

**CARNEGIE INSTITUTION OF WASHINGTON ARCHIVES**

**POLICIES AND PROCEDURES MANUAL**

**November 2003**

**Carnegie Institution of Washington  
Archives Policies and Procedures**

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# **CARNEGIE INSTITUTION OF WASHINGTON ARCHIVES POLICIES AND PROCEDURES**

## **PURPOSE OF THE MANUAL**

This manual is designed to provide guidance to Carnegie Institution of Washington staff and contract archivists on managing their archival collections. The manual gives straightforward, detailed guidelines on acquiring, accessioning, preserving, arranging, describing, loaning, and providing access to archival records. These guidelines should standardize and regularize the archival functions that may be performed at any of the CIW departments, and result in a single, coherent approach to maintaining the historical documents of the Institution.

## **MISSION AND ADMINISTRATIVE PLACEMENT**

"The Archives of the Carnegie Institution of Washington preserve the historically significant records of the Institution and make them available to Institution personnel, scientists, historians, and other scholars. The Archives document the activities of the Institution's administration and its research departments and the professional activities of its staff members." -- Mission Statement.

The Carnegie Legacy Project serves as a unified approach to preserving, organizing, and making accessible the Institution's historic records at CIW headquarters and its research departments. Working under the supervision of the Legacy Project Committee, the CIW Archives Coordinator provides oversight and project management for the Legacy Project and coordinates processing, reference, and outreach activities at P Street and the Broad Branch Road campus.

The Archives at P Street headquarters is situated administratively within the Office of Publications and functions under the supervision of the Editor. The Archives of the Department of Terrestrial Magnetism and the Geophysical Laboratory are attached to the departments' joint library, and are administered by the campus Librarian, with advice from an interdepartmental committee of scientific and support staff.

## **COLLECTION POLICY AND APPRAISAL OF RECORDS**

The Carnegie Institution of Washington Archives houses and provides access to the historical records of the Institution's administrative headquarters at P Street and each of its scientific departments, both active and inactive. Appraisal is the process of determining the archival value of a group of records. It involves considering two questions: Does the collection of materials fit within the collecting scope of the CIW Archives? and Do the materials in the collection have informational, evidential, or intrinsic value that make them historically significant?

The CIW archives will collect the following materials:

- Historical records of the P Street administrative headquarters
- Historical administrative records of the CIW scientific departments

- Selected records of CIW administrative and scientific staff, including scientific data
- Other records reflecting the goals and activities of CIW on a case by case basis

The CIW archives will provide a series list of records created at the CIW administrative headquarters and scientific departments that have enduring archival value (see attached.) Archival records created or received at the P Street administration building will be maintained permanently in the archives at that location. The archives may help with storage for non-permanent records following the CIW record retention policy.

The Archives will encourage and help CIW scientists to identify their personal records of historical importance and deposit them in suitable repositories -- either in the CIW Archives or, if more appropriate, with another institution. The Archives will track the locations of externally-held collections relevant to CIW in its archival finding systems.

### **Transfer of Records to the Archives**

When historical records are transferred to one of the Institution's archival facilities they should be accompanied by a completed **Archival Records Transfer Form** (attachment). This form serves to formalize the deposit of records in the Archives and provides necessary information on the provenance of records to use during appraisal and description of the records. A copy of the transfer form should be returned to the depositing office.

### **Acquisition of Scientific Records or Other Manuscript Collections**

When collections are obtained for the archives from an individual or other external entity, a **Deed of Gift and Donor Agreement** form should be completed and signed by the donor and the Archives representative. These forms, and the **Donor and Donated Materials Information Sheet** (attachment) describe the rights and responsibilities agreed to by the donor and the Archives. Any use restrictions will be noted on the Deed of Gift. A **Donation Checklist** (attachment) is provided to guide the Archives representative through the process.

### **Disposal of Material**

During the appraisal process, material may be identified that is inappropriate for permanent retention in the Archives, or which would more appropriately be deposited in other repositories (e.g., legacy data sets that could be donated to the National Geophysical Data Center or other World Data Centers). Processing archivists should present recommendations on disposal or possible transfer to the CIW Archives Coordinator, DTM-GL librarian, and archives staff liaison(s) before any action is taken. In appraising scientific data, subject experts (within CIW and in the external academic community) may need to be consulted and ultimate decisions on their disposal/transfer referred to the department director.

## **ACCESSIONING RECORDS INTO THE ARCHIVES**

Accessioning is the process of formally taking an archival collection into the CIW archives. Every new acquisition must have an accession record created at the time the collection is received that includes an **Accession Form** (see attached) and all correspondence, deeds of gift, or other supporting documentation. These documents establish the legal ownership, donor-

related requirements, and restrictions of a collection. Each accession is to have its own folder labeled with the accession number and official name of the collection and will be kept in a secure file labeled “Accession Records.”

The accession form is to include the following information:

An **accession number** is to be attached to all new acquisitions. The format of the accession number is to be LLL-YYYY-NNN, the three digit department code and four digit year followed by a three digit sequential number. For example, the first collection accessioned to the archives at DTM in 2001 should be No. DTM-2001-001, the second DTM-2001-002, and so on.

The **official name of the collection** will reflect the provenance of the materials. Archives from an organization, office, or project will be titled “Records” (e.g. Department of Terrestrial Magnetism Records or *Carnegie Expedition Records*), while manuscripts from an individual will be called “Papers” (e.g. Edwin Powell Hubble Papers), and artificial collections—historic materials collected from various sources to document a subject, event, or theme—will be called “Collections” (e.g. Global Warming Collection). The **office of origin/source** of a collection will denote where the materials had previously resided, which may be the same as the provenance reflected in the official name of the collection.

The **donor name** and **address** provides important information on the provenance of a collection and a resource for questions or access restrictions and copyright. In the **restrictions** section all restrictions placed on the collection material, whether by law or agreement with the donor, should be noted. The accession form should also include a brief **description** of the collection materials and point to its current **storage location** in the archives.

Once a new accession has been registered, each box of records should be labeled with the accession number and a consecutive box number. The box number will be important for inventory and processing purposes. In the event of multiple small accessions being stored together in one box, each folder should be labeled with the appropriate accession number and consecutive folder number. Separators should be placed between accessions to prevent confusion.

## GENERAL PRINCIPLES OF ARRANGEMENT AND DESCRIPTION

Archival work is guided by the principle of *respect des fonds*. An archival collection is to remain intact and is to keep, as much as possible, the order in which it was created. These two directives of *respect des fonds* are known as provenance and original order.

**Provenance** is commonly understood as pertaining to the historical origin or source of a collection. In archival work, collections that have the same provenance – that is, originate from the same source – are to be maintained together as an intact unit. The author or “creator” of an archival collection is the person, family, or organizational body that creates and/or collects the body of records. Archival records that come from a person, family, or organizational body must

be kept together and not combined or mixed with records from another person, family, or organization.

The concept of **original order** directs archivists to maintain the file arrangement given by the creator of the archival collection if possible. The relationships among records reflected in the filing order and naming system of the records' creator can provide valuable context and insight into the functions and purposes for which the records were created. While provenance is usually clear, original order is frequently not evident or may have been lost as a result of previous changes to a collection. The archivist should try to preserve the original order given to a collection by its creator when possible. If no original order is evident, the archivist should physically rearrange the records into record groups and sub-groups, series and sub series (see procedures for processing below).

### **Units of Arrangement and Description**

Arrangement and description is the process through which the archivist assumes physical and intellectual control over an archival collection. Arrangement is the physical organization of materials in an archival collection. Description is cataloging those materials in order to make them accessible to researchers. In order to facilitate access, archivists use a hierarchical schema when arranging and describing a collection. Always observing *respect des fonds*, the units of this hierarchy are as follows:

**Creator** – the person, family, or organizational body that created and/or collected the collection of records. Examples of creators found within the CIW collections include past presidents such as John Campbell Merriam and Carnegie Institution of Washington itself.

**Record Group** – a distinct physical, functional, or administrative group within the creator. Examples could be individuals within a family or departments within a corporation. Record groups within the CIW collections include departments and offices such as the Geophysical Laboratory, the Department of Terrestrial Magnetism, Administration and Finance, and External Affairs.

**Sub-group** – any further physical, functional, or administrative divisions within a record group. Examples of sub-groups include the Office of Publications or the Office of the President as units within Administration and Finance, or the Director's Office as a unit at the Geophysical Laboratory.

**Record Series** – a body of records considered as a unit because they have the same form or function. Examples of record series include correspondence, photographs, and field notebooks.

**Sub-series** – a further subdivision of a record series based again on the form or function of the records. Examples might include business correspondence and personal correspondence within the broader record series of correspondence. Further divisions may be identified as sub-sub-series, etc.

**File Unit** – the basic physical grouping of materials. In archival work, the typical file unit is the folder.

**Item** – an individual piece within a collection. Archival materials are typically not described to the item level, as series and folder description will suffice. Some materials such as photographs do warrant the extra effort.

## **Levels of Description**

There are four levels of archival description, going from general to specific.

Level 1: Collection level control includes basic information about an archival collection. This information includes the name of the creator, title of the collection, approximate size and inclusive dates, and broad narrative description of the records contained. Also called “accession level control,” as much of this information is collected in the accession record.

Level 2: Box level control is achieved when materials are described generally for each box or other container. Boxes are listed and brief descriptions of each box’s contents are provided.

Level 3: Folder level control is the typical level of control used in archives. Records are described to the file unit, usually through a complete inventory of descriptive folder titles.

Level 4: Item level control is achieved when every individual item in a collection is listed in the inventory. This is a very labor-intensive and time-consuming task. Archivists find that this additional level of control is often not necessary to providing adequate access to collection materials.

The Carnegie Institution of Washington Archives aims to **process its archival collections to the folder level**, level three. Provided with a clear hierarchical descriptive structure most records will be easily identifiable and accessible at this level of description. As mentioned above, photographic records may at times require item-level description to provide adequate access; the CIW archivist should be consulted when deciding when item-level description is necessary.

## **PROCEDURES FOR PROCESSING**

### **Preliminary Inventory**

Because records can rarely be processed immediately after they are accessioned, a preliminary inventory may be created in the form of a box and folder title list to provide access in the interim. The inventory will describe the arrangement of the records upon receipt in the Archives. Careful notes should be taken during this survey and inventory process. Armed with the preliminary inventory and notes, the archivist may begin to recognize record groups and record series and may be able to determine the original order of the records if one exists. The preliminary inventory will provide a certain degree of access to the material for staff and researchers until processing begins.

## Arranging Records

If no original order is evident, the archivist should begin to physically arrange the records into record groups and sub-groups, series and sub-series. Typically the more general or broad records series will be placed at the beginning of each grouping, followed by other series in order of significance to the collection. For example, an administrative history or timeline will provide broad historical insight into a department and may help to orient researchers to other materials in the collection, so it should be placed at the beginning of the collection in a series titled “General and Historical.” Other records series will follow based on the archivist’s assessment of the evidential, informational, or intrinsic value of the records to the collection. Common records series found in the Carnegie Institution of Washington archives include:

- correspondence
- data sets
- field notebooks
- financial records
- maps
- meeting minutes
- photographs
- publications

Within series or sub-series records should be ordered alphabetically (from A to Z) and/or chronologically (from earliest to latest). Within a folder records will again be ordered alphabetically and/or chronologically.

During arrangement the archivist will go through a collection box by box, folder by folder, and document by document. The archivist may discover materials in a collection that do not warrant deposit in the archives. Such materials may include duplicates of records, transitory correspondence, multiple drafts of documents, etc. These materials should be separated from the collection and may be destroyed or offered for return to the donor if so stipulated in the transfer or donation agreement.

While a collection is being arranged, the archivist will also undertake preservation measures to increase the longevity of records in the archives. Specific instructions for preservation activities to be done are provided below in the section on “Preparing Records for Storage.”

## Describing Collections

The **finding aid** is the primary tool used by the Carnegie Institution of Washington Archives to describe and provide access to archival collections. CIW’s finding aid structure is designed to be easily applied with the Society of American Archivist’s Encoded Archival Description standard as described in the SAA publication *EAD Application Guidelines*. There are eight main sections to CIW’s archival finding aids: the Title Page, the Table of Contents, the Administrative History or Biographical Sketch, the Scope and Content Notes, the Subjects List, the Box and Folder Inventory, the Bibliography, and the Index. Each of these sections is described below.

## **Title Page**

The title page presents the **official name of the collection** followed by its **inclusive dates**. These dates range from the earliest record in the collection to the latest. If there are a few records with very early or very late dates and the majority of records fall within a more limited period, the archivist may also include **bulk dates** in parentheses after the Inclusive Dates statement. This will be followed by a **publication statement** naming the Carnegie Institution of Washington and the appropriate department or facility—including the address—where the collection is housed. Finally the title page should provide an **author statement** naming the archivist who wrote the finding aid and its date. The title page should take this format:

**OFFICIAL NAME OF COLLECTION, INCLUSIVE DATES (BULK DATES)**

[CIW Logo]

**Carnegie Institution of Washington  
Department Archives  
Address**

Finding aid written by:  
Archivist Name  
Organization  
Date

## **Table of Contents**

This section should list at minimum all other major sections of the finding aid to enable researchers to quickly find the section desired. The table of contents may also list more specific segments of longer finding aids, such as various record groups or record series within the box and folder inventory.

## **Administrative History or Biographical Sketch**

Organizational or project records and artificial collections will have administrative histories, while personal and scientific papers of individuals will have biographical sketches. While the name may vary, the information presented in this section will be similar for all kinds of collections. This section provides brief background and historical information about the creator. The administrative history or biographical sketch is usually between one and two pages in length.

## **Scope and Content Note**

The goal of the scope and content note is to provide the researcher with enough information to know if the collection contains the kind of information being sought and if so where it might be found. While the administrative history or biographical sketch section describes the creator and places them in an historical context, the scope and content note provides a narrative description of the records and information in the collection and how those reflect the creator's activities. The archivist should provide guidance for researchers describing the extent and usefulness of the record groups and series in the collection. The archivist should elaborate on what kind of information is well represented in the collection, and also mention what information a researcher

might expect to find that is incomplete or absent. The archivist should not provide value judgements on the worth of records, but general statements on the relative usefulness of series and direction cross-referencing records between record series.

The scope and content note section should open with a broad overview of the collection to include the official name of the collection, its inclusive dates, its extent or measure in linear feet (or items for small collections), and the kinds of records found in the collection. Each record group or series may then be expounded on in more detail in subsequent paragraphs of the scope and content note.

### **Subjects List**

Following the narrative scope and content note will be a section listing subjects that are represented in the collection. The processing archivist, who is most familiar with the collection materials, should decide which subjects are sufficiently well reflected in the collection to be placed on the subjects list. For archives and personal papers the creator should be listed as the main subject. Controlled vocabulary should be used for the subjects list. The Library of Congress authorities lists should be used for names, titles, and subjects. Library of Congress Authorities can be searched online at <http://authorities.loc.gov/>. For example, the Library of Congress name authority for Andrew Carnegie is “Carnegie, Andrew, 1835-1919” and should always be listed as such in this section. For names or subjects that may not be on the Library of Congress Authority listings or in the *Art and Architecture Thesaurus*, the cataloging rules published in *Archives, Personal Papers, and Manuscripts (APPM)* and the *Anglo-American Cataloging Rules, 2<sup>nd</sup> ed. (AACR2)* should be used.

### **Box and Folder Inventory**

This section presents the list of contents for each record series, providing the box number and folder number where records may be found. In the event that a collection has been cataloged to the item level, the item list will also be found in this section. Each box in a collection will be sequentially numbered and each folder given a descriptive name, inclusive dates, and sequential folder number in that box.

When following original order, the name from the old folder should be transcribed in pencil onto the new acid-free folder directly or typed/printed on permanent, acid-free labels. Any processor-supplied information added to the original folder title should be presented in brackets [ ]. When questions of accuracy of transcription or other folder naming such as spelling or dates occur, it should be noted with a question mark (?). Dates should be as specific as possible. For day, month, and year use the day number followed by the abbreviated month and the year number, no commas (e.g. 7 Dec 1941). A date span should be indicated with a dash (e.g. 1979-1981), and a list of dates separated by commas from earliest to latest (e.g. 1902, 1905, 1914). For an approximate date use “ca.” for circa (e.g. ca.1900). When no date is known, use “n.d.”

Generally, each folder label should look like this:

Official Name of Collection Box#/Folder#	Record Series	Folder Title, Date
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The corresponding box and folder inventory list will look like this:

**Official Name of Collection**

<b>Series</b>	<b><u>Box</u></b>	<b><u>Folder</u></b>
Folder Name, Date	1	1
Folder Name, Date		2
Folder Name, Date		3
<b>Series</b>	<b><u>Box</u></b>	<b><u>Folder</u></b>
Folder Name, Date	2	1
Folder Name, Date		2

The folder list should be made using the table function of the word processing program. As in the above example, table lines should not be shown.

The box labels will look like this:

<p><b>Carnegie Institution of Washington Archives</b> <i>Department (GL, DTM or P Street)</i></p> <p><b><i>Official Name of Collection, 19XX-20-XX</i></b> <b><i>(Bulk 19XX-19XX)</i></b></p> <p>Series: (beginning series in box) Series: (ending series in box)</p> <p style="text-align: right;"><b>Box #</b></p>
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**Bibliography and Index**

The finding aid Bibliography should be a short list of publications either used by the archivist in creating the administrative history/biographical sketch or that provide additional information relevant to the archival collection. The CIW archives follows the Institution’s *Year Book* style for its bibliographies.

The Index can be a useful tool to augment the accessibility of a collection by directing the researcher to specific subjects within the finding aid. The index should be organized alphabetically and be extensive enough to provide adequate access as determined by the processing archivist.

**Encoded Archival Description**

In order to provide the broadest possible access to CIW archival material, the Archives will encode all of its finding aids using the Encoded Archival Description standard. All finding aids

will be encoded by the processing archivists, or sent to the CIW Archives Coordinator at P Street headquarters for encoding using the *EAD Application Guidelines* and *EAD Tag Library* published by the Society of American Archivists. After encoding, finding aids will be posted to the CIW web page at [www.carnegieinstitution.org](http://www.carnegieinstitution.org) where they will be available for reference and download.

### **Machine Readable Cataloging (MARC)**

MARC is the international standard for describing library materials. When a user searches for a book or manuscript collection in a library or on OCLC WorldCat or any other national bibliographic network they are searching the MARC database record. For archives and manuscript collections a MARC record is created to catalog the finding aid in a way similar to how a library catalogs a book. The processing archivists and/or CIW Archives Coordinator at P Street will catalog all finding aids into MARC format which will then be posted to OCLC through the DTM-Geophysical Lab library. MARC records will be created using descriptive standards published in *Archives, Personal Papers, and Manuscripts (APPM)* and the *Anglo-American Cataloging Rules, 2<sup>nd</sup> ed. (AACR2)*. Authority titles, names, and subjects will be obtained from the Library of Congress Authorities list, online at <http://authorities.loc.gov/>, and the *Art and Architecture Thesaurus*, online at [http://www.getty.edu/research/conducting\\_research/vocabularies/aat/](http://www.getty.edu/research/conducting_research/vocabularies/aat/).

### **Photograph Database**

As mentioned earlier, photographic materials often benefit from item level description and access. CIW intends to catalog such materials in a relational database. Each item should have its own database record, and controlled vocabulary should be used as appropriate when describing subjects. The unique identifier for each database record should provide the three letter code for the department followed by a five digit sequential number. This eight-character code will facilitate transmittal of digital images in the event that photographs are digitized for access. Other recommended database fields are described below. These fields are also designed to manage digital images of items. Photographic prints and negatives will be filed by subject; digital images will be filed by image file name.

Image Number:	PST02345 [this is the unique ID for the database record]
Title:	Andrew Carnegie, 1902 [narrative description of image, not controlled vocabulary]
Main Subject:	Carnegie, Andrew, 1836-1919 [controlled vocabulary – lookup to “Subjects” table]
Other Subjects:	[controlled vocabulary – lookup to “Subjects” table]
Caption:	Andrew Carnegie in 1902 when he founded the Carnegie Institution of Washington [narrative description of image, not controlled vocabulary]
Date:	1902
Department:	Administration [drop-down list, limited]
Source:	Historical
Copyright:	Carnegie Institution of Washington [drop-down list, not limited]
Citation:	Photograph courtesy of the Carnegie Institution of Washington
Image File Name:	PST02345.tif

I/S or Other Name: i-3456.tif [whatever it was originally titled]  
Image Format: tif, jpg  
Image Size:  
Physical Location: Drawer 1, Folder 12  
Where Published: CIW Annual Report, 1902; Time, September 4, 1902 [lookup to “Where Published” table]  
Image: [picture]

Should a printed item level inventory of these materials be needed, an appropriate report can be designed in the database management software system.

## **PRESERVATION**

### **Storage Conditions**

All archival materials should be maintained in a secure room equipped for climate-control (temperature and relative humidity) and fire suppression. The Institution’s historical records are unique and frequently intrinsically valuable and should be protected from physical damage, chemical deterioration, and loss.

#### *Security*

Archival storage areas should be locked to avoid unauthorized access that may result in valuable historical documents being misplaced or lost. Only authorized personnel should be permitted to remove archival materials from storage. Other personnel, including maintenance staff, contractors and cleaning staff, should be in the archives only when an authorized staff member is present. Archival processing should occur in a space designated for that purpose. Records should never be left unattended in an insecure room even for a few minutes.

Researchers should be monitored at all times when using archival records. Theft of valuable archival materials is an unfortunate possibility. During processing materials that may have high intrinsic value and may be likely candidates for theft should be identified. In some instances a preservation photocopy should be used as a surrogate and the original kept in secure storage. In other cases, the item should be exactly described or even photographed or marked for identification in the event that it is stolen and later found on the market. Valuable items may be appraised for insurance purposes, but are frequently unique and irreplaceable once lost.

At the end of every day the archivist, librarian, or staff archives liaison is responsible to ensure that all archives doors are closed and locked. Staff is also responsible to turn off all lights and ensure that any windows are closed and locked. Windows in archival storage should in any event not be opened as this will have a detrimental impact on the storage environment.

#### *Environment*

Excessive or fluctuating heat and relative humidity can cause irreversible chemical deterioration of historical records. Ideally, storage areas for CIW archival records should meet National Information Standards Organization (NISO) environmental guidelines for the storage of paper

records (NISO TR01-1995). This standard recommends storage areas maintain a maximum temperature of 70 degrees Fahrenheit, with maximum daily fluctuation of not more than 2 degrees, and relative humidity of 30-50 percent, with daily fluctuation of not more than 3 percent.

All archival records storage areas should be equipped with a heating, ventilation, and air conditioning (HVAC) system to control temperature. A regular program should be developed to monitor the temperature and relative humidity in storage areas. A number of monitoring devices, such as hygrothermographs and psychrometers, are available. Dehumidifiers can be used to control the relative humidity in storage areas should this prove problematic.

### *Fire Suppression*

Archival storage areas should be equipped with smoke alarms and sprinkler systems whenever possible.

### **Preparing Records for Storage**

Once records have been appraised as historically significant, the physical condition of records should be assessed and the records prepared for long-term storage. CIW preservation guidelines generally follow Mary Lynn Ritzenthaler's *Preservation of Archival Records: Holdings Maintenance at the National Archives*, NARA Technical Information Paper Number 6 (1990), a copy of which is attached.

All paper clips, rubber bands, string, and metal binders should be removed as they can cause physical damage or encourage chemical deterioration of records. Staples should be carefully removed if they are determined to show signs of deterioration or the stapled pages are brittle and may break when folded at the staple. Pages previously bound together by a staple or clip often do not need to be rebound as they are easily recognizable as being part of the same document. If pages must be kept together and identified as separate from other records in a folder, a number of options are available. Title information or the date and page number of a document may be written in pencil—**never write in ink on an archival document**—on the back side of each page in the upper right hand corner. Stainless steel paper clips or non-corrosive, rustproof staples may be used in instances when paper is strong and flexible. A buffer strip of 1" wide and 4" long acid-free paper should be inserted between the document and the paper clip or staple. Alternatively, acid-free paper folders or polyester enclosures may be used to group intrinsically valuable documents within a folder. If ten or more pages are to be grouped together, they should be provided with their own acid-free, buffered folder for storage. Any enclosures should be left with letters and documents. They may be identified on the back upper right hand corner as "Encl." and the date or title of the original document noted in pencil.

Folded, creased, or rolled documents must be carefully flattened (see *Preservation of Archival Records: Holding Maintenance at the National Archives* for guidance). If they no longer fit into a standard letter or legal size folder they should be removed to appropriate oversized flat storage and a separation sheet (Attachment) completed and left in their original location.

Preservation photocopies should be made of any records that are of inherently unstable material such as newspaper and thermofax paper. These materials will be recognizable from fading and discoloration. If such materials are left next to other archival records they may contribute to the deterioration and discoloration of the neighboring records. Intrinsically valuable unstable records should be interleaved with acid-free, buffered paper to protect neighboring documents and to mitigate against continued deterioration. Most such unstable records should be replaced with preservation photocopies produced on acid-free, buffered paper.

Documents that are brittle or damaged may also be photocopied for preservation. In the event that the original document has intrinsic value, it should be partially encapsulated in a polyester sleeve so that it may be handled without further damage. A piece of acid-free buffered paper may be placed behind an acidic document in the polyester sleeve to help reduce future deterioration and to provide additional stability.

Original folders should be removed and replaced with acid-free buffered archival folders. Any title or identifying information on the original folder should be written **in pencil** on the new folder or typed/printed on permanent, acid-free labels in keeping with the principle of original order. Other information from the old folder or cover may be photocopied and placed in the front of the new folder.

## **Boxes and Enclosures**

All archival records should be stored in archival quality, acid-free housing in order to slow the deterioration of historical records that had most likely previously been stored in damaging, acidic manila folders and cardboard boxes or wooden cabinets. It is also important that the boxes are filled such that the documents are snug within the box. Folders should slide easily in and out of a full box. An underfilled or overfilled box will cause damage to the records.

There are three general types of boxes used in the CIW archives: records center cartons, document cases, and flat files. All boxes should be acid-free with an alkaline buffer when possible.

**Records center cartons** are made of corrugated cardboard with a detachable cover and handholds at either end. They can contain a capacity 1 cubic foot of paper records. The inside dimensions of a records center carton are 12" wide, 15" long, and 10" high. The outside dimensions of a records center carton including the cover are 13" wide, 16.5" long, and 10.5" high. A records center carton can hold 15 linear inches of letter sized materials or 12 linear inches of legal size material. Records center cartons are ideal for large collections or large series of archival material.

**Document cases** come in various sizes made for letter, legal, and photographic formats. Document cases are made of thin board with reinforced metal corners and flip top. A letter size document case measures 5" wide, 12" long, and 10.5" high, outside dimensions. A legal size document case measures 5" wide, 16" long, and 10.5" high. A document case holds less material

that a records center carton (5 linear inches maximum) and so is easier to handle and provides better protection for fragile or frequently used archival material.

Document cases are available for many different sizes of photographic materials.

**Flat storage boxes** are also made of thin board with reinforced metal corners and come in numerous sizes to be chosen specifically to fit the material it houses. Flat storage boxes provide extra protection and support for fragile items such as books or albums with fragile bindings or material sensitive to pressure or bending such as oversized photographs. Special boxes are also available to house slides, lantern slides, or other special formats.

These and other archival supplies are all available from a number of archival supply vendors. A list of vendors is attached to this manual.

### **Specific Instructions for Records Formats**

**Paper** records will normally be housed in acid-free buffered folders in document cases or records center cartons. Legal size paper records should be stored in legal size folders and legal size document cases or records center cartons. Legal size paper records should never be folded to fit into letter size containers. If records center cartons or document cases are not full enough to adequately support materials in folders in a vertical position without bending, acid-free box inserts should be used to fill in the empty sections and support the folders. Acid-free folders should be folded accordion-style at the bottom so that all pages are supported flat against the bottom. Folders should be no more than one inch thick; if more than one inch of materials had been stored in one folder, a second or third folder should be used and all labeled the same and marked (“[folder 1 of 3]” for example) to show the correct progression.

**Oversized materials** such as posters, maps, or architectural drawings should be stored in metal flat file cabinets or flat storage boxes. If possible these materials should not be rolled or folded, as physical weakness or damage will result. Oversized file folders are available from vendors in standard sizes and should be used to further protect large format items.

**Photographic Prints** should be housed in clear plastic (polyester or polypropylene) sleeves for support and to protect them from scratches and fingerprints. A limited amount of identifying information may be carefully written on the back of a photograph or on a piece of acid free paper to be kept with the photograph. Photographs may then be kept in folders, file drawers, or appropriately sized document cases. It is very important to always provide adequate support for photographic materials as bending may damage the image, but to never over-stuff folders or drawers as that may also result in physical damage. Prints up to 8x10 in size may be stored vertically; prints and negatives larger than 8x10 are too large for file cabinets or document cases and should be stored in flat storage boxes. White cotton gloves should be used at all times when handling unprotected photographic images.

**Photographic Negatives** should be placed in paper sleeves or clear plastic (polyester or polypropylene) sleeves to support and protect them from scratches and fingerprints. Negative stored in a plastic sleeve should then be placed in an acid-free envelope with any identifying

information written on it in pencil. It is important that information be written on the envelope *before* the negative is placed in it as writing on the envelope with the negative enclosed may damage the image. If any information is to be added to the envelope containing a negative, remove the negative before writing on the envelope. Negatives may then be stored vertically in folders, file drawers, or appropriately sized document cases. White cotton gloves should be worn at all times when handling unprotected negatives.

**Glass Plate Negatives** are extremely fragile and susceptible to damage. Glass plate negatives should be housed in acid-free envelopes with identifying information written on them in pencil. It is important that any information be written on the envelope *before* the glass plate negative is inserted as writing on the envelope with the negative inside will likely damage it. If information must be added to an envelope containing a glass plate negative, carefully remove the negative before writing anything on the envelope. Glass plate negatives *must* be stored vertically and adequately supported in groups of not more than five, but not pressured. It is strongly recommended that an access copy in print or digital be produced for all glass plate negatives in order to reduce handling or mitigate against catastrophic loss due to breakage.

Similar to glass plate negatives, **Lantern Slides** must be stored vertically and provided with adequate support. Acid-free paper four-flap enclosures and boxes should be used. Identifying information should be written in pencil on the four-flap enclosure prior to placing the slide into it.

**Bound Materials** such as books or journals that are to be kept in boxes should be stored with the binding on the bottom of the box to provide support against breaking the binding as gravity pulls the pages elevated between boards. They may also be kept vertically as they would on the shelf, and should always be given adequate support to maintain a tight pack in the text block of the book and not stress the binding. They may also be housed in phase boxes made of acid free folder stock or wrapped in tissue and tied with cotton twill tape.

If identifying information is not readily visible on the binding, a strip of acid-free paper should be placed as a flag to provide that information. Bound materials that are 22” or less in height and 4” or less thick may be stored vertically on shelves; volumes taller than 22” or thicker than 4” should be stored flat in stacks no higher than 6” or three volumes high.

Bound materials may be placed in folders when possible, but if they are too big for a folder a 1” wide strip of acid-free buffered paper should be placed in the book as a “flag” to provide identifying information. Information should be written on the strip in pencil.

### **Audio and Video Tapes**

Audio and video tapes should be stored in appropriate flat storage boxes. Magnetic media is very susceptible to damage from heat, light, and dust. Tapes should always be stored on edge, never flat.

### **Conservation Treatment**

Staff should never attempt conservation treatment of archival materials beyond non-intrusive preservation measures. Staff must avoid making repairs to torn documents or loose book covers using standard office supplies such as adhesive tape, staples, or glue. Such interventions will cause permanent, irreversible damage to unique and valuable records. When structural repairs or restoration is deemed necessary, the CIW Archives Coordinator should be consulted and a trained professional conservator must be contracted. Help in finding a conservator can be found at the American Institute for Conservation of Historic and Artistic Works web page at <http://aic.stanford.edu/select/select.html> .

## **REFERENCE SERVICE**

The Carnegie Institution of Washington Archives are open to staff, scientists, historians, students, genealogists, and other researchers with an interest in the Institution's long and distinguished history of scientific exploration and discovery. Most collections are available during regular business hours, but researchers should contact the archives liaison at each department for an appointment.

All first time researchers should fill out a **Research Application** (attachment) which will be kept strictly confidential by the Archives. The application enables CIW to track the use of its archives and alerts researchers to the rules and regulations of use. All researchers should read the **Reading Room Rules** (attachment) to be familiar with what is allowed and expected of them when working with CIW archival materials.

Each department's archives liaison should keep track of use of the department's collections on a **Statistical Sheet** (attachment). The statistical sheet keeps count of the number of visitors to the Archives and the number and types of reference activities performed. These numbers will be used in reporting on the demand demonstrated for the archives and strategic planning for future archives programs.

## **Retrieving Records**

Only authorized, trained CIW personnel should page or retrieve records for researchers. Mishandling or mis-shelving records can result in damage or loss of unique and valuable materials. When a box is removed from a shelf, or a folder or item from a box, an orange "**Outcard**" must be placed where the material was removed so that it will be replaced correctly. Never carry more than is safe and comfortable, and do not mix records in folders or boxes.

When researchers are using archival records—always under the supervision of CIW staff—the archives coordinator or other staff member should use his or her best judgement as to how much material the researcher should have at the same time at the research table. The researcher should take care not to mix records in folders and boxes as often a misfiled record is a lost record. The archives coordinator may limit the quantity of material that the researcher has at any one time, and thus the likelihood of materials getting misplaced, by keeping the bulk of the requested materials separate and requiring that the researcher return used files before beginning work on new ones.

## **Photocopying and Digital Imaging**

As photocopy machines are not always available for researcher use, researchers must request photocopies be made by archives staff. A researcher should “flag” each page or section to be photocopied with a marker provided by the Archives.

Due to preservation concerns, the Carnegie Institution Archives may decline to allow researchers to make digital images of collection materials with cameras or portable scanners. Decisions will be made on a case-by-case basis. If digital images or photographic reproductions are required and permitted, the archives staff will make every effort to see that the researchers needs are met.

The Carnegie Institution does not copyright its publications, but the archivist should alert researchers to any concerns of copyright infringement on other materials. A copy of a circular called “Copyright Basics” from the United States Copyright Office of the Library of Congress is attached and may be shared with researchers having copyright questions. Generally, for all works published in 1978 or after, the term of copyright is the life of the author plus 70 years; for corporate owned copyright the duration will be 95 years from publication or 120 years from creation. For works created and published or registered before 1978, the term of copyright protection may be up to 95 years. While not published, archival materials such as correspondence and photographs are subject to copyright protection. Copyright of such material normally belongs to the author of a letter or photographer of a picture regardless of who is in physical possession of that letter or photograph.

If researchers want copies of materials for publication, the Archives should be informed of this and use fees may be charged. However, for scholarly or educational/non-profit purposes CIW normally waives such fees.

The archives should post the following warning at the place where photocopy orders are accepted and on the order form:

Notice  
Warning Concerning Copyright  
Restrictions

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted material.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction of copyrighted materials. One of these specified conditions is that the photocopy or reproduction is not to be “used for any purpose other than private study, scholarship or research.” If a researcher makes a request for, or later uses, a photocopy or reproduction for purposes in excess of “fair use,” that researcher may be liable for copyright infringement.

The Carnegie Institution reserves the right to refuse to accept a copying order if in its judgement fulfillment of the order would involve violation of copyright law.

### **Loaning Records**

Archival records of the Carnegie Institution of Washington are available to loan to libraries, museums, and other organizations for research or exhibit. An **Agreement for Loan** (attached) must be filled out, and all terms and conditions must be strictly followed. Staff will examine and photograph all records to be loaned prior to their release and following their return to ensure that proper care was given to the material and no damage has resulted from the loan. Requests for loan of CIW materials should be made to the Archives Coordinator no later than one month prior to the desired delivery of the loaned material.