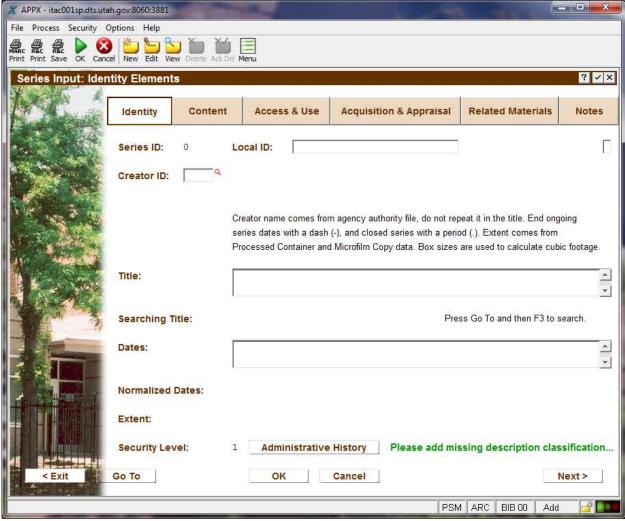# Utah State Archives and Records Service

Style Manual

Purpose and Scope: To provide guidance on descriptive information entered for records series to ensure consistent and appropriate data. Users should consult full documentation whenever available for more information.

Identity

Series ID:

The series identifier code (ID) is a system generated number for each record series entered into the system. The Archives uses a unique ID for each series in the state, regardless of whether it has holdings for the series. It is a means of gaining access to the description of record series and to the records themselves.

Local ID:

N/A

Creator ID:

The Creator ID is a system generated number that identifies each creator (agency) of record series. It is a means of gaining access to the information about the creator of the records. May also be known as a record group number or agency code.

Title:

This field is for the title of the record series. The title should describe the series in terms which are clear to everyone. If the title is changed after the series is scheduled or catalogued, the previous title should become a variant title. Follow the rules below when entering a title:

·	Use the agency supplied title whenever possible, provided that it complies with all other rules regarding title formation.

·	Be specific, distinctive, and descriptive.

·	Use non-technical language.

·	Explain unavoidable technical terms in the description.

·	Spell out all abbreviations and acronyms.

·	Do not use acronyms, nicknames, job numbers, etc., which would not easily describe the series to someone not familiar with the agency's records. (This information may be entered in the "Variant Title" in the notes screen.)

·	Base the title on the most prevalent type of document or file in the series (e.g., index, report, plans, etc.). If the record series contains more than one predominant record type, use a more general term. Use the description to explain more complex components of the record series.

·	Add other words that help distinguish one series from another. For example, if "Director's correspondence" contains only "Outgoing correspondence," use "Director's outgoing correspondence" in the title. The following is a list of items that can be added to titles to make them distinct:

>	Interval of Production - distinguish reports by identifying the interval at which they are produced (e.g.,, daily logbooks or monthly reports).

>	Function - e.g.,, Administrative correspondence, Progress reports, Trust account audit work papers, Illegal drug stamp applications.

>	Administrative Origins of the Series - e.g.,, Mail room receipts, State Records Committee minutes, Governor's executive orders, Patron Services Section reference correspondence.

>	Subject Matter - e.g.,, Forest fire reports, Prison inmate case files, Artist-in-residence case files, Highway project files.

>	Combinations of the aforementioned can also be made, e.g.,, Governor's annual forest fire control progress reports.

- Do not use files alone as a type, use records (e.g.,, Administrative records v. Administrative files).

- Do not repeat the agency name in the title of the record series. A lower office or section name within the agency may be used as long as it does not have its own agency number.

- Avoid using prepositions to link the subject of the record with the type of record (e.g., Public hearing notices v. Notices of public hearings).

- Capitalize the first letter of the first word of the title and all proper names, excluding articles and conjunctions.

   Examples:

      State Records Committee minutes

      Trust account audit work papers

      Prison inmate case files inventory

      Illegal drug stamp applications

Dates:

This field specifies the dates of a record series. The dates should reflect the creation and recordkeeping period of the records and not just all known holdings in the agency, records center, and the Archives. It is important to determine when the records began as opposed to reflecting the actual holdings. As such the date of the series may not reflect the actual holdings, since some records will have been destroyed when retention was met.

If a series date has been established during scheduling as open or closed, the status should not be changed without first consulting the assigned analyst.

- If the series is ongoing, the date is entered followed by a hyphen (-). No ending date is included, and there is no blank space between the date and the hyphen (e.g., 1989-).

- If the series is closed, the beginning date is entered followed by a hyphen, the ending date, and a period (e.g., 1970-1989.).

- Broken dates for record series are entered by first listing the beginning date, a hyphen, the ending date, and a semicolon. A blank space is left and the next group of dates are entered in the same manner (e.g., 1924-1940; 1960-1972; 1980-1989.). If there is a single date in the broken series enter that singular date and a semicolon (e.g., 1924-1940; 1952; 1960-1972; 1984.).

- If there is a single date, enter the date and a period. (e.g., 1958. Or 1990.).

·   If there is more than one single date, enter the date, a comma, a space, the next date, and a period (e.g., 1881, 1891.).

·   If the series date cannot be determined enter the word "undated."

When a collection is being processed, more complete date information may be acquired.

·   A lowercase letter is displayed before the dates repeated to the right of the entry field. This code also controls specific fields that print in the MARC work sheet. The letter will either be an "I," meaning inclusive dates, or an "s," meaning a single date. Ongoing series are considered to be inclusive dates; only dates consisting of one year will be coded with an "s." A blank space follows the code (e.g., I 1960-1980; s 1989).

When most of the records in the series were created during a limited span of years within the inclusive dates, these can be described as bulk dates (e.g., 1867-1927 (bulk 1904-1926).

When unsure of the date span of the records, the abbreviation "ca." (denoting circa) is entered preceding the beginning date (e.g., ca. 1950-1962.). Use the same spacing as indicated for closed dates.

If a date cannot be determined exactly, give an approximate date in brackets (e.g.,[ca. 1892], [ca. 1892]-1922., [ca. 1913, 1922], or 1892-[ca. 1927].
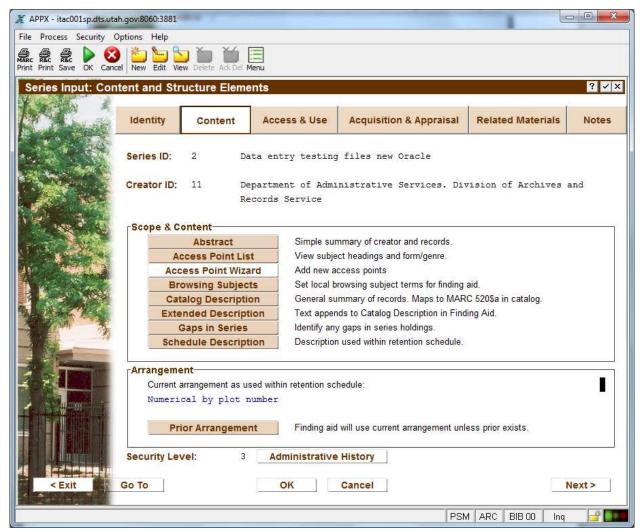
Normalized Dates:

This is a numeric, machine readable number. The date must be by year, month, date: YYYY/MM/DD.

Extent:

This field indicates the extent and the physical nature of the materials being described. This field is calculated by the content management system from the Processed Container information, which is linked to location management information in Versatile (boxes) and Appx (microfilm and microfiche).

Content

Scope and Content

Abstract:

Short summary of the creator and records. An abstract should include two to three complete sentences summarizing the content of the series and one to two sentences related to the creating agency and its administrative history.

Access Point List:

To identify unique aspects of a record series and index the available information according to national standards.

There are two fields where a Machine Readable Cataloguing (MARC) format code, specifying type of access point, is entered. (The subject must first be established on the system in a control file.) The first three digits identify the added entry as a particular term, such as: subject,

corporate name, form or genre, geographical area, function/process, etc. The next set of digits is term indicators that may affect display according to MARC encoding. Consult the Library of Congress (http://www.loc.gov/marc) for further guidance.

Coding

Access terms are entered in these two lines of text. Each term will follow Library of Congress standards or local or regional standards. Each established standard is called an authority list (some examples are the *Library of Congress Subject Catalog* and the *Art & Architecture Thesaurus*) and should be consulted when selecting terms. Terms selected from the official authority list are then typed into the text field. Certain symbols (for example, $) and additional letters identify sub-field information. Consult Library of Congress or RLIN publications for MARC format cataloguing standards.

Browsing Subjects:

Used the set terms for use in statewide finding aid index hosted by the Mountain West Digital Library. Terms are assigned to represent important topics in the collection. At least one narrow term (along with its parent broad term automatically added) should be chosen; if an appropriate narrow term is not available, a broad term is used.

Access Point Wizard:

Assists processing/cataloging archivists in the creation of authorized subject terms in the Access Point List of the record series being described.

For detailed procedures on using the Access Point Wizard see "Access Terms and Cataloging" in *Processing Procedures*.

Catalog Description:

Describes the contents of the series or those parts of the series that are in the Archives' holdings. Patron Services staff members write the catalog description when processing the records. Research on permanent record series may yield more information during processing, and the catalog description provides more in-depth knowledge of the records that researchers may need.

Schedule Description:

Description information used within the retention schedules. The Schedule Description is information about the record series as a whole compiled by record keepers and the Records Analysis staff, usually when the records are scheduled. In describing the contents of a record series, complete sentences are used. The description should be professional and not incorporate personal opinions or jargon as the record series are accessible by other agencies and the public as a summary of what records the state retains.

Description information paragraphs should not be indented. The predominant document type, its function, and the subject of the record series should be included at the beginning of the description.

When records are scheduled, accessioned, or processed, a comprehensive and concise description should be written to contain the elements listed below:

Subject: The description should reflect the main or title subject addressed by the series. Do not enumerate the subjects of individual documents. The subject can sometimes be inferred from items listed on the Inventory worksheet, if applicable, otherwise summarize the information recorded on the documents. If the subject is implied from other information in the description, a summary does not need to be added.

Function: Explain the function that led to the creation of the record series and how it is used in the agency's work.

Document Types: Include information about other types of documents that are not mentioned in the title and are found in the series. Some series consist of many types of documents brought together as the result of an activity or program. These are given collective names (e.g., case files, project files, personnel records, etc.).

The description may be expanded and may include information about prior creators and changes in the documentation pattern. The description may also include specific documents which may be important for research; any significant portions of the record series created by additional agencies, specific individuals, or a class of individuals; more detailed subject information contained in individual documents; etc.

Extended Description:

Text appends to Catalog Description in the Finding Aid.

Gaps in Series:

If gaps in date or index range are noted during processing, it should be recorded here. Gaps are large blocks of records or significant parts of series as opposed to individual records. The note applies to truly missing records. Perceived gaps (for example an agency is known to have existed 1852–1896, the series covers 1873–1896, but you do not know if any records were kept 1852–1872) should be discussed in the Research Note but not here.

> For example: The T–Z index for 1940 is missing

Arrangement

Arrangement specifies the order in which the material is organized. Data entered in the index-range fields will be based on the arrangement. There are five common categories:

Numerical Files: in ascending numerical order or sequence (e.g. by warrant number, low organizational number, etc.).

Alphabetical Files arranged alphabetically by name, subject, organization, place, etc.

Alphanumerical Files: arranged by a combination of alphabetical and numerical characters.

Chronological Files: in date order. This term can be used alone or can specify if it is by day, year, or month.

None: Files have no discernible arrangement.

The text should indicate how the records are currently filed by the office. Historical arrangement information should be included in the prior arrangement field. Record series may have more than one level of arrangement. The sub-arrangements should also be included. If a series has more than one arrangement level, separate the two by a comma and the word "thereunder" before describing the sub-arrangement. When phrasing the text, it is not necessary to repeat a specific term in the sub-arrangement. If the sub-arrangement differs from the main arrangement, the category of the sub-arrangement is specified.

For example:

Numerical by case number, thereunder by injury code

Chronological by election year, thereunder alphabetical by last name

Chronological by month, thereunder numerical by permit number

Alphabetical by surname

Alphabetical by school district, thereunder by school name

Alphanumerical by project identifier

None

Prior Arrangement:

To provide information on arrangements used on earlier parts of the series, where method of arrangement has changed over the years. The series input and most outputs reflect the most recent arrangement of the records.

Prior arrangement date from:

These two numeric fields are to record the years during which this other arrangement was followed.
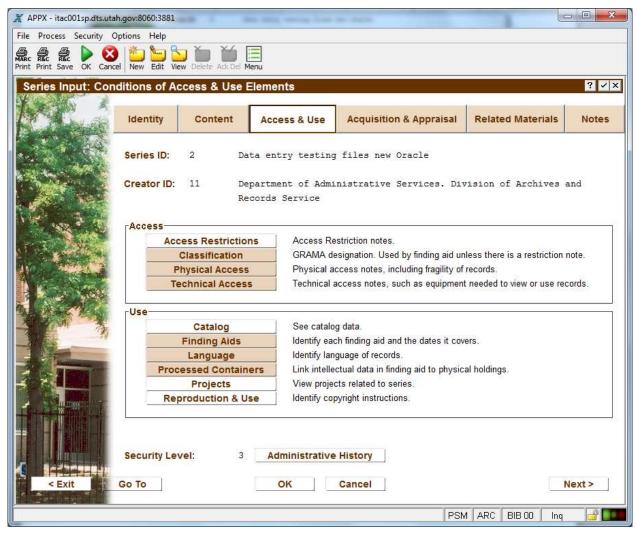
<u>Text:</u>

The two lines allow for a discussion of the earlier arrangement style. The pattern should be the same as "Arrangement" on the initial screen. If there is a sub-arrangement, it should also be included, separated from the main level of arrangement by a comma and the word "thereunder."

For example: Prisoner case files have been created since 1880. From 1880 to 1940 they were arranged alphabetically by prisoner surname. Since then all files have been arranged chronologically by year of admission to the prison, thereunder alphabetical by surname. The arrangement has not been redone in processing.

On the main screen, under "Arrangement," you would put: "Chronological by admittance year, thereunder alphabetical by prisoner surname."

In the prior arrangement screen, you would put: "1880/1940" and then "Alphabetical by prisoner name."

Access and Use

Access

<u>Access Restrictions</u>

Provides information about access restrictions due to the nature of the information in the materials being described. Content should be cited from a reliable or official source such as a statute, rule or regulation. As appropriate, specify the details of the restriction, including the length of period of closure or the date when the restriction will be lifted. For example:

"Utah law, enacted in 1941, sealed all adoption records with the exception that they can be released upon a court order expressly permitting inspection (Laws of Utah, 1941, chapter 17, 14-1-15)."

Classification

This information is entered when the custodial agency designates a classification or classifies the record series. When more than one classification is used for a series, the text field should be used to delineate the information that falls under each classification.

Primary Classification: This contains two fields consisting of one three character field for the classification code, and one text field for any statutory or regulatory citation or order restricting access and any additional information deemed useful in justifying the classification if it is not public. There is a code key at the bottom of the screen indicating the three letter code for each classification. Each classification contains the following general information:

Public	The records of state and local government agencies are considered open for public review unless they contain information that falls into one of the other classifications or is otherwise exempt from disclosure.
Private	Records only open to the individual to whom the records pertain, and other authorized persons or agencies. Utah Code 63G-2-302, 303
Controlled	Records open to authorized persons or agencies, but not open to the individual to whom the records pertain. Utah Code 63G-2-304
Protected	Records, usually containing non-personal data, that are open to the person submitting the record and authorized persons or agencies. Utah Code 63G-2-305
Exempt/Limited	Records where disclosure is limited expressly by statute, regulation, or court rule. Utah Code 63G-2-201 (3)(b) and (6)(a)

For more specific information refer to the Classification Worksheet.

Secondary Classification:

There are three sections available for secondary classifications. Each of these contain two fields consisting of one three character field for the classification code, and one text field for statutory or regulatory citation or order restricting access justifying the classification if it is not public.

Does this Series have Personal Data Elements?:

This is used to indicate any personal data elements in the record series that may justify a "private" classification. It accesses the **Personal Data Elements** and **Why is Data Collected?** screens.

Utah Code 63G-2-601(1)requires that each agency file a statement with the state archivist explaining the purposes for which private and controlled information is collected and to make those reasons public.

Personal Data Elements switches to an alphabetical list of personal data elements that the record series may contain that can be checked for each data element that is contained in the series.

Why is Data Collected? switches to a list of reasons that agencies are collecting data on individuals that can be checked for each reason given for collecting the data.

Physical Access

Provides information about access restrictions due to physical characteristics or storage locations that limit, restrict, delay, or otherwise affect access to the materials being described. Include restrictions such as:

Physical condition of the material limits use.

Archives requirement that patrons must use copies instead of originals for preservation reasons.

Technical Access

Records access restrictions due to technical requirements that restrict or otherwise affect access to the materials being described, such as equipment or specific hardware/software required for use. For example:

"Military discharge files are located at the reference desk. Consult a reference archivist for access."

"Gray Audograph discs (1957-1989) will play on original players only. The Division of State Archives has several rebuilt players with connections appropriate for digitization, allowing for reference copies to be made for listening."

Use

Finding Aids

One entry for each finding aid should be made.

Finding Aid Date Range From - To:

There are two fields for entering dates covered by the individual finding aid. Both date fields allow year/month/day input. The year is the most significant part of the date and should have all

four digits listed; the month and day may be left blank if they are not known. This field is used only when the finding aid does not encompass the entire record series.

Finding Aid Range From - To:

There are two fields where that portion of the series, included in the finding aid, is identified. The values will usually reflect the series arrangement. For example:

> If the series is numerical by case number, the index range includes the numbers covered by the finding aid (e.g., 12689 to 89877), but the entire series might include cases from 1–200,000. Avoid using any other words or symbols like "vol." and "#" in these fields.
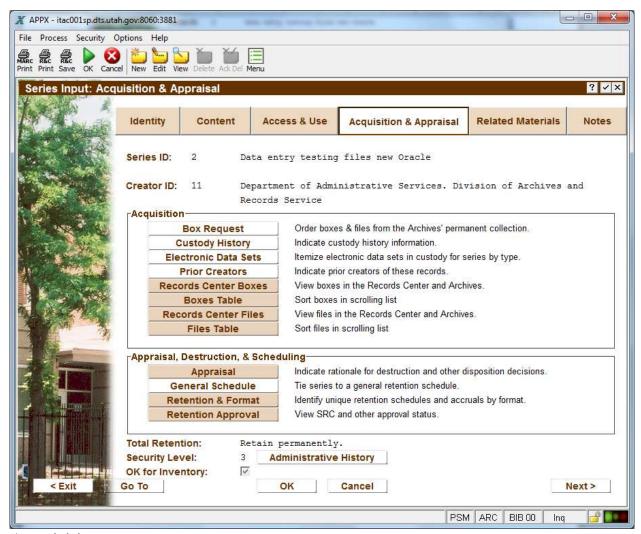
(I) index (S) searching aid (O) other?:

This is a field to enter in the code that symbolizes the type of finding aid: "I" for an index, "S" for a series inventory, and an "O" for other types of finding aids. Typing the "S" will generate the following phrase on the MARC work sheet: "A series inventory is available in the Archives Research Center." Most finding aids are either agency or Archives produced indexes or series inventories compiled during processing. If the finding aid doesn't fall into either of these two categories, it should be recorded as "O."

Finding Aids Description:

This text field allows for providing a detailed description of the finding aid and its use. Include information about portions of the series covered, how an index is organized, or about any appendices in the series inventory. Explain any unusual circumstance that led to the creation of the finding aid, particularly if that information gives insight into what it may or may not cover.

Acquisition and Appraisal

Acquisition

Box Request

Allows staff to order accessioned boxes and files from the permanent collection for use in division offices and in the Research Center. After locating the desired record series, staff selects the specific box and then uses the "email ASRS" tab to send a formal request to designated and authorized storage and retrieval staff. Boxes will then be checked out to the requestor and delivered to the appropriate office.

Custody History

Record information about the acquisition of a series. Most series are acquired directly from the creating agency and thus require no data entry in this field. Those series which

did not come directly from the creating agency, information regarding the transfer is recorded in the Custody History field.

A text field is provided for a description of custody history. The interim repository or repositories—between original creation and transfer to the Archives—should be noted. Dates of transfer or acquisition also should be indicated when known.

> For example: When the Utah Commission disbanded in 1896, it transferred its records to the Utah Secretary of State. The Archives assumed custody of them in 1957.

Electronic Data Sets

Links to electronic records (items) and object groups attached to the series.

Prior Creators

Only one agency name can be in the system as the current creating agency. However, with some series, the agency responsible for creating the records has changed over time. Earlier creating agencies can be recorded in this field.

From/To dates

These two fields indicate the time span when the agency created the series. Both fields allow a year/month entry. The year is the most significant part of the date; the month may be left blank if unknown.

Agency

This field is used to enter the agency number. When the number is entered, the name of the corresponding agency will appear on the screen.

> For Example: A county court, with 3 selectmen and a probate judge, governed a county during the territorial years. At statehood, the form of government changed to an elected, 3-member county commission. The series of meeting minutes begun by the county court were continued, generally in the same books, by the county commission. So for the Wayne County Commission minutes, the prior creator is the Wayne County Court:
>
> From 1892 05 To 1896 01
>
> Agency 2720   Wayne County Court

Record Center Boxes

View box records accessioned and stored either in the Records Center or the Archives.

Boxes Table

View box records as a sortable and scrolling list for ease of access.

Records Center Files

View file records accessioned and stored either in the Records Center or the Archives.

Files table

View file records as a sortable and scrolling list of files.

Appraisal, Destruction, and Scheduling

Appraisal

Justify the retention and disposition of a record series based on value and its relationship to other records.

Appraisal Values:

Use the check boxes to indicate the value(s) of the record series. More than one value may be selected. Appraisal text may be entered if necessary to justify the appraised value. There are four appraisal categories:

Administrative: Information is useful in conducting an agency's daily business.

Fiscal: Information is needed to document the expenditure of public funds or to fulfill financial obligations.

Historical: Information documents the history of the government and the community.

Legal: Information gives evidence of the legal rights or obligations of the government and its citizens, or ensures compliance with relevant laws and regulations.

Is this a Vital Record?:

This check box is used to indicate a record that is essential to the operation of the organization, the continuation and/or resumption of operations following a disaster, the recreation of legal or financial status of the organization, or to the fulfillment of its obligations to the public and employees in the event of a disaster.

Appraisal Text:

Explains or justifies the retention and disposition of the record series if the appraised value needs further explanation. The field is used to explain the retention and disposition of the record series. Series which only have Administrative and/or Fiscal value do not need information entered in this field unless there is an obvious need for the information. Do not enter phrases such as "This retention period (or disposition) is based on the administrative needs expressed by the agency," or other phrases that do not give useful information. When a series has more than one appraisal value, explain the value requiring the longest retention. By definition, "Historical" value means the records will be retained permanently.

Federal and state statutes, administrative rules, policies, procedures, and cases supporting the retention and disposition of a record series must be cited for a "Legal" appraisal value. Citations are entered according to standard research style. For examples, see "The University of Chicago Manual of Legal Citations.," 53, The University of Chicago Law Review 1343 [1986]).

Examples of the more common citations include:

·   Citations for a Codification

Example: National Labor Relations Act, 29 USC 151-169 (1982) or 10 CFR 10.12 (1988).

·   Citing administrative rules

Example: Utah Administrative Code or UAC R-52-1 (1988).

·   Citing Utah statutes

Example: Utah Code 67-13-2 (1989), Laws of Utah 83-2-12 (1987), Utah Rev. Stat. 57:2929 (18

General Schedule:

Allows access to the General Schedule screen in order to link a record series to the General Retention Schedule.

General Schedule Linked to this Series: This filed is for citing the General Retention Schedule with which, when applicable, the record series corresponds.

Agency Type: Specify the type of general schedule being used. There are four types of general schedules. State (SG), County, (CNT), Municipality (MUN) and School District (SD).

Schedule: Specify the schedule number (e.g., [1] Administrative Records).

Item: Specify the number of the item under the schedule number that matches the desired applicable schedule (e.g., [9] Executive Correspondence).

Two other options are the Agency-Specific Schedule that can be entered by "series number" in the fourth field for the schedule to which the series will be linked. If you know the "series number" the General Schedule corresponds to, but not the schedule and item number, it can be entered in the fifth field. The number may also be found by using the F2 key and searching by schedule and item. When the record series is linked to the General Schedule item and ENTER pressed, the date the series was linked and the initials of the person linking the series are automatically recorded on the screen.

Retention/Format

Identify the retention, disposition, and format management of the record series. Shows the format management for each type of media in the record series and allows the retention and disposition for the record copies of the series to be entered. The retention period of the series by the creating agency should be entered into the field following "Retain." The Yes/No switches in the disposition fields are automatically set by the system when the disposition is indicated in the format management screen(s). Any provisions related to disposition of the record series must be entered in the text field below the Yes/No switches. Pressing ENTER records the information entered in the fields and also accesses the Format Management screen(s).

Edit Formats:

Indicate retention periods and disposition for each format that is applicable to the record series.

Format: Identifies all forms existing for the record series. Retention and disposition should be recorded for each format type. The system recognizes numerous formats. Each format has been assigned a three-character code and when entered, the system displays the complete format type. These codes are:

APC	Aperture cards	NEG	Photo negatives
ARC	Architectural drawing	OPD	Optical disks
ART	Artifacts	PAP	Paper
CAS	Cassette tapes	PHO	Phonograph records
CDF	Computer data files	PTO	Photographs

COF Computer output microfilm   REC   Sound recordings

COM Computer output microfiche   RTR   Reel to reel tapes

FCH Microfiche   ROM   CD-Rom

FLM Filmstrips   SLD   Slides

MAG Computer magnetic storage media   TEC   Technical drawings

MAP Maps   TRN   Transparencies

MCR Microfilm   VID   Video recordings

MP Motion picture films   XRA   X-rays

More formats will be added as technology changes. Scan the full list in the local system if there are any questions about a record format.

Date Range:

Specify duplicate formats with different date ranges. The field is only used if part of the series of the same format has a different retention and/or disposition.

Copy or Original/Master:

Identify the appropriate code if more than one copy exists per format.

·   If the format is ARC, NEG, XRA, ART, REC, FLM, SLD, MAG, TEC, MAP, or TRN, then no code is required in this field and it should be left blank.

·   If the format is APC, PAP, or PTO, leave this field blank for the original record and enter "C" for the copies. Schedule separate retention periods and dispositions for the original and the copy.

·   If the format is CDF, ROM, or OPD, leave this field blank for the original record and enter "B" for the backup copies. Schedule separate retention periods and dispositions for the original and the backup copies.

·   If the format is COF, MCR, COM, MPF, FCH, or VID, enter "M" for the master copy and "D" for the duplicate copy. Schedule separate retention periods and dispositions for the original and the duplicates.

Format Management

Retain in:

This field identifies where particular formats are kept. Location codes are:

OFF Office   ARC Archives

RC State Records Center   TL Tape Library

RCA Agency Records Center

for:

The retention period consists of two fields that identify the time span the record is kept in the first location. The first field indicates the specific time span (e.g. 3, 36, 365, etc.). The second field indicates the increment designation by the following codes:

YER Year   DAY Day

MON Month   PER Permanently

WEK Week   UNT Until

After/Until:

This field specifies a condition lengthening a previous retention. Do not use this field for non-specific or vague retention periods such as "until administrative use ends."

Filmed?:

This check box must be changed if the format is to be microfilmed. If microfilm is checked, the format needs to be scheduled. Master microfilm must be scheduled and duplicate microfilm copies should be scheduled.

or until:

This field specifies a condition that shortens a previous retention. An example might be "audited," which could occur in less than three years, but the information could be destroyed after the audit.

Filmed?:

Refer to previous example.

and then:

Film?:

This check box should be checked if microfilming is required and retention is not lengthened or shortened.

Destroy?:

This check box should be checked when the record format is approved for a disposition of destroy at the end of its retention period at the first location.

Transfer to?:

This field indicates the location to which the record format is to be transferred if scheduled to be stored offsite. Any of the previous location codes may be entered except "OFF" (Office).

Retention and Disposition

provided:

This field identifies a condition that extends the retention. Examples of possible phrases are:

"no litigation is pending."

"all audits have been completed."

Retain for:

These two fields indicate the time span the records are kept in the second location (e.g. Agency Records Center, State Records Center, etc.). Use the same codes from the previous "**for:**" fields.

After/Until:

Refer to previous example.

Filmed?:

Refer to previous example(s).

or until:

Refer to previous example.

Filmed?:

Refer to previous example(s).

and then:

Film?:

Refer to previous example.

Destroy?:

For second location, refer to example for first location.

Transfer to Archives?:

This check box indicates if the approved retention schedule indicates the series is to become a permanent holding of the Archives.

Weed?:

This check box indicates the authorization for the Archives to weed out erroneous non-record material, duplicates, etc. from the record series. The default setting checked.

provided:

Refer to previous example.

Accruals:

accesses the Volume/Accumulation by Format screen.

Measured in cubic feet:

This Yes/No switch must be switched to "Y" for paper records.

Annual Accumulation/Total Volume:

This field's title changes depending on the open/closed status of the record series. If the record series is open, the title is "Annual Accumulation" and the estimated annual accumulation of the record series is entered in the field. If the series is closed, the title is "Total Volume" and the total volume of the series may be entered in the field.

Volume Appraised by Analyst:

When the Records Analyst assists in the inventory, the volume inventoried is entered in this field.

Volume Inventoried:

The volume of a permanent series that has been processed should be recorded under Archives, volume inventoried. Do not use total volume, above, even for closed series as the system will add the two volume categories together, implying a much larger holding. The **Records Center**, **Destroyed**, and other volume fields are no longer used.

Desc:

This text field is for the processor to add information about other physical details of the format for transfer to the MARC worksheet. The most common details added are the size of microfilm or number of volumes; for example, 16mm or 8 vols. Other details can be added depending on the format. Consult cataloguing manuals for lists of possibilities.

Print description in MARC format:

This Yes/No switch allows the description data in the text field above to be printed on the MARC worksheet. The switch defaults to "Y," but it can be changed to "N" if data should not be entered on RLIN.

Retention Approval

The information in these fields provides data relating to the retention schedule process. The "Audit Trail" brings up a list of approval dates for the series.

The series can be submitted to the State Records Committee ("Submit to SRC") or noted whether the retention is approved by the SRC or "Previously SRC approval" was done in an earlier submission. The check box indicates the record series retention schedule was approved by the State Records Committee (SRC) on the date displayed. To use this feature, the analyst or processor must research to ensure that the State Records Committee has actually previously approved the schedule and the date of that approval must be entered.
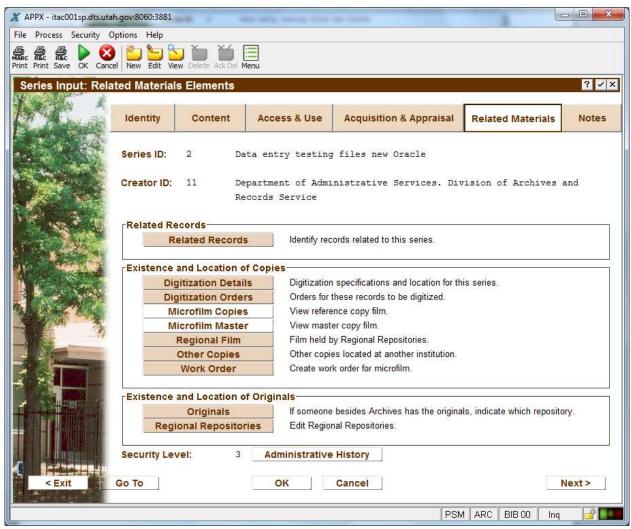
The check box indicates the record series is still in progress.

"Other approval" is only for records over which the State Records Committee does not have authority to approve—in other words, record series retention approval done by another governmental entity that has authority to do so. A field for the type of approval allows for court and local ordinance in the drop box.

After the series is approved by the SRC, the series becomes protected at security level 3. Approval of the Records Analysis supervisor is required to change the series for re-submission to the SRC.

"Considered scheduled" is used by Patron Services when processing older, closed series. It is used only for historical records already in the custody of the Archives. The processing archivists make retention decisions rather than submitting the series to the State Records Committee but approval may only be made by the Archives' director or the deputy director. It raises the series to security level 3.
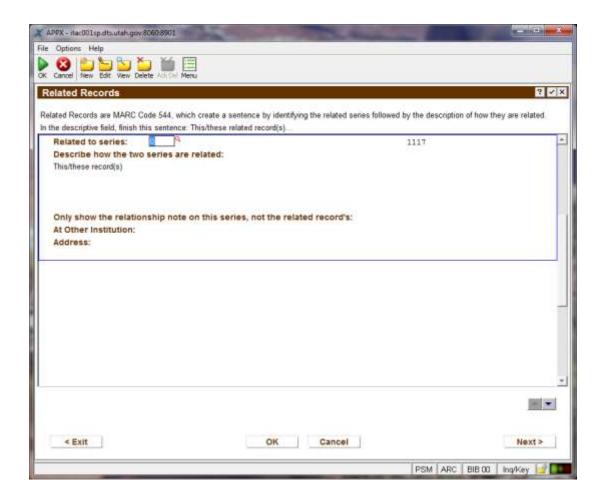
Related Materials

Related Records

Identify records related to this series. Record series are related when elements from one series are also contained in another, or when information from one series is used to create a report which constitutes another series. Series can also be related if produced through a common function. Do not use this screen is if the relationship is merely a common subject or a common creating agency.

Related to Series:

This numeric field is for entering the number of the related series. The title will be displayed when after the series number is entered and the ENTER key is pressed.

The text field is for entering a brief explanation about how the series are related. The text field should not contain mention of the series number.

The wording of the relationship will transfer directly to the second series as well; if you do not want the wording identical, go into the second series and reword—the rewording will not transfer back again to the first series.

For example: Death certificates, series 81448, are indexed by an electronic index, series 20842. They are inter-related, so the toggle switch is set to "N".

Related record in series 81448 reads: "20842 Death certificate electronic index is a computerized index for these death certificates."

Related record in series 20842 reads: "81448 Death certificates are indexed by this computerized index."

Occasionally, you will want to point a researcher to another series only from within one of the series—not to each other.

For example: Uintah County incorporations (series 5015) are also found in the incorporations kept by the Division of Corporations (series 7184). Someone looking at the Uintah County incorporations needs to know of those in the Division of Corporations. However, the Division of Corporations series need not point individually to the records of all 29 counties (joint filing with the county clerks is mentioned in the description).

Related record in series 5015 reads: "7184 Incorporation case files includes current incorporations in Uintah County".

Related record in series 7184 makes no mention of series 5015.

Existence and Location of Copies

Digitization Details:

Digitization specifications include information about who digitized the series, whether the Archives or another entity; technical specifications about the digitization process and equipment (when not captured in a work order).

Digitization Orders:

To order digital copies of microfilmed records, the following information is needed:

Order Number, system generate number

Date

Staff Name of individual placing order

Patron Name of individual requesting work

Series number of record series

Agency number of creating agency of record series

Series Dates specifying the date range within the series to be digitized

Series Arrangement so the staff member doing the work can find the specific record (if it is not the entire reel) to be digitized easier

Order Notes, with any information specific to this request, such as where to deliver digital images, which specific record the patron is interested in, or if there is a dead line when the work need to be done.

Microfilm Copies:

Search and view reference copies of microfilm by accession number, reel number, index range, or year—or by a sortable table.

Microfilm Masters:

Search and view master microfilm by accession number, index range, or year—or by a sortable table. Deaccession film.
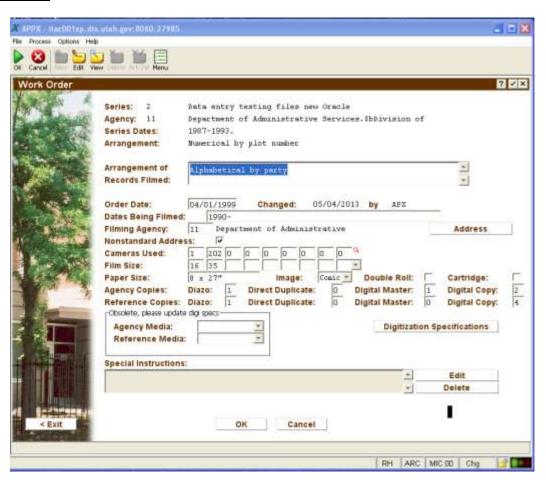
Regional Film:

Identify microfilm copies of record series held in regional repositories.

Other Copies:

Identify microfilm copies of record series held in institutions other than regional repositories or the Archives.

Work Order:

Identify format management numbers being filmed, the master film and duplicate film format. On the next screen the following information is needed:

Arrangement of records being filmed so the staff member doing the work knows what the order of the records is supposed to be.

Order Date which will be overwritten for each new order.

Dates being filmed is unique to the work order. It is not the series date range unless the entire series is being filmed.

Address: The agency contact person and address

Filming Agency if an agency other than Archives is filming the record.

Nonstandard Address if applicable.

Camera Used. Each camera, here or offsite has a unique number. At least one field must be filled.

Film size. At least one field must be filled with the film size requested, corresponding to the camera number in the above field.

Paper size is for unique sizes being filmed so the staff member doing the work knows what to anticipate when adjusting the camera settings.

Image is cine or comic. Select the applicable image orientation in the drop box.

Agency Copies requested for diazo, direct duplicate, digital master and digital copy go in their corresponding field so the staff member knows what copies need to be made.

Reference Copies requested for diazo, direct duplicate, digital master and digital copy go in their corresponding field so the staff member knows what copies need to be made.

Digitization Specifications: The digitization specifications include technical details for the master and duplicate copies being made by digitization work order number. The bit depth, PPI, file type and media are all selected by drop box.

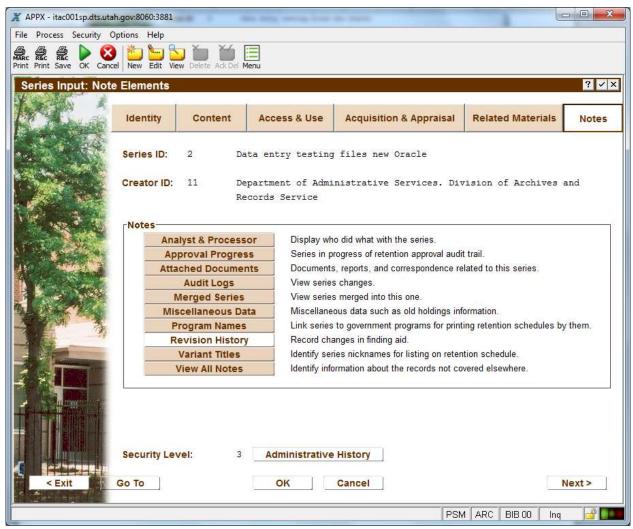## Existence and Location of Originals

Originals:

If original records are held in a location other than the Archives, enter information about the records and their location. Note if the records are in the creating office, a regional repository, or other location. Use official and full names of repositories and/or agency. Note if the originals has been destroyed (and indicate the reason in the Appraisal note).

Regional Repositories:

If original records are held in regional repository, select the regional repository.

Notes

Analyst and Processor

Enter the initials and name of staff member who analyzed (scheduled) and appraised the records series being described. Also records the initials, name, and date stamp of staff that added the record series to system and changed series descriptive information in any significant way.

Processing Information: Enter the initials, month and year the series is initially processed. To distinguish between various levels of processing, this information should correlate with the creation of a series inventory finding aid. Subsequent revisions of the series inventory content should be recorded in Revision History.

Approval Progress

Each step in the process from creating a series schedule to getting SRC approval should be logged. The drop down status box lists the process steps. Specific action or other notes are made in the note field.

Attached Documents

Documents related to a series can be added as PDF files. Attachment documentation provides the necessary metadata about the file attached.

Audit Logs

Log entries are recorded automatically when an individual requests, and is granted, permission to change a series through the local system's security request field. Log entries could contain information that was changed, the logon initials of the person requesting the change, and the date the change was made. Log entries are displayed chronologically. Anytime classification, retention, SRC approval changes are made, an audit stamp is automatic.

Merged Series

Records the elimination or "merging" of duplicate series records into the series being described. Archivists create and file series comparison reports for merging duplicative information by identifying the content that should be saved and discarding in the merge process.

Miscellaneous Data

Retention Approval:

This is a simplified version of the retention approval screen from the Appraisal, Disposition and Scheduling field. Changes to this screen must be made there.

Catalog:

The cataloguer enters the date that the record series was catalogued along with his/her initials. After this, the series becomes protected at security level 4. At level 4, permission to make any changes or modifications to the series must be requested from the Patron Services supervisor or the cataloguer. The "Last Time Work File Was Created" field is automatically recorded. The "Converted" field automatically records when the processor uploads the changes to the catalog by using the "Convert" function. There is a check box used to indicate whether or not a series has previously been catalogued ("Cataloged Before").

"Workfile" functions allow the series to be added to or modified in the online catalogue and printed as a MARC worksheet. A series should be reconverted anytime it is raised to a level 3 or 4, or substantive changes are made to a level 3 or 4 series.

<u>Physical Holdings:</u>

Automatically populated fields that assist archivists in recording extent and type of records that are in archival custody including: records in archival custody and format of holdings, old volume data carried over from prior iterations of the content management system, total microfilm copies (differentiating between master or cataloged (diazo) copies), and the last reel number assigned to accessioned microfilm.

<u>Who did What:</u>

"Analyst"

"Appraiser" defaults to the Records Analyst assigned to the creating agency. If the appraiser is not the analyst, enter the appraiser's initials in this field. Note the volume appraised as well.

"Processed By" is for the log-on initials of the individual who processed the record series. Once entered, the initials and the name of the individual are displayed. These initials should reflect who did the original processing.

"Series Added by"

"Series Changed by"

"On" fields are for the date on which processing of the series, adding the series, or changing the series was completed.

<u>Retention Summary:</u>

Will bring an audit log of retention changed made to the series.

<u>Program Names</u>

Program Names are subunits of an agency or office—or may span multiple agencies, such as a federal program. It does not stand alone as an agency. Tie a program to a series by first looking up what programs are available using the "See Programs Available" function at the bottom. Use the program number to tie it to a series.

Program titles, descriptions, and information may be edited through the function keys at the bottom, using the same style requirements as for series information.

Revision History

When a finding aid undergoes significant change, processors record the changes in this field.

Variant Title

The Variant Title is used to document series nicknames, acronyms, abbreviations, forms, job numbers, or other informal identifiers used by those familiar with the records. It is not used for prior titles of series.

These date fields record the date range of previous titles.

"Do you wish this to appear on reports" will determine if the variant title is to appear on the retention and classification reports.

View All Notes

Notes cover additional information about series not entered into other fields. This is the location to enter information that adds understanding to the records. Notes, while information, should be professionally and officially written and not convey personal opinions. Some note fields may be printed and part of the records series information online.

Abstract

Abstract information not entered into Abstract field under Content.

Accessioning

Record additional information on the acquisition of a series or parts of a series here.

Arrangement

Explain complex or unusual arrangements to enhance the standard arrangement statement. For example the records being described could simply state: "Chronological by case number." An expanded arrangement note for the same records could say:

> "The case files from 1896 through 1969 are arranged by consecutive case number. Documents within individual case files are arranged chronologically by filing date. It appears that files dealing with court business (writs calling jurors, grand jury lists and reports, etc.) were routinely assigned half numbers during the twenty-odd years immediately following statehood. For example, oaths of office were grouped in file no. 1 1/2. Regular case files were inexplicably assigned half numbers occasionally as well."

Staff have the ability to designate this note as printable (available for public use such as on a finding aid) or for internal management use only.

Cataloging

Records the date the series was cataloged and the cataloger's initials, date the catalog work-file was created, date the series was converted to the on-line catalog, and a field recording whether a series was cataloged prior to the recorded date.

Computer Files

This field has been used to explain the existence of computer files and other electronic formats of records series. It has also been utilized to explain the location of electronic copies of records series.

Dates of Holdings

Assists staff and researchers in knowing who holds which parts of the series being described. For example:

> "Records from 1896 through 1969 are in the custody of the Utah State Archives. Reference service is provided for these records. Records from 1970 to the present remain in the custody of the Third District Court, which provides access and reference."

Format

This field has been used to explain when the same document in different formats has become part of different series. For example, some maps were mis-filmed with another agency's series, and then destroyed; since individual frames cannot be cut, the discrepancy must be noted.

Gaps in Series

Further explain gaps not entered under Content.

Indexing

This field is used to note the existence of indexes we do not hold, and the nuances of using indexes or partial indexes which form part of the series.

Legal Note

This note is used to discuss statutes or regulations which govern the creation or use of the series.

Physical Access

See under Access and Use.

Preservation

The format should be entered on the name of note field on the first screen. The second screen should note the condition of the records using the standardized terms designated by the Preservation Archivist. See "Terms for Preservation Notes" for details and definitions. The Preservation Section may also enter notes about treatment and maintenance.

Processing

This note is used by the processors to record the processing note from the series inventory. Records activity that affects the physical history and handling of the records, including scheduling dates, filming dates, rearrangement during processing, etc. At minimum record the name of the processor and the month and year processing was completed.

Reference

This field is used to clarify things not obvious to people who may be using the records for the first time. When the use of a series will be particularly difficult due to the complexity of how the information may have been recorded over time, the note should suggest different ways to use the series or locate information within the series.

Reproduction and Use

A standard statement of "These records are available for reproduction and use." is generated for series inventories. Should reproduction not be allowed (i.e. due to copyright), entering an explanatory note will override the standard statement.

Not be confused with a preferred citation automatically appearing in series inventories: "Archives and Records Service, the creating agency name, the series title and the series number."

Retention

This field is used by processors to discuss the rationale for retaining the series in a particular format or formats. It is also used by analysts to discuss delicate negotiations with the agency regarding retention. The note does not normally print.

Retention Justification

This field is similar to the retention note, but records the official, final product. Normally it prints on reports.

Separated Material

Processors explain removal of oversize materials to different containers, which aids reference staff and patrons to locate items described in the container list.

The note is included in the catalog and series inventories.

Series History

This field allows for discussion of series merges, boundary changes, etc. over time.

Technical Access

See under Access & Use.