.

VII. Personalia, including personal correspondence, documentation of educational background, awards and distinctions, and biographical information.
Appendix C, cont'd.

**Standard Record Series for Environmental Organizations**

The following listing contains guidelines to be used to establish a series structure for the processing of the records of environmental organizations. In many cases, these series can be modified to accommodate the records of other non-profit organizations. The series and subseries listed below are not designed to be applied equally to every collection, but instead to be used flexibly, utilizing only those series needed for each collection.

I. Administrative Records (which document the daily functions of the organization)
   - Executive Director’s Records, including correspondence, speeches and writings, reference files, and strategic plans.
   - Financial Records, including budgets, fund-raising campaigns, audits, and annual reports.
   - Departmental Records, including correspondence, research files, and activity reports.

II. Board of Directors’ Records (which document the activities of the volunteer leadership)
   - Minutes and Agendas of the Board
   - Policy Statements
   - Committee and Task Force Records

III. Program Records (which document the programmatic work of the organization, and are often broken down by department in larger organizations)
   - Publicity, including publications, press releases, action alerts, campaign materials, and ephemera.
   - Legal Records, including research and case files.
   - Lobbying Materials, including correspondence, legislative testimony, legislative bill files, and position papers.
Appendix C, cont'd.

**Standard Record Series for Author's Papers**

The following series are used as guidelines for establishing a series structure for the processing of the papers of authors of works of fiction, non-fiction, criticism, essays, plays, and poetry. The series listed below are not designed to be applied equally to every collection, but instead to be used flexibly, utilizing only needed series.

I. Correspondence, including chronological, alphabetical and subject files.

II. Writings, including outlines, research files, annotated drafts, publishing contracts, copyright information, and reviews by others of the author's works.

III. Professional Activities, including membership in writers' organizations, public readings, teaching, and advocacy.

IV. Personalia, including juvenilia, documentation of educational background, awards and distinctions, and biographical information.
Appendix D: Examples of Genre/Format Arrangements

I. Extracted from the Finding Aid to the Henry F. May Papers, 1940-1999 (BANC MSS 89/61c)

Series 1: Correspondence, 1946-1983.

Chronological Files, 1946-1983.

<table>
<thead>
<tr>
<th>Container</th>
<th>Folder</th>
<th>Contents</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Box 1</td>
<td>1</td>
<td>Correspondence</td>
<td>1946-1949</td>
</tr>
<tr>
<td></td>
<td>2-19</td>
<td>Correspondence</td>
<td>1950-1967</td>
</tr>
<tr>
<td>Box 2</td>
<td>1-14</td>
<td>Correspondence</td>
<td>1968-1981</td>
</tr>
<tr>
<td></td>
<td>15</td>
<td>Correspondence</td>
<td>1982-1983</td>
</tr>
</tbody>
</table>

II. Extracted from the Finding Aid to the Gwendolyn Brooks Papers, 1917-2000 (BANC MSS 2001/83 z)


<table>
<thead>
<tr>
<th>Container</th>
<th>Folder</th>
<th>Contents</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ctn. 3</td>
<td>1</td>
<td>“Astonishment of Heart”</td>
<td>circa 1968</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>2</td>
<td>“Books Feed and Cure and Chortle and Collide”</td>
<td>1969</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>3</td>
<td>“Brooke Maj of Hawthorn South”</td>
<td>undated</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>4</td>
<td>“Children of the Poor”</td>
<td>undated</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>5</td>
<td>“Computer”</td>
<td>undated</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>6</td>
<td>“A Critique in Rhyme”</td>
<td>circa 1933</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>7</td>
<td>“Election Night Returns”</td>
<td>30 October 1986</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>8</td>
<td>“Essential Black Women”</td>
<td>undated</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>9</td>
<td>“The Explorer,” Harper’s Magazine</td>
<td>1959</td>
</tr>
</tbody>
</table>


<table>
<thead>
<tr>
<th>Container</th>
<th>Folder</th>
<th>Contents</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ctn. 3</td>
<td>32</td>
<td>“Gladys the Gladiolus”</td>
<td>undated</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>33</td>
<td>“Has it Been Hard, Miss Brooks?”</td>
<td>undated</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>34</td>
<td>“How I Think Poetry Should be Written”</td>
<td>11 September 1938</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>35</td>
<td>Inez Cunningham Stark</td>
<td>undated</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>36</td>
<td>Young Poet’s Primer</td>
<td>1980</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>37</td>
<td>Young Poet’s Primer – Introduction</td>
<td>1980</td>
</tr>
<tr>
<td>Oversize Box 1</td>
<td></td>
<td>“They Call it Bronzeville,” Holiday Magazine</td>
<td>1951</td>
</tr>
</tbody>
</table>

Subseries 2.3: Plays and Screenplays, [1968], 1975.

<table>
<thead>
<tr>
<th>Container</th>
<th>Folder</th>
<th>Contents</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ctn. 3</td>
<td>38</td>
<td>A Tale of a Far Tomorrow</td>
<td>1968</td>
</tr>
<tr>
<td>Ctn. 3</td>
<td>39</td>
<td>The Sundays of Satin-Legs Smith</td>
<td>1975</td>
</tr>
</tbody>
</table>
Appendix E. Example of Activity/Function Arrangement

Extracted from the Finding Aid to the Eldridge Cleaver Papers, 1963-1988 (BANC MSS 91/213c)

Series 3: Black Panther Party 1953-1979

Arrangement: Further divided into two subseries: 3.1 Black Panther Party, Oakland and 3.2: International Section.

Scope and Content Note: Contains correspondence, statements, and notes from Cleaver's tenure as Minister of Information for the Oakland Black Panther Party and office files concerning the political work of the International Section of the Black Panther Party, founded in Algiers while Cleaver was in exile. Materials concern updates regarding the legal status of members of the Panther Party, the rising tensions and ultimate split between Cleaver and the new leadership of the party, and Eldridge and Kathleen Cleaver's founding of the Revolutionary Peoples' Communication Network. The bulk of the correspondence is from revolutionary organizations and others writing in solidarity. Also included are newsletters and other printed matter from leftist organizations, as well as clippings about the Black Panther Party and resource materials pertinent to the black liberation struggle.

Subseries 3.1 Black Panther Party, Oakland 1953-1979

Physical Description: Carton 4; Volume 1; Oversize box 2, folder 5

Arrangement: Arranged hierarchically.

Scope and Content Note: Includes writings, interviews, correspondence and promotional materials produced by the Black Panther Party or Cleaver, in his role as Minister of Information. Also includes mailings from other political groups and writings about the Black Panthers.

Writings and Addresses
Carton 4, Folder 1  Ministry of Information:
  Black Paper No. 1, Kathleen Cleaver, Communications Secretary  1968 January 31

Carton 4, Folder 2  "Black America - Evolution or Revolution"
  Conference Pamphlet (Keynote Address)  1968 October 8-10

Carton 4, Folder 3  "Pronunciamento" (Address Given at Berkeley Community Center), in
  The Black Panther  1968 December 21

Carton 4, Folder 4  "Open Letter to Stokely Carmichael"  1969 July

Carton 4, Folder 5  Address: "Solidarity of the Peoples Until Victory or Death!, Int'l Conference on Tasks of Journalists..."  1969 September 22

Interviews
Carton 4, Folder 12  Cleaver Interview at Vacaville after May 31, 1968 Shootout  1968 June 3

Carton 4, Folder 13  KNEW Radio Interview, Hilly Rose  1968 September

Carton 4, Folder 14  KCET Interview  1968 October 4

### Correspondence
- Carton 4, Folder 16: Cleaver, Kathleen (1968-1976, undated)
- Carton 4, Folder 17: Pratt, Geronimo (1973)

### Publicity
- Carton 4, Folder 19: International Committee to Defend Eldridge Cleaver (1968 November 26)
- Carton 4, Folder 21: Ruchell Magee Defense Committee (circa 1970)
- Carton 4, Folder 22: Geronimo Pratt Defense Committee (1978-1979)

### Press Releases 1969-1970
- Carton 4, Folder 27: "Intensify the Struggle" pin (undated)
- Carton 4, Folder 28: Invitation to Meet Eldridge and Kathleen Cleaver... at the Home of Mr. and Mrs. Joseph A. Murphy, [Hawaii] (1968)
- Carton 4, Folder 29: "On Youth Culture" - Proposal to Central Committee (1970 January-February)
Appendix F. Processing Guidelines for Materials containing Confidential/Privacy Issues*

In processing personal and organization papers, archivists come across all manner of material that could be deemed "sensitive." What constitutes sensitive material may vary widely among donors, archivists, and researchers. These guidelines establish a sensitive materials processing policy for TBL by defining the parameters of sensitive materials and providing examples of what has been done in specific cases in the recent past. The goal is to manage the legal risk the University is exposed to by limiting the disclosure of certain information pertaining to identifiable living individuals represented in TBL collections without the consent of those individuals. The guidelines address information that is protected directly by federal laws, such as FERPA and HIPAA, and less directly, as when a cause of action under common law for invasion of privacy may arise if facts concerning an individual's private life are published. Though it is not the primary responsibility of the processing archivist to identify sensitive materials in a collection, the archivists' professional code of ethics makes the following statements about confidentiality and privacy:

“Archivists may place restrictions on access for the protection of privacy or confidentiality of information in the records.”

“Archivists protect the privacy rights of donors and individuals or groups who are the subject of records.”

One would expect that donors would be aware of any confidential or private material in the collection, but experience makes clear that donors are not always aware of what they give and they are even less aware of confidential material that concerns living third parties. These two points, the variant interpretations of what constitutes "sensitive," and the archivists' professional code of ethics, necessitate guidelines to shape an approach to sensitive materials that favors access over restriction but complies with the law.

A significant portion of concern for sensitive material can be eliminated by asking a couple of basic questions before imagining ahead to a lawsuit brought against the University for knowingly making a “sensitive” document available for research:

- Does this document have research value?
- Does it deserve attention above and beyond the fact that it has a confidentiality or privacy concern attached to it?

If no, the document should be discarded.

If yes, the guidelines below will help determine whether or not restricted access should be recommended and for how long.

As you, the processing archivist, evaluate the sensitive material at hand, remember these points:

- The collection file should be revisited to review restrictions outlined in the gift agreement. Donor correspondence may contain other clues.
- Regardless of whom the sensitive material concerns, only the donor/person who signed the gift agreement should be contacted to discuss possible restrictions. If the matter concerns a third party represented in the collection, the person to contact is still the donor. If the donor needs time to consider a restriction, a time frame for resolving the matter should be established: "If I don’t hear back from you by _________, I will assume that no further restrictions are required.”
- Contact with the donor should be documented in the collection file with a copy of the letter or email or notes from the telephone conversation.

---

* All examples in this section were taken directly from the UNCC Processing Manual and do not represent TBL collections.
** Donor relations is a curatorial function. Speak with your supervisor if you think there is a need to contact the donor.
Sensitive materials with research value would never be returned to a donor or third party, unless it is clearly restricted by law, legislation or public policy.

Student Records

- Report cards
- Transcripts (personal copies)
- Faculty communications about a student

FERPA takes an interest in student records for living persons, and accordingly processing archivists should too. It is important to remember that STUDENT MATERIALS REFERRING TO DECEASED PERSONS DO NOT CARRY ANY RESTRICTIONS. Typically TBL does not keep transcripts and report cards because they lack research value, but sometimes there is a compelling reason to retain the information or the artifact. If the item is worth keeping, and it refers to the donor of the collection or to a related third party, such as a spouse or child of the donor, then the item requires no restriction. It is reasonable to assume that a closely related third party would have some knowledge of the donor’s holdings of student materials. If the item refers to a non-family member, a restriction may be necessary if the item reveals information that would be offensive to a reasonable person. If there is nothing offensive, then no restriction is needed.

- Papers and tests with grades/evaluations

Unlike report cards and transcripts, the decision to keep or discard these materials is nuanced. It is reasonable to keep papers and tests, with or without grades or evaluations, if they are the work of the donor of the collection. No restriction is necessary. The case for keeping is less compelling if they are the work of less significant third parties represented in the collection, such as the children of the donor. In general, no restriction would be necessary because it is reasonable to assume that a closely related third party would have some knowledge of the donor’s holdings of student materials.

Example

Richardson Preyer: The processing archivist kept Richardson Preyer’s college essays, but discarded most of the miscellaneous tests and essays of his children because the research value was not compelling. No restrictions necessary because Richardson Preyer is deceased and the third party material refers to his children.

When the papers and tests refer to unrelated third parties represented in the collection, such as when the donor is a faculty member who intentionally or unintentionally has kept student papers, then the resolution is different. Restrictions are necessary because these materials are considered student records by FERPA and the individual students are identified. It is possible to make student research papers available by a Deed of Gift or release form (in which the student basically waives FERPA rights for a specific term paper).

Example

Shelby Stephenson, English professor at UNC-Pembroke: Given experience with Stephenson’s papers donated thus far, the processing archivist assumed unintentional retention of student papers, and as such, discarded the whole group of them because they had little or no research value. Even if student papers had been intentionally retained, the processing archivist still would have questioned the research value and likely would have discarded.

It is also worth noting that the student’s papers, as are all other materials in TBL, are copyright protected and the researcher is responsible for determining fair use of these materials.

- Letters of recommendation
These typically are copies of outgoing correspondence. The letters are open without restriction because they (typically) do not contain sensitive information. That the institution that receives a recommendation letter holds them in confidence for a period of time does not affect TBL's ability to make them accessible.

Example

Frank H. Kenan: The collection includes numerous letters of recommendation written by Frank Kenan. Although these letters in and of themselves do not have a lot of research value, they were kept because they reflect Kenan's influence in education circles. No restrictions necessary.

- Miscellaneous student records

Other miscellaneous records might include materials collected by an educational institution or organization. Keeping in mind special concern for third parties who inadvertently and unknowingly find their way into TBL, carefully consider a restriction for materials that identify individuals.

Examples

Anne C. Stouffer Foundation: The collection includes files for individual students who participated in a secondary school scholarship program funded by the foundation. Files include grade reports, teacher evaluations, recommendations, and scholarship application materials of the individual students. Though these are not institutional student records governed by FERPA, the student files are closed to protect the privacy of the individuals identified. The restriction period is for 70 years from the end date of the student files. An individual who is represented in the collection may view his/her file and/or grant permission (in writing) to researchers to view his/her file.

Penn School: The collection includes Head Start materials with evaluations and profiles of students who are identified by name. Given that this is a high profile collection used by researchers both connected and unconnected to the donor, the processing archivist restricted these materials for 70 years.

Refereed Journals and Grant Proposals

- Correspondence and writings of authors whose submissions were rejected

Scholarly and other journals typically do not make available the rejected author materials in order to protect the intellectual copyright of authors. Accordingly, these materials typically are discarded before a restriction is considered.

In most cases, scholarly articles and grants will arrive as part of an individual donor's collection:

If the donor is an individual who reviewed articles for scholarly journals, the reviewed articles should not be in the collection. Scholarly journals typically request that reviewers return articles to the editor, or dispose of them in order to protect the intellectual copyright of authors: discard accordingly. Because the articles should not be in the collection in the first place, the research value is not relevant to the decision to keep or discard.

If the donor is an individual who reviewed grants for a federal agency (such as National Endowment for the Humanities), there should not be any copies of grant proposals in the files. Federal guidelines mandate that grant reviewers dispose of grants immediately after a review has been filed with the agency, or after a designated amount of time, never more than a year: discard accordingly. Because the grant applications should not be in the collection in the first place, the research value is not relevant to the decision to keep or discard.
If the donor is an individual who reviewed grants for a private foundation, assume a similar set of guidelines and discard the grant applications. Even though we don’t know whether or not the donor was obligated to discard the grants at the time of review, we can safely discard them on the precedent of federal agency policy and lack of research value: while the grant proposals may be interesting, they do not carry much research value if the context in which they were created or the outcome of the funding process is unknown.

Barring specific circumstances noted in the collection file, the only reason to keep an unpublished article or grant proposal in personal papers is if it was written by the donor of the collection. The same assumptions should be applied to fellowship applications. Unless a fellowship application was written by the donor of the papers, there is no reason to keep it, and often one or more reasons not to keep it.

Financial Materials

- Salary information
- Charitable giving history or potential
- Banking, investments, insurance
- Any item with a social security number

If these materials relate directly to a deceased person, then there is no need to restrict access. If the materials relate to a known living third party, such as another member of the donor’s family, then consider restricting the material.

- Income tax records

TBL typically does not keep income tax records because they lack context, and therefore research value.

Medical Records

- Medical bills
- Correspondence with insurance companies
- Correspondence with medical professionals

Scattered routine medical materials, especially hospital bills, more than likely will not be worth keeping because they lack research value. If for some reason they are to be kept, check for a social security number.

Medical materials, such as correspondence, that provide substantial or descriptive information about a person’s health, such as concerning long term treatment of a disease or condition, are more promising in terms of research value. If the processing curator/archivist decides to keep these items, they may need to be restricted if there is something of an “extremely sensitive” nature. The threshold for extremely sensitive medical information, of course, will vary from one person to the next. Some medical conditions that bear consideration as extremely sensitive could include serious mental or reproductive issues or substance abuse conditions. When in doubt, consult with the supervising archivist.

If the subject of the sensitive material is deceased, concerns for privacy diminish as it is widely accepted that privacy ends with death. If there is extremely sensitive material about a living donor or third party in the collection, the processing archivist should contact only the donor/person who signed the gift agreement to discuss a restriction. In the case of a deceased donor of a collection with extremely sensitive material relating to a living third party, concern lingers and the processing archivist might contact an heir of the donor to discuss a restriction. Whether or not a restriction is put in place by the donor or an heir at the time of processing, the SHC remains open to the possibility that a third party represented in the collection may at any time request a restriction on materials relating to him or her.
Appendix F, cont'd.

A word about HIPAA...

As understood by the TBL staff, HIPAA regulations do not affect TBL collections because the TBL is not a covered entity (see flow chart at: http://www.cms.gov/HIPAAGenInfo/downloads/CoveredEntityCharts.pdf).

The TBL may hold records of formerly covered entities that have protected health information that connects an identifiable person with treatment or billing, but because the TBL is not a covered entity, the TBL is not bound by HIPAA restrictions. However, the TBL fulfills its ethical responsibility to protect the privacy of individuals by placing reasonable restrictions on its medical materials. A 70 year closure from the end date of the materials involved is standard practice.

- Papers of a medical professional or organization (could include patient files; correspondence with patients and insurance companies; a doctor's journal of patient appointments, charges, explanations for visit)

Because of the potential volume of sensitive materials in such collections, the curator may want to consult with the donor and/or university counsel about legal and ethical considerations before accepting a collection from a currently or formerly covered entity, but technically is not obligated to. At the very least the curator will want to raise the issue of restrictions with the donor at the point of accession, and suggest that these materials be closed for 70 years from the end date of the materials involved.

Examples

Trent Busby Medical Records: The collection is comprised of medical records, 1950s-1990s, documenting a medical practice that today would be considered a covered entity. The records provide information on specific illnesses and treatments for individuals and on women's health in general. The collection automatically was closed until 2062, which is 70 years after the end date of the materials.

Bartlett Jones: The collection consists of physician account books, 1817-1830, with patient names, treatments, and charges for services provided. No restrictions are necessary because all patients represented in the collection are long deceased.

Legal Materials

- Court materials (including motions, judgments, depositions, and other filings)

Court materials are public documents and therefore always available without restriction.

- Case files (including correspondence, notes, and other materials) relating to a donor's law practice

Making case files available for research is a question of risk management. In criminal and civil proceedings, when a person hires a lawyer, exchanges between the two are attorney-client privileged because the lawyer is acting on behalf of the client. Lawyers are legally and ethically bound to uphold this confidence at least until the client's death, if not in perpetuity. Given the attorney-client privilege, a reasonable archivist might question whether a lawyer legally or ethically can place case files in an archive. Since archivists are not subject to the same codes that lawyers are legally and ethically bound to uphold, it is not the archivist's responsibility to determine whether or not a lawyer can legally and/or ethically place his or her case files in TBL.

Nevertheless, the curator will want to consult with the donor and/or university counsel about legal and ethical considerations (keeping in mind that these vary by state) before accepting a collection with case files, but technically is not obligated to. A thorough risk assessment should be done before accepting and providing access to the material.
Appendix F, cont'd.

Once the materials are accessioned the usual ethical responsibilities of archivists come into play. In keeping with the special concern for the privacy of third parties who inadvertently end up in the collection, case files of a donor who is a lawyer or law firm will be closed for a period of 70 years from the end date of the materials involved.

It may be possible to write a restriction that allows researchers to consult the files, but not cite the names of the individuals involved without written permission from the individuals. This limited restriction would provide for more immediate access to the material and place ethical responsibility on the researcher. Of course the researcher may or may not abide the restriction, which could put the University at increased risk.

The personal case file(s) of living donors are open without restriction, based on the assumption that a donor is aware of what he or she has given to TBL. The exception, of course, is for material that is of a sensitive nature, which may be restricted for a period of time. Some legal records that bear consideration as “extremely sensitive” could include divorce and child custody proceedings, in particular because these often involve third parties and could contain psychological evaluations. If the third party subject of the sensitive material is deceased, concern for privacy diminishes as it is widely accepted that privacy ends with death.

If the collection contains sensitive legal material about a living donor or third party in the collection, the donor/person who signed the gift agreement should be contacted to discuss a restriction. In the case of a deceased donor of a collection with sensitive legal material relating to a living third party, concern remains and an heir of the donor should be contacted to discuss a restriction. Whether or not a restriction is put in place by the donor or an heir at the time of processing, TBL remains open to the possibility that a third party represented in the collection may at any time request a restriction on materials relating to him or her.

Business Records

Administrative Files

Donors of business records sometimes restrict current administrative materials as a matter of course. Allowances are sometimes made for access with written permission from the donor. Be sure to check the collection file for the gift agreement.

Personnel Records

- Pay stubs
- Job applications and resumes
- Miscellaneous employee records

These materials may or may not have research value. If you decide to keep them, they should be open without any restrictions, unless they include social security numbers of living people.

- Grievance files

As with legal case files, grievance files typically are closed for a period of 70 years to protect the privacy of third parties who are unaware that they are represented in TBL collections.

It may be possible to write a restriction that allows researchers to consult the files, but not cite the names of the individuals involved without written permission from the individuals. This limited restriction would provide for more immediate access to the material and place ethical responsibility on the researcher. Of course the researcher may or may not abide the restriction, which could put the University at increased risk.
Appendix F, cont’d.

Other Materials

- Any item with a social security number

If the item is worth keeping and the social security number relates to a person who is alive, discuss strategies with your supervisor.

- References to legal troubles, financial mismanagement, health problems, marital troubles, sexual identity, sexual relationships, and the like in correspondence, diaries, and other unexpected places.

In the processing of these collections, we are not able to, nor should we, read each document for confidential/privacy content. However, in those rare instances where we might come across such topics if the sensitive information relates to the donor, there is no obligation to restrict the material because it is assumed that the donor is aware of what he or she donated. Nevertheless, a good faith effort on the part of the processing archivists is still required because donors sometimes are unaware of potential privacy and confidentiality concerns in the materials they donated, especially when it comes to third parties represented in the collection.

If the donor is an heir of the creator, he or she possibly is unaware of the full content of the donation. If the processing archivist discovers sensitive material, it is a good idea to consult the donor about a possible restriction.

If the creator of sensitive material is a third party represented in the collection, consider whether the material passes the test for extremely sensitive: would a reasonable person find this offensive? If the material qualifies as such, consult with the supervising archivist as to whether or not to contact the donor for input about a restriction.

If the sensitive material does not qualify as extremely sensitive, make no restrictions. The third party creator may at a later date request a restriction, but it is not our place to encourage limitations to access.

There are instances in which material that is not overtly sensitive has been restricted by the donor in order to protect privacy during one’s lifetime, but these should be few and far between.

Concluding Thoughts

When all is said and done, the processing archivist should take heart and sleep well at night by adding the following statement to the finding aid of any collection that has sensitive materials, either discovered or awaiting discovery:

Even though all reasonable and customary best-practices have been pursued, this collection may contain materials with confidential information that is protected under federal or state right to privacy laws and regulations. Researchers are advised that the disclosure of certain information pertaining to identifiable living individuals represented in this collection without the consent of those individuals may have legal ramifications for which the University of California, Berkeley assumes no responsibility.
### Sensitive Materials Processing Guidelines Overview

<table>
<thead>
<tr>
<th>Category</th>
<th>Item</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Records</td>
<td>Report cards</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded. If donor or donor’s family: no restriction necessary</td>
</tr>
<tr>
<td></td>
<td>Transcripts</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded. If donor or donor’s family: no restriction necessary</td>
</tr>
<tr>
<td></td>
<td>Papers with grades</td>
<td>If donor or donor’s family: no restriction necessary. If NOT donor or donor’s family: restrict for 70 years</td>
</tr>
<tr>
<td></td>
<td>Tests with grades</td>
<td>If donor or donor’s family: no restriction necessary. If NOT donor or donor’s family: restrict for 70 years</td>
</tr>
<tr>
<td></td>
<td>Letters of recommendation</td>
<td>No restriction necessary</td>
</tr>
<tr>
<td></td>
<td>Miscellaneous student records/materials</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded. Restriction may be necessary if material identifies 3rd party individuals and includes evaluation of any kind; the records need not be official institutional records governed by FERPA to warrant a privacy restriction.</td>
</tr>
<tr>
<td></td>
<td>Refereed journal records</td>
<td>If donor’s own work, no restriction. Discard if donor was the referee.</td>
</tr>
<tr>
<td></td>
<td>Refereed journal correspondence and writings</td>
<td>If donor’s own work, no restriction. Discard if donor was the referee.</td>
</tr>
<tr>
<td></td>
<td>Refereed grant proposals</td>
<td>If donor’s own work, no restriction. Discard if donor was the referee.</td>
</tr>
<tr>
<td>Financial materials</td>
<td>Salary information</td>
<td>If donor, no restriction necessary. If donor’s family, consult donor about restriction. If unrelated 3rd party, leave open.</td>
</tr>
<tr>
<td></td>
<td>Charitable giving/potential</td>
<td>If donor, no restriction necessary. If donor’s family, consult donor about restriction. If unrelated 3rd party, leave open.</td>
</tr>
<tr>
<td></td>
<td>Banking, investments, insurance</td>
<td>If donor, no restriction necessary. If donor’s family, consult donor about restriction. If unrelated 3rd party, leave open.</td>
</tr>
<tr>
<td></td>
<td>Income tax records</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded. If donor, no restriction necessary. If donor’s family, consult donor about restriction. If unrelated 3rd party, leave open</td>
</tr>
<tr>
<td>Category</td>
<td>Item</td>
<td>Comment</td>
</tr>
<tr>
<td>------------------------</td>
<td>---------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Medical/health related materials</td>
<td>Medical bills</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded.</td>
</tr>
<tr>
<td></td>
<td>Health insurance correspondence</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded. If person represented is alive, consider restriction for conditions relating to mental or reproductive health.</td>
</tr>
<tr>
<td></td>
<td>Medical correspondence</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded. If person represented is alive, consider restriction for conditions relating to mental or reproductive health.</td>
</tr>
<tr>
<td></td>
<td>Physician journals</td>
<td>If end date is more than 70 years old, then no restriction is necessary. If end date is less than 70 years and individual patients and ailments are identified, restrict for 70 years from end date.</td>
</tr>
<tr>
<td></td>
<td>Patient files</td>
<td>Restrict for 70 years from end date.</td>
</tr>
<tr>
<td>Legal materials</td>
<td>Court materials</td>
<td>Public records: no restriction necessary.</td>
</tr>
<tr>
<td></td>
<td>Legal case files</td>
<td>If donor’s personal case file(s), no restriction necessary. If donor’s family personal case file(s), consult donor for restriction. If lawyer’s case files, restrict for 70 years.</td>
</tr>
<tr>
<td>Business materials</td>
<td>Business administrative files</td>
<td>Restrict at donor’s request only.</td>
</tr>
<tr>
<td></td>
<td>Pay stubs</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded; otherwise, no restriction necessary.</td>
</tr>
<tr>
<td></td>
<td>Job applications</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded; otherwise, no restriction necessary.</td>
</tr>
<tr>
<td></td>
<td>Resumes</td>
<td>No restriction necessary</td>
</tr>
<tr>
<td></td>
<td>Employee records</td>
<td>Always check for SSN: mandatory restriction if person represented is still alive and SSN is recorded; otherwise, no restriction necessary.</td>
</tr>
<tr>
<td></td>
<td>Grievance files</td>
<td>Restrict for 70 years.</td>
</tr>
<tr>
<td>Other sensitive content</td>
<td>Sexual activity</td>
<td>If content is explicit AND 3rd parties are identified restrict until death of person(s) represented.</td>
</tr>
<tr>
<td></td>
<td>Sexual identity</td>
<td>If 3rd parties are identified restrict until death of person(s) represented.</td>
</tr>
<tr>
<td></td>
<td>Drug use</td>
<td>If content is explicit AND 3rd parties are identified restrict until death of person(s) represented.</td>
</tr>
<tr>
<td>Category</td>
<td>Item</td>
<td>Comment</td>
</tr>
<tr>
<td>-----------------------</td>
<td>---------------------------</td>
<td>-------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Mental health concerns</td>
<td>If donor, consider restriction.</td>
<td>If donor’s family or 3rd party, consider restriction until death of persons represented.</td>
</tr>
<tr>
<td>Reproductive health concerns</td>
<td>If donor, consider restriction.</td>
<td>If donor’s family or 3rd party, consider restriction until death of person(s) represented.</td>
</tr>
<tr>
<td>Marital discord</td>
<td>If donor, no restriction necessary.</td>
<td>If donor’s family or unrelated 3rd party, consider restriction until death of person(s) represented.</td>
</tr>
</tbody>
</table>
Appendix G. MARC Template for Collection Records in OCLC:
Bancroft Library Archival and Manuscript Collections

Record format: **Books**

<table>
<thead>
<tr>
<th>Rec stat n</th>
<th>Entered [system-supplied date]</th>
<th>Replaced [system-supplied date]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type t</td>
<td>ELvl K</td>
<td>Srce d</td>
</tr>
<tr>
<td>BLvl c</td>
<td>Form Conf 0 Biog MRec Ctry cau</td>
<td>Cont GPub LitF 0 Indx 0 or 1</td>
</tr>
<tr>
<td>Desc a</td>
<td>Ills Fest 0 DtSt i, k or s Dates yyyy,yyyy</td>
<td></td>
</tr>
</tbody>
</table>

040 CUY ‡e dacs ‡c CUY

041 0_ Use only if collection in multiple languages; obtain language information from 546 : example:
( eng ‡a spa )

043 n-us-ca [etc.]

049 CUYM

100 1_ Creator (personal name) Use form of name found in LC NAF, if authority file exists; otherwise construct name in fullest form possible.

110 ?_ Creator (corporate name) Use form of name found in LC NAF, if authority file exists; otherwise construct name in fullest form possible.

245 ?0 Title, ‡f yyyy-yyyy ‡g (bulk yyyy-yyyy).
[no ‡k]

300 ## boxes, ## cartons, ## volumes, ## oversize folders, [etc.], ( XX.XX linear feet)

351 Carton #: [description]. Box #: [Description]. Vol. #: [Description]. Oversize folder #: [description]; ‡b [Chronological/Alphabetical] arrangement.
Use for collections larger than 1 container, but not large enough for a box or folder listing. Do not use for collections that have online finding aids. Alternatively, use for oversize items in processed collections to minimize unnecessary paging of large items

---

1 This template provides general guidance for Bancroft practice, including preferred wording for standard notes. For complete guidance on MARC tags, indicators, and subfields, please see OCLC Bibliographic Formats and Standards: [http://www.oclc.org/bibformats/en/default.shtm](http://www.oclc.org/bibformats/en/default.shtm)

S:\BTS Procedures\Manuscript Cataloging\MARC Template for Manuscript Collections Records in OCLC-rev-201102.doc - 63 -
<table>
<thead>
<tr>
<th>Tag</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>506</td>
<td>UNARRANGED COLLECTION. UNAVAILABLE FOR USE. Inquiries regarding these materials should be directed, in writing, to the Head of Public Services, The Bancroft Library. <strong>OR</strong> RESTRICTED COLLECTION. Use only by permission of the appropriate curator. Inquiries regarding these materials should be directed, in writing, to the Head of Public Services, The Bancroft Library. <strong>OR</strong> PARTIALLY RESTRICTED COLLECTION. [Container] sealed until [year] per donor stipulation. <strong>OR</strong> Other restrictions as applicable</td>
</tr>
<tr>
<td>506</td>
<td>COLLECTION STORED [ , IN PART,] OFF-SITE: Advance notice required for use.</td>
</tr>
<tr>
<td>520</td>
<td>Summary (scope and content)</td>
</tr>
<tr>
<td>524 8_</td>
<td>Preferred citation: [Title from 245], BANC MSS <strong><strong>/</strong></strong>, The Bancroft Library, University of California, Berkeley.</td>
</tr>
<tr>
<td>530</td>
<td>Transcriptions available. <strong>OR</strong> Also available on microfilm with call number BANC FILM ______ <strong>OR</strong> Also available online. Use only for full-text online</td>
</tr>
<tr>
<td>535 1_</td>
<td>§3 [item] §a [custodian/owner]; §b [place]. Use for holder of originals</td>
</tr>
<tr>
<td>535 2_</td>
<td>§3 [item] §a [custodian/owner]; §b [place]. Use for holder of duplicates</td>
</tr>
<tr>
<td>540</td>
<td>§3 [item] §a PHOTOCOPYING RESTRICTED. Only by permission of the appropriate curator [or donor]. Inquiries regarding these materials should be directed, in writing, to the Head of Public Services, The Bancroft Library.</td>
</tr>
<tr>
<td>541 1_</td>
<td>§c Gift/Purchase; §a of/from [name]; §d [year]. <strong>OR</strong> §3 [item] or Additions: §c Gift/Purchase; §a of/from [name]; §d [year].</td>
</tr>
<tr>
<td>544</td>
<td>Films, videotapes, and tape recordings transferred for separate cataloging.</td>
</tr>
</tbody>
</table>
Appendix G, cont'd.

| 544 | Negatives transferred to the Pictorial Collections of the Bancroft Library (BANC PIC xxxx.xxx--NEG). |
| 544 | Photographs transferred to the Pictorial Collections of The Bancroft Library (BANC PIC ________).  
**OR**  
__________ transferred to the ________ Collections of The Bancroft Library. |
| 544 1_ | ‡3 Related collection: ‡d Title (BANC MSS ____/__).  
**OR**  
‡3 Associated collection: ‡d Title (Institution call number).  
*If collection is located somewhere other than Bancroft* |
| 545 0_  
**OR**  
545 1_ | Biography of person  
**OR**  
Administrative history of corporation/body |
| 546 | In English [and Spanish, German, etc.]  
**OR**  
In ______, with translations into ________.  
Enter 546 language information in 041 |
| 555 | Finding aid ‡b available in the library and online.  
**OR**  
Container list ‡b available in the library.  
**OR**  
Container list ‡b available in the library; ‡c for additions received [date]. |
| 561 1_ | Transferred from the ________________ (BANC MSS ____/__). |
| 580 | Forms part of the [collection].  
*Use in conjunction with 799 heading* |
| 583 | Collection processed at [container/folder] level in [year].  
**OR**  
[Containers] processed at folder level. [Containers] processed at container level |
| 584 | Future additions are expected.  
**OR**  
Additions expected every year.  
*Use only for collections for which Bancroft is the depositing repository (e.g., Sierra Club). Update date and collation fields (“ongoing” is no longer valid for dates)* |
Appendix G, cont'd.

600 10 Creator $v Archives. [same as 100]
610 ?0 Creator $v Archives. [same as 110]

710 2_ Online Archive of California.

799 0_ [Name of local collection]. $5 CU-BANC

851 The Bancroft Library, $c University of California, Berkeley, CA 94720-6000.

856 41 $3 Online version $u [url]

856 42 $3 OAC finding aid $u http://www.oac.cdlib.org/findaid/ark:/______/_______

Millennium-required fields

866 _0 carton/box ___
Use only if creating a new holdings record

907 .[Millennium bib number]
Use only if existing Millennium record not already in OCLC; e.g., preliminary record, order record; make sure to include leading period

949 *recs=oclcexport;

949 _2 $z 099 8 $a BANC MSS ____/___ $l tb
Use only if creating a new holdings record

949 _1 $z 099 8 $a BANC MSS ____/___ $l tb $t 27 $o l $c carton # $i barcode
Use only if creating new item record

956 tb[initials]
Appendix H. Housing and Labeling Conventions:

The Bancroft Library
University of California, Berkeley

Manuscripts Processing

Housing and Labeling Conventions

Revised: April 2003; May 2007

PhotoShop renderings prepared by
Jenny Yoshida, February 2003;
revised by Alison E. Bridger, May 2007
Appendix H, cont'd.

FINDING AID BINDERS
READING ROOM COPY

Write name of collection along spine with white china marker.

Write call number with black, fine point, permanent marker on white sticker. If for Reading Room, add "REF."

Use black ACCO binders. Red ACCO binders for preliminary lists not on OAC.
LEGAL OR LETTER SIZE ACID-FREE FOLDERS

Use pencil only.

<table>
<thead>
<tr>
<th>Container type</th>
<th>Series or Subseries name</th>
<th>Folder title</th>
<th>Dates (19xx-19xx)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Container number</td>
<td>Poetry</td>
<td>Aardvark and Impala</td>
<td>1959</td>
</tr>
<tr>
<td>Folder number</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

99/244

z

Call number without BANC MSS.

Don’t fill folders beyond the 2nd fold.

Make a template to ensure that all columns of text on folders in the collection line up.

3
Appendix H, cont'd.

BANCROFT LIBRARY
STANDARD LABEL

U.C. Berkeley Bancroft Library
Manuscripts Collections

Call number
Suffix
Container number

BANC MSS 73/188 c
Box 4

Name and dates derived from Gladis records.
Title and dates

Use this type of label for cartons, half cartons, manuscript boxes and half boxes, oversize boxes, box tubes, cardfile boxes, and tubes. A template is available on the Q drive, in the MSS folder.
Appendix H, cont'd.

**CARTON**

(1.25 linear feet)
(1 MU)

**HALF-CARTON**
[Described in collation statements as “box”]

(0.6 linear feet)
(0.6 MU)
LETTER OR LEGAL SIZE MANUSCRIPT BOX
(0.4 linear feet)
(0.4 MU)

LETTER OR LEGAL SIZE MANUSCRIPT HALF-BOX
(SLIM)
(0.2 linear feet)
(0.2 MU)
OVERSIZE BOX
(First label a short side, then the long side to the right of it.)

Use the lighter 10 point folder stock for storing materials in oversize boxes and place folders in box with the fold facing the drop front of the box, so that the contents don't spill out.

Use the heavier 20 point folder stock for storing oversize in drawers.

OVERSIZE FOLDER FOR OVERSIZE BOX

fold

99/244
z

Oversize Box 1:1  [Description]
Appendix H, cont'd.

OVERSIZE DRAWER

OVERSIZE FOLDER, Size A (smallest)
18" x 24"

All folds face back of drawer.

OVERSIZE DRAWER

OVERSIZE FOLDER, Size B (medium)
36" x 24"

Folds face towards the left.

OVERSIZE DRAWER

OVERSIZE FOLDER, Size C (largest)
36" x 48"

Like A size folders, fold faces back of drawer.

Use the heavier 20 point folder stock for storing oversize in drawers.
Use the lighter 10 point folder stock for storing materials in oversize boxes.

Use stamps, not labels on oversize folders.

U.C. Berkeley Bancroft Library
Manuscripts Collection

Call #
Collection Name:
Folder # Oversize Drawer Unit
Appendix H, cont'd.

**WRAPPED VOLUME**
(0.2 - 1.0 MU)

Use yellow acid-free paper to wrap. Use only string to bind (no tape) and tie with a bow for easy unwrapping.

Write call number and volume number in black marker on upper left corner of front face and at the bottom of the side with the spine.

Tie the bow on the side opposite the spine.

For narrower volumes, label down the side of volume.

**BOXED VOLUME**
(0.2-1.0 MU)

Volumes that are sent to Conservation for boxing first do not get barcoded until returned.

Write call number in back of volume in pencil for easier identification if separated from box.

Volumes sent for boxing are still considered volumes.

Volumes are labeled in Marking (Cataloging department).
PORTFOLIO (VOLUME)
(0.1 linear feet)
(0.1 MU)

Outside View

Send portfolio to marking for outside labels.

Interior Cover

Interior Folder

Write call number in pencil.
CARDFILE BOXES

UNHINGED
(On smaller cardfile boxes, labels may be partially covered by the lid.)

HINGED
Appendix H, cont'd.

MICROFILM BOX

On back of box, write the positive or negative numbers in pencil.

e.g.

POS
B16g 1555: 165

FILM
C-I
100

Call Private Land Claims
Dockets

From U.S. National Archives,
RG 49.

Reel 113

call number

reel number

title

any additional information
Appendix I. Finding Aid Template

Finding Aid to the [Collection Title], [dates] (bulk [dates])

Collection number: BANC MSS xx/xxx x [or X-X xxx]

The Bancroft Library

University of California, Berkeley
Berkeley, California

Funding for processing this collection was provided by
[Name of funding agency or person(s)] [Use for corporations and state/federal agencies. Use for
individuals only if permission explicitly granted.]

Finding Aid Written By:
[Author name(s) or Bancroft Library staff]; revised by [name(s) or Bancroft Library staff]

Date Completed:
[Month and year written]; revised [month and year]

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TABLE OF CONTENTS

Collection Summary ................................................................. Error! Bookmark not defined.
Information For Researchers ................................................ Error! Bookmark not defined.
Administrative Information ..................................................... Error! Bookmark not defined.
Biographical Information ....................................................... Error! Bookmark not defined.
Scope And Content Of Collection ......................................... Error! Bookmark not defined.
Series Description .............................................................. Error! Bookmark not defined.
Container List ................................................................. Error! Bookmark not defined.
COLLECTION SUMMARY

Collection Title

[Supplied or formal title of collection, equivalent to MARC 245 (see DACS ch. 2.3)], [dates] (bulk [dates])

Collection Number

BANC MSS xx/xxx x [or X-X xxx]

Creator(s) [or Collector(s) if applicable]

[Authorized name(s) of creator(s)/collector(s) (see DACS ch. 9)]
(If no authorized name exists, create a name based on DACS pt. III)

Extent

Number of containers: xx boxes, xx cartons, xx oversize boxes, xx oversize folders
Linear feet: [carton=1.25; box=.4; ½ box=.2; vol=.2; See Housing and Labeling Conventions document for linear feet of other containers]

Repository

The Bancroft Library
Berkeley, California 94720-6000

Abstract

[One paragraph description used as basis for MARC 520 and used as first paragraph in Scope and Content of Collection.]

Languages Represented

Collection materials are in English.

Physical Location

Many of the Bancroft Library collections are stored offsite and advance notice may be required for use. For current information on the location of these materials, please consult the library's online catalog.
INFORMATION FOR RESEARCHERS

Access

Collection is open for research.
or:
Collection is open for research, with the following exceptions:
or:
Collection is [summarize restrictions as specified in the deed of gift].

Publication Rights

[applies to all Bancroft collections, regardless of rights status]

Materials in this collection may be protected by the U.S. Copyright Law (Title 17, U.S.C.). In addition, the reproduction of some materials may be restricted by terms of University of California gift or purchase agreements, donor restrictions, privacy and publicity rights, licensing and trademarks. Transmission or reproduction of materials protected by copyright beyond that allowed by fair use requires the written permission of without permission of the copyright owner. Responsibility for any use rests exclusively with the user.

All requests to reproduce, publish, quote from, or otherwise use collection materials must be submitted in writing to the Head of Public Services, The Bancroft Library, University of California, Berkeley 94720-6000. See: http://bancroft.berkeley.edu/reference/permissions.html.

Preferred Citation

[Identification of item], [Collection Title & BANC MSS number], The Bancroft Library, University of California, Berkeley.

Alternate Forms Available

There are no alternate forms of this collection.
or:
[Full or partial] collection is available on microfilm, [Collection Title & number].
or:
Digital reproductions of select/all items/images are available.

Additional Notes on Collection

[Use for additional notes as necessary]

Related Collection(s)

[Collection Title, BANC MSS number]

Separated Material [select only those applicable]

Printed materials have been transferred to the book collection of The Bancroft Library.
Photographs have been transferred to the Pictorial Collections of The Bancroft Library.
Appendix I, cont'd.

Videotapes/sound recordings have been transferred to the Microforms Collection of The Bancroft Library.

Maps have been transferred to the Map Collection of The Bancroft Library.

University of California materials have been transferred to University Archives in The Bancroft Library.

Maps have been transferred to the Earth Sciences and Maps Library.

Objects have been transferred to the Pictorial Collections of The Bancroft Library.

Indexing Terms

The following terms have been used to index the description of this collection in the library's online public access catalog.

[Required to include at least three terms. They may be personal name(s), family name(s), corporate name(s), formal or supplied title(s), subject(s), geographical name(s), genre/form term(s), occupation(s), or function(s).]
ADMINISTRATIVE INFORMATION

Acquisition Information

The [Collection Title] was/were given to [or purchased by] The Bancroft Library by [name(s)] [or from xxxxx] on [month date, year]. Additions were made on [month date, year] (if applicable).

Accruals

No additions are expected.
or:
Future additions are expected.
or:
Future additions are expected in [year].
or:
Future additions are expected annually.

System of Arrangement

Arranged to the container level.
or:
Arranged to the folder level.
or:
Portions of this collection are arranged to the folder level, while others are arranged to the container level.

Processing Information

Processed by [name(s) or Bancroft Library staff] in [year].
or:
Preliminary processing by [name(s) or Bancroft Library staff] in [year]. Additions processed by [name(s)] in [year].
Appendix I, cont'd.

SCOPE AND CONTENT OF COLLECTION

[Use Abstract as first paragraph; then provide further information about the nature of the materials and activities reflected in the collection if appropriate.]
SERIES DESCRIPTION

Series 1: [NAME, DATES]
[Arrangement]
[Summary]

Subseries 1.1: [NAME, DATES]
[Arrangement]
[Summary]

Subseries 1.2: [NAME, DATES]
[Arrangement]
[Summary]

Series 2: [NAME, DATES]
[Arrangement]
[Summary]

Subseries 2.1: [NAME, DATES]
[Arrangement]
[Summary]

2.1.1: [Sub-Subseries NAME, DATES] [Use if necessary]
[Arrangement]
[Summary]
CONTAINER LIST

Series 1: [NAME, DATES]

  Subseries 1.1: [Subseries NAME, DATES]

<table>
<thead>
<tr>
<th>Container</th>
<th>Folder</th>
<th>Contents</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Box 1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

  Subseries 1.2: [Subseries NAME, DATES]

|          |        |          |       |
|          |        | x        |       |
|          |        |          |       |

Series 2: [NAME, DATES]

  Subseries 2.1: [SUBSERIES NAME, DATES]

|          |        |          |       |
|          |        | xx       |       |
|          |        |          |       |
|          |        | xx       |       |

  2.1.1: [Sub-subseries name]

|          |        |          |       |
|          |        | xx       |       |
|          |        |          |       |
Appendix J. Finding Supplies:

Don't forget: materials from all rooms other than Room 570 must be signed out.

Materials from Room 570 do not need to be signed out.

<table>
<thead>
<tr>
<th>Item</th>
<th>Location</th>
<th>Room</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acco press binders</td>
<td>571</td>
<td></td>
</tr>
<tr>
<td>Acid-Free paper</td>
<td>Copy Room</td>
<td>584</td>
</tr>
<tr>
<td>Bookplate flags</td>
<td></td>
<td>584</td>
</tr>
<tr>
<td>Boxes (letter and legal)</td>
<td>579</td>
<td>561</td>
</tr>
<tr>
<td>Boxes (oversize)</td>
<td>579</td>
<td>570</td>
</tr>
<tr>
<td>Boxes (serial)</td>
<td>579</td>
<td>579</td>
</tr>
<tr>
<td>Candy (jack-o'-lantern)</td>
<td>575 D</td>
<td></td>
</tr>
<tr>
<td>Cartons*</td>
<td>561</td>
<td>570</td>
</tr>
<tr>
<td>Cassette cases</td>
<td>571</td>
<td>584</td>
</tr>
<tr>
<td>Cassette storage boxes</td>
<td>571</td>
<td>570</td>
</tr>
<tr>
<td>CD/DVD cases</td>
<td>571</td>
<td>561, 570</td>
</tr>
<tr>
<td>CD storage boxes</td>
<td>571</td>
<td>575 B</td>
</tr>
<tr>
<td>Corrugated board</td>
<td>561</td>
<td>571</td>
</tr>
<tr>
<td>Cotton tying tape</td>
<td></td>
<td>571</td>
</tr>
<tr>
<td>Document binders</td>
<td></td>
<td>586 and 588</td>
</tr>
<tr>
<td>Folders (letter and legal)</td>
<td></td>
<td>561</td>
</tr>
<tr>
<td>Folders (small)</td>
<td></td>
<td>570</td>
</tr>
<tr>
<td>Folders (oversize and pamphlet)</td>
<td></td>
<td>579</td>
</tr>
<tr>
<td>Gloves</td>
<td>Reading Room</td>
<td></td>
</tr>
<tr>
<td>Mylar</td>
<td></td>
<td>570 and 571</td>
</tr>
<tr>
<td>Mylar book jackets</td>
<td></td>
<td>584</td>
</tr>
<tr>
<td>Negative boxes**</td>
<td></td>
<td>571</td>
</tr>
<tr>
<td>Negative and slide envelopes**</td>
<td></td>
<td>570</td>
</tr>
<tr>
<td>Spacers</td>
<td></td>
<td>561, 570</td>
</tr>
<tr>
<td>Stamps***</td>
<td></td>
<td>575 B</td>
</tr>
<tr>
<td>Videocassette cases</td>
<td></td>
<td>571</td>
</tr>
</tbody>
</table>

* Cartons may also be stored upstairs periodically. Check with your supervisor.
** Additional pictorial supplies can be found on the 4th floor. Check with your supervisor.
*** Stamps include oversize-folder labels, as well as “Includes Photographs,” and “Restricted”

A small staging area containing limited supplies for archival processing (generally document boxes and folders) may also be found in Room 476.

Please check with your supervisor if you cannot locate supplies. New supplies are ordered periodically and can be requested through your supervisor.
## Appendix K. Separation Sheet

**BANCROFT LIBRARY**  
**SEPARATION SHEET**

Collection Call Number: __________________________________________________________

Collection Title: _________________________________________________________________

**Description of Item(s):**

______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________

**Original Location** (e.g. container #/ folder #):________________________

______________________________________________________________________________

**Current Location/ Removed to** (e.g. oversize folder #):________________________

______________________________________________________________________________

**Date of Separation:** ____________

By: ______________________________________________________________________

**Notes:**

______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________

*Note a copy of this form should be kept in the original location of the item removed and another kept with the object removed.

**Always photocopy this form onto acid-free paper**
## Appendix L. Pictorial Transfers

### Pictorial Transfers:

<table>
<thead>
<tr>
<th>Guidelines:</th>
<th>Examples</th>
<th>Disposition</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>I. Are the materials in physical danger of breakage or severe damage in their present location, or do they have exceptionally high artifactual value meriting special handling and description?</strong></td>
<td>Anything glass (negatives, lantern slides), nitrate negatives, cased photographs (such daguerreotypes, etc.), oil paintings or other original art work, large batches of other negatives, important photo prints by major photographers, or other materials clearly in need of special pictorial handling or housing.</td>
<td>If yes, then transfer the material to Pictorial. Include other pictorial material in the collection that might not have been transferred to Pictorial otherwise, unless it falls under Guideline II.</td>
<td>19th century photographic prints on paper do not automatically qualify under this consideration. If pictorial items are removed because of preservation or conservation issues but might otherwise have remained in the collection under Guideline II, place a transfer sheet indicating their removal in the collection.</td>
</tr>
<tr>
<td><strong>II. Are the pictures intrinsically related or physically attached to manuscript material in the collection?</strong></td>
<td>A picture enclosed with a letter which describes the picture, other items which lose their relevance outside of their immediate context, pictures mounted in a scrapbook, perhaps scientific research photographs, etc.</td>
<td>If yes, then items should remain in the collection. They should be given pictorial-appropriate housing whenever possible, and the catalog record for the manuscript material should not only use the genre term “655 Photographs”, but also conform to pictorial cataloging policy (i.e. subject access).</td>
<td>If only some of the items are closely related (as described) but the collection also contains a more separate clutch of pictures, leave the closely related items in place in the collection, but consider the separate items under Guideline III. The physical description (and 520 description if desirable) should refer to the pictures and give at least some idea of their quantity.</td>
</tr>
</tbody>
</table>
### Appendix L, cont'd.

<table>
<thead>
<tr>
<th>III. Do the pictures contain subjects that would be of particular interest to Pictorial? (Do they have visual subject content independent of their contextual value, and is this content relevant to the collecting areas of the Bancroft?)</th>
<th>Landscapes and towns/cities (especially of the west), local industries, portraits of &quot;important&quot; people, etc.</th>
<th>If yes, then transfer to Pictorial.</th>
<th>Items which might not qualify include laboratory experiment or research photos, or family portraits and snapshots clearly outside of our geographic focus.</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV. Are the pictures totally outside the realm of our collecting area, and are only relevant because they are part of the collection?</td>
<td>History of Science Manuscripts collections that contain photos of people's experiments or fieldwork; family photos from a different geographic region.</td>
<td>If yes, leave the material in the collection and add the &quot;655 Photographs&quot; genre term to the record.</td>
<td>If they are this far removed from TBL collecting interest, they probably won't need the usual full pictorial cataloging guidelines for subjects, etc. applied. Give an indication in the physical description (and 520 summary) of their quantity.</td>
</tr>
<tr>
<td>V. Is there a significant quantity of photos (approximately a half document box or more)? Are the photographs complex enough in variety and subject content that they would need a separate catalog record to describe them well?</td>
<td>Snapshots or photos only tangentially related to Bancroft collecting areas; low-interest family photos relating to a scholar or prominent figure.</td>
<td>If yes, then transfer to Pictorial. If no, leave in the collection. They should be given pictorial-appropriate housing whenever possible, and the catalog record for the manuscript material should not only use the genre term &quot;655 Photographs&quot;, but also conform to pictorial cataloging policy (i.e. subject access).</td>
<td>The physical description (and 520 summary if desirable) should refer to the pictures and give at least some idea of the quantity.</td>
</tr>
</tbody>
</table>
Bancroft Conservation Routing Form

Propose information in all italicized sections, other sections if needed.

[ ] Books   [ ] Paper

Author

Title

Call # or Millennium #

Number of pieces

Problem

- [ ] spine/boards detached
- [ ] pages loose/damaged
- [ ] preparation for microfilming
- [ ] adhesive
- [ ] fragile/brittle
- [ ] treatment prior to requested use
- [ ] box needed
- [ ] other (specify)

Special Considerations

- [ ] please phone curator
- [ ] microfilm available in Bancroft
- [ ] high use item
- [ ] RUSH for exhibit/patron—date needed by
- [ ] other (specify)

Referred by (please initial)

- [ ] curator
- [ ] circulation
- [ ] acquisition
- [ ] photocopy
- [ ] cataloging/processing

Curator Notes

Reviewed by (curator’s initials): ______

Curator Contact

- [ ] Anthony Bliss (Rare/Literary/MTP) 2-1839
- [ ] David Farrell (HSTC) (UARC) 2-2933
- [ ] Theresa Salazar (Western Americana) 3-8153
- [ ] Jack von Euw (PICT) 2-1685
- [ ] Bob Hirst (MTP) 2-6480
- [ ] Francesco Spagnolo (Magnes Collection) 6-3689

Pickup and Delivery Contact

- [ ] David Kessler 3-2437
- [ ] other:

Disposition after Treatment

- [ ] routine reshelving
- [ ] return to NRLF
- [ ] send to NRLF
- [ ] to curator for review post-treatment

******************************************************************************

“In Repair” & on review shelves by: date:
“In Repair” & delivered to Lab by: date:

(Form: 10/05/10)
Appendix N. Checklist for Completing a Collection

___ 1. Have all oversize material/unusually formatted MSS material
   ___ 1a. been accounted for?
   ___ 1b. been barcoded/ items created in MARC record
   ___ 1c. been filed in Ready to Shelve drawers (MSS OS 10 D/E)?

___ 2. Have all materials sent for conservation treatment been accounted for?

___ 3. Have any materials used for exhibit been accounted for?

___ 4. Have all transfers (to other units such as PIC) been documented?

___ 5. Have all folders been numbered and checked against the finding aid?

___ 6. Have all restricted or sealed materials
   ___ 6a. been identified?
   ___ 6b. have restrictions (including end dates) been entered into MyECMS?

___ 7. Have all final edits been made to the finding aid?
   ___ 7a. Has the finding aid been thoroughly proofread?

___ 8. Has the finding aid been reviewed by Manuscripts staff, and, if appropriate, the appropriate curator, and any other interested parties?

___ 9. Does the archival electronic copy of the finding aid reside in the appropriate sub-folder on the shared drive Q:\Finding Aids MSS? (only relevant for FAs authored in Word or XPress)

___ 10. Has DCU been told finding aid is ready for export?
   ___ 10a. for XPress Finding Aids: e-mail with subject line of: "XPress FA READY FOR EXPORT 20xx/xx"
   ___ 10b. for WGDB Finding Aids: e-mail with subject line of "FA READY FOR EXPORT 20xx/xx"

___ 11. Has a hard copy of the finding aid been placed at the Ref Desk?

___ 12. Has the MARC record been completed (or edited) and finalized?
   ___ 12a. Does the collation match?
   ___ 12b. Are the holdings notes updated (or removed)?
   ___ 12c. Has Cataloging staff reviewed the MARC record?

___ 13. Have you updated the MyECMS record?

___ 14. Have you barcoded (additions only) and labeled all containers?
15. Have you submitted deaccession forms to NRLF for no longer used barcodes?

16. Have you shelved all materials to be housed at NRLF in the Ready to Ship aisles (127 & 129 on the 1st Floor) and informed the Stacks Manager?

17. Have you informed Stacks Manager that items to stay at TBL are ready to shelve?

18. Have you completed statistics for the fully shelved collection?

19. Have duplicates or out of scope materials weeded from the collection been disposed of properly (as stipulated on the Deed of Gift) by

   18a. returning them to the donor, or

   18b. recycling,

   18a. shredding (if they contain sensitive information)?

20. Have you updated the collection file and returned it to the drawer?
Appendix O. NRLF Deaccession Form

NRLF DEACCESSION FORM

1. Requestor__________________________  2. Date_______________________________

3. Phone #____________________________  4. Signature___________________________

5. Institution__________________________  6. Unit_____________________________

7. Reason for deaccession:
   - Patron Request
   - Duplication
   - Other (Explain)

8. Bibliographic Information: Attach a copy of the record or fill in the following information:
   a. Title of item or set
   b. Call Number:
   c. Shelving Unit:

9. Indicate which one of the two deaccessioning options you are requesting for this title:
   - Item(s) to be deaccessioned currently located at NRLF. Complete 10 a,b,c for each physical item.
   - Item(s) to be deaccessioned currently in the hands of owning unit staff or other authorized staff. Requestor will keep the item(s) and do the following for each physical item:
     a. Remove the NRLF bar code and attach it in 10a.
     b. Indicate any vol. information in 10b.
     c. For volumes, record the spine width (to the nearest 1/4” rounding down), for non-book items (boxes, packages, bundles, etc.), record the dimensions (lxwxh) in 10c.

10. (a)                  (b)                         (c)
    Barcode #/Label                      Vol info.        Spine Width (nearest ¼”)

NRLF Internal Use Only

Date Received: _____________  Deac Initials: _____________  Deac Date: _____________

Pg. 1  NRLF/Deposit Services/ 12/1/99
February 8, 2007

Maxine Hong Kingston
5425 Golden Gate Ave.
Oakland, CA 94618

Dear Mrs. Kingston,

Enclosed please find duplicate copies and out of scope materials separated from your papers in the course of processing.

I am returning these materials to you per your request as noted in the Gift Agreement with The Bancroft Library.

Sincerely,

Teresa Mora
Archivist
510-643-7163
tmora@library.berkeley.edu
Appendix Q. Transfer Sheet

TRANSFER SHEET
BANCROFT LIBRARY

Transfer to: ___________________________________________________
By: __________________________________________________________
Date: ________________________________________________________

Removed from
Collection: ________________________________________________
Call number: __________________________ Container/file: ____________
Donor: _____________________________________________________
Date received: ________________________________________________

<table>
<thead>
<tr>
<th>Description of Material</th>
<th>Amount</th>
<th>Comments</th>
</tr>
</thead>
</table>

Disposition
Pictorial Collection number(s): ________________________________
Microforms number(s): ________________________________________
Call number(s): ______________________________________________
Other: ________________________________________________________

Use a separate form for each transfer destination.
Copy 1: Collection file (temporary record)
Copy 2: Receiver
Copy 3: Return to sender with disposition information
(→ Collection file permanent record)
Appendix R: Linear Footage for Standard Archival Storage Containers

<table>
<thead>
<tr>
<th>Format</th>
<th>Approximate Dimensions (inches)</th>
<th>Linear Footage</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Width</td>
<td>Depth</td>
</tr>
<tr>
<td>Record storage carton</td>
<td>13.00</td>
<td>16.00</td>
</tr>
<tr>
<td>Half-carton</td>
<td>16.00</td>
<td>10.5</td>
</tr>
<tr>
<td>Document box, letter</td>
<td>5.25</td>
<td>12.5</td>
</tr>
<tr>
<td>Document box, legal</td>
<td>5.25</td>
<td>16.00</td>
</tr>
<tr>
<td>Half document box, letter</td>
<td>2.5</td>
<td>12.5</td>
</tr>
<tr>
<td>Half document box, letter</td>
<td>2.5</td>
<td>16.00</td>
</tr>
<tr>
<td>Flat storage box</td>
<td>16</td>
<td>20</td>
</tr>
<tr>
<td>Flat storage box</td>
<td>16.5</td>
<td>20.5</td>
</tr>
<tr>
<td>Flat storage box</td>
<td>24</td>
<td>20</td>
</tr>
<tr>
<td>Flat storage box</td>
<td>24</td>
<td>20</td>
</tr>
<tr>
<td>Card file box, 3&quot; x 5&quot;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Card file box, 5&quot; x 7&quot;</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>