Style Manual for
Archival Finding Aids for the University of Wisconsin Digital Collections Center (UWDCC)

Modified from
The Style Manual for Archival Finding Aids for
The Historical Society of Western Pennsylvania
& The Carnegie Mellon University Archives

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Introduction to the Introduction to the Introduction

This style guide specifically addresses the arrangement and description process for finding aids. It is intended to help in the completion of professional finding aids that will be encoded (using EAD) and used in conjunction with the University of Wisconsin Digital Collections.

Until such time that a finding aid style guide becomes locally available, the UWDCC has chosen to adopt, with a few minor changes, this finding aid style guide. We hope you will find the standards logical and easy to interpret. If you find something missing, or a finding aid section not described here that you would like to use, please let us know before you begin. We will gladly adapt as much as the local software will allow us to ensure that your collection is properly described.

As noted below, The Historical Society of Western Pennsylvania has been kind enough to loan us their Style Guide via Jennie Benford, University/Heinz Archivist at Carnegie Mellon University.

--Amy Rudersdorf
Metadata & Encoding Unit
University of Wisconsin Digital Collections Center
December, 2002

Introduction to the Introduction

The Historical Society of Western Pennsylvania has been kind enough to loan us their Style Guide. With a few modification, their systemized approach to the production of Finding Aids fits nicely within the needs of the Carnegie Mellon University Archives.

The Carnegie Mellon University Archives is a small shop that relies heavily (and gratefully) on the work of graduate students from both Pitt and Duquesne. The tenure of these students can be as little as a couple weeks to finish a discrete project, to a year or two if employed in a more general capacity. In the long run, this means many cooks in the kitchen—all the more reason to provide one recipe from which everyone can work.

This manual is intended to provide a structure for both creating new finding aids from scratch as well as for retrofitting older inventories, container lists, and finding aids. The ultimate goal is to create a unified body of information about all of the collections within the UWDCC archives. An added benefit of this goal is that such uniformity will make finding aid info more adaptable to online formats, such as EAD and MARC.

Chances are, if you are reading this, you are one of the students mentioned at the top of this page. If so, please realize that part of why you are here is to ask questions and learn. This guide is not a surrogate for a real-live, question answering human. Hopefully the manual is easy to understand. If not—questions are welcome.

--Jennie Benford
University/Heinz Archivist
Carnegie Mellon University
April, 2002

Introduction

Of the five major archival functions (appraisal, arrangement and description, outreach, preservation, and reference), possibly the most important function is arrangement and description. Through professional arrangement and description of material, archivists make available papers and other records of historically significant people and institutions for use by researchers of all types.

The arrangement process is undertaken to provide the large number of individual items in any collection with a simple and cohesive pattern by which researchers can locate specific material. The process of description is undertaken to inform and alert the researcher to the types of material found within a particular archival collection. The result of this endeavor is an archival finding aid designed to guide researchers through the hundreds, thousands, or millions of individual items in a particular archival collection of papers, records or other items. In sharp contrast to monograph (book) cataloging, we arrange and describe material by collection as opposed to subject headings. This provides the researcher with a better sense of how these archival items were originally utilized and facilitates the greatest use of a researcher's limited time.

This style manual specifically addresses the arrangement and description process. It is intended to help Carnegie Mellon University archivists in the completion of professional finding aids. We follow strict standards in the production of archival finding aids to help researchers in using our archival collections. By providing consistent finding aids, patrons can easily move from one finding aid to another as they explore the rich holdings of the Archives of Carnegie Mellon University.

Style Manual for Archival Finding Aids

Finding aids used by the UWDCC to create EADs are produced to strict standards for three primary reasons. First, a consistent format containing the same basic information promotes ease of use. Second, a strict format ensures all relevant information needed by the researcher will be addressed. Third, and most important, maintaining uniformity within the finding aids will assist in the move from paper-based to digital finding aids in EAD.

Following this section is a basic template for UWDCC archival finding aids. Text that appears throughout this document in regular, underlined, or bold should appear that way in the finding aids. Text that appears in square brackets [] is reserved for general instructions, primarily for blank lines, and should be followed as recorded below. Additional rules for each finding aid section are fully described in the main text of this manual (below). These component sections are numbered and correspond to the superscript numbers that adorn the basic template on pages 7 and 8 of this document.

Formatting Rules[♠]

1. Justification. Finding aids should be written with left-margin justification. The use of full justification presents numerous problems in certain sections of the finding aid, especially the container list.

[♠] Terminology that will be defined later in this document appears in italics.

2. Tables of Contents. We ask that finding aids be written to strict standards so as to be easily transferrable to EAD. This structure also ensures that researchers will know where to find vital information regarding contents and usage. Therefore, it is not necessary to include a table of contents for the vast majority of finding aids. For finding aids longer than twenty pages, a table of contents might be a worthwhile addition. When one wishes to include a table of contents, he/she should place the table of contents immediately after the *header*. Record the information as follows and include only the first page where the items appear. Furthermore, with tables of contents, the individual *series* within the *container lists* should be individually entered by series number, series name, and page number. If the scope and content is equally long, include those individual sections as well.

```
[Header]
[blank line]
Table of Contents
[blank line]
Biographical Note                            page 1
Scope and Content Note                       page #
     Series I: [series name]                 page #
     Series II: [series name]                page #
     [repeat as needed]
     Provenance                              page #
Restrictions and Separations                 page #
Index Terms                                  page #
Catalog Entries                              page #
Preferred Citation                           page #
Container List                               page #
     Series I: [series name]                 page #
     Series II: [series name]                page #
     [repeat as needed]
```

6. Title Pages. Title pages are not necessary for UWDCC finding aids. The information supplied in the header is sufficient.

7. Abbreviations. Abbreviations should be avoided. Obvious abbreviations, such as PhD, can be used at the finding aid creator's discretion.

8. Acronyms. The use of acronyms in prose sections is allowed. All acronyms should be introduced in parentheses directly following the first use of the organization name that is being condensed:

```
Dane County Conference on Community Development (DCCCD)
American Association of State and Local History (AASLH)
Major League Baseball (MLB)
Midwest League (MWL)
```

9. Numbers. For all numbers greater than ten, use Arabic numbers. For numbers ten and less, please follow these rules and the specific rules established in the individual sections:

♦   For all prose sections and the number of boxes within the *extent statement* of the header, spell out all numbers ten and lower.

♦   For box numbering within the extent statement of the header, linear feet within the extent statement of the header, manuscript numbers, dates, and subseries numbering, always use arabic numbers (e.g., 1,2,3...).

♦   For series designations in the *scope and content note* and *container lists*, always use Roman numerals (e.g., I, II, III...). However, when discussing the contents of the individual series within scope and content prose, series numbers should be spelled out.

Since there are more than three (or would that be "3"?) conditions determining the use of arabic, roman or spelled-out numbers, please do not hesitate to ask for help with specific numbering problems or look at other EADs in the UWDCC.

Components of Archival Finding Aids Map[*]

Header	Main Entry[1], Title[2], Range of Dates[3] (bulk [bulk dates][4]) [blank line] Extent[5] [blank line]
Biographical Sketch/History of the Organization	History of/Biographical Sketch of [6] [blank line] [Paragraphs as needed and no indentation for prose paragraphs. Blank lines between all paragraphs.] [blank line]

Scope and Content Note[7]

[blank line]

[Paragraphs as needed and no indentation for prose paragraphs. Blank lines between all paragraphs]

[blank line]

Series #: Series Title (dates, bulk if needed)

[Paragraphs as needed and no indentation for prose paragraphs. Blank lines between all paragraphs.]

[blank line]

Provenance[8]: These materials were received in # accession(s).

[blank line]

Accession #   Gift of . . . (Title. Relationship [if known] to
                              records or papers creator).

[repeat as needed]

[blank line]

Restrictions[9]: Basic restrictions statement or "None."

[blank line]

Separations[10]: Basic separations statement or "None."

[blank line]

Index Terms[11]

[blank line]

Processor[12]: Date completed; processor(s).

[repeat as needed]

[blank line]

Preferred Citation[13]

[blank line]

Container List[14]

[blank line]

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[*] Numbers in superscript correspond to the numbered sections that follow the "Components of Archival Finding Aids Map."

Header

1. Main Entry

The main entry is generally considered the entity that created the collection. The main entry can be designated for an individual, a family (with one or more family names), a governmental body, or any organization (including businesses, civic organizations, etc.) or conventions (including meetings and conferences). For the main entry, all personal names are inverted with last name first. All other names appear as they are commonly known. Try to follow rules established in Hensen's *Archives, Personal Papers and Manuscripts: a Cataloging Manual...* (APPM) or *Anglo-American Cataloging Rules* (AACR) when creating main entries.

   NOTE: For the purpose of the catalog entry, birth and death dates should be included for individuals. If exact dates are not known, then circa dates should be used. This will differentiate the particular paper's creator from others with the same name. Use the version of the name by which the creator is best known, e.g., Carter, Jimmy, not Carter, James Earl). Organizations should be designated with a city and state if there is potential for confusion with a like-named organization or some other need to better designate the locality, e.g., Post Office Building (Oshkosh, Wisconsin).

```
Individuals              Leopold, Aldo
Families                 Bailie Family
Organizations            Ellis Elementary School (Madison, Wisconsin)
```

2. Title

For library cataloging, the title of any work is taken from a defined location known as the "chief source of information." The Anglo-American Cataloging Rules' traditional view of archival bodies assumes that the chief source of information for a particular body of papers, records, or collection is the entire body of material. Naturally, this provides no clear source for the title when dealing with material. While this traditional point of view does not help archivists determine anything that might remotely be called a simple title, the general practice adopted by archivists and solidified by APPM is to supply the body of material with a brief title that covers the material's range and content. Archivists often adopt a simple, one-word title, that either stands alone or is placed after repeating the main entry, according to the nature of the main entry. The UWDCC has adopted the convention that the title should be a combination of the main entry and the nature of the main entry.

Please adhere to the formatting model below when determining the title of each archival body. This language should be based on the nature of the main entry and the process by which the material was created or gathered.

```
Nature of Main Entry                        Title
Individuals or Families                     Bailie Family Papers
Organizations (private, public, non-profit) Ellis Elementary School
Records
Items gathered (not created) by any entity  University of Wisconsin
Alumni Collection
```

You may decide to use a more descriptive title for the material; only elect to do so, however, if the materials are of a one-dimensional nature. Should you choose to give your collection a more specific title, APPM provides a guide to title terms. Examples include "Correspondence," "Diaries," "Business Ledgers," etc. This practice may be common for people working with government records that document one office and purpose: "Tax Logs," "Land Deeds," etc. Nevertheless, archivists use these titles only when a general titles will not reflect the true nature of the materials in the papers, records, or collections.

3. Range of Dates

The range of dates refers to the first and last verified date of the materials described. In the event that items on either end of the range cannot be verified, use circa dates with the "c." notation (c. 1820). Since the range of dates reflects all the materials in the papers, records, or collection, archivists might find material included that was created before the birth or after the death of the individual or organization. Do not worry about this apparent oddity and do what a famous baseball umpire might do, "call 'em as you see 'em!" In the event that a significant amount of material was created during a more specific time period, significantly shorter that the entire date range, then include the material's bulk dates (see #4).

```
Individuals      Tener, John, Papers, c. 1872-1948
Families         Bailie Family, Papers, 1937-1970
Organizations    Ellis Elementary School, Records, 1906-1979
```

4. Bulk Dates (use as necessary)

While the range of dates covers the earliest item to the latest, bulk dates record the existence of a significant amount of material from a narrower range of dates. These dates describe the chronological extent of the papers, records, or collections. Bulk dates are assigned at your discretion for both the header and individual series. Unlike the range of dates, bulk dates appear in parentheses and the word "bulk" comes first. Because of the parentheses, no comma is placed between the range of dates and the bulk dates.

```
Bailie Family, Papers, 1937-1970 (bulk 1960-1970)
Jones, Dr. Ezekial, Collection, 1901-1952 (bulk 1936-1940)
```

5. Extent

Extent refers to the physical size of the papers, records, or collection. There are three basic components of the extent: the number of boxes, the box numbering, and the shelf space occupied (in linear feet).

Number of boxes refers to (as one might imagine) the number of boxes, regardless of the individual box size. As with numbers in prose sections, the number of boxes is spelled out for numbers ten and lower and in arabic numbers for those greater than ten. The word "box" or "boxes" is not capitalized here.

Box numbering refers to the exact numbering of the particular boxes or folders of the collections described in the finding aid. The majority of box numbering systems will simply be "1 of x" (x equals the number of boxes). For this component, the box numbers are not spelled out. However, there are instances when the box numbering will take into account previously arranged and described material in the holdings with the same provenance. These series may start at a number greater than one. An example would be two donations of papers that arrived in two separate donations from a single family, say the Firefly family. The original material was arranged and described before the second batch of material arrived. If 19 boxes were already arranged and described, any additional material would need to start at box number 20. Box numbering for the second Firefly Family Papers would start where the first ended. This method resolves any confusion researchers might have indentifying boxes. The word "Box" or "Boxes" is capitalized here.

Shelf space occupied by the boxes in linear feet is the last component of the extent statement. Generally, use round numbers to determine the extent of the material. Do not worry about whether a box is legal or letter size or, in the use of record center cartons, which direction the files are facing (which changes the actual size). The general rule of thumb of box size incorporated by the UWDCC is as follows:

```
Full-size Document Case          .5 linear feet
Half-Size Document Case          .25 linear feet
Record Center Carton             1 linear foot
Transfile Carton                 2 linear feet
_____

# box (Box x-#); y linear feet
_____

One box (Box 1); .5 linear feet
Three boxes (Boxes 1-3); 1.25 linear feet
57 boxes (Boxes 51-107); 30 linear feet
```

6. Biographical or Historical Sketch (or Records History)

Essential to a strong finding aid is a worthwhile biographical or historical section. If the materials described are personal papers, the title for this section is the "Biographical Sketch of (person)." If the materials described are organizational records, the title for this section is "History of (organization)." This section is included in a finding aid for two fundamental reasons.

First, to provide the background of the creator, family, or organization to help the researcher in placing the creator in historical context and to determine if that material could prove useful for his/her research. Researchers rarely focus specifically on the creator of the papers, records, or the subject of the collection in their research. Instead, researchers often use these primary- and secondary-source materials to examine broader issues and subjects. Providing a comprehensive introduction to these people and organizations will allow researchers to quickly decide if the material described will fit their particular research needs. For example, a researcher doing work on amateur athletics in Western Pennsylvania will know within moments of reading the biographical sketch of Nathan Kaufman that his contribution to the history of amateur athletics is significant and the material he created would probably be worth examining. Conversely, a person conducting research on the lives of religious leaders in Pittsburgh's Jewish community will soon see that, while the Kaufman papers are designated as part of the Society's Western Pennsylvania Jewish Archives, these papers will probably offer little material valuable to their research.

Second, to provide a general "cast of characters" and "plot line" to help the researcher in deciding who's who and what's what. Record here significant people and events to aid researchers in surveying the collection(s). This is true of all archival papers, records, or

collections, since all have important correspondents and relationships that should be identified to assist the researcher in the use of the material. Researchers should not have to "reinvent the wheel" by figuring out relationships and positions of significant correspondents in the material every time it is used. This is especially important for family papers and institutional records where the material might lack the common thread that the papers of an individual might have.

Focus and Purpose

Proceed to the biographical or historical section only when the material has been thoroughly examined and an arrangement has been chosen. The sketch should take information from the collection to answer five basic questions (the five "W"s) about the creator:

- **Who** are they?
- **What** did they do?
- **Where** did they do it?
- **When** did they do it?
- **Why** did they do it?

Keep in mind, however, that this section should *not* be the definitive biography or history of the papers or records creator, but a simple narrative. The sketch should be brief and focused on important information that will help to navigate the numerous items within any collection.

Biographical or Historical Sketch Format

In the first sentence or two of the biographical sketch, include information to clearly identify the creator's significance and contribution to history. Also include information relating to the place where he/she/it worked, lived, operated, etc., the dates when he/she lived or when the organization operated, and other relevant information.

> Biographical Sketch of Rufus T. Firefly (1890-1973)
>
> Rufus T. Firefly was the prime minister of Fredonia from 1930 until 1942 and served as United States Ambassador to Uruguay from 1945-1953.
>
> Historical Sketch of the MST 3000 Fan Club of Pittsburgh (Pennsylvania) (1991-)
>
> The MST 3000 Fan Club of Pittsburgh (Pennsylvania) was founded in 1991 by Joe Provenance (1964-) to encourage local cable companies to offer the Comedy Channel to its subscribers. The Comedy Channel broadcasts the show MST 3000, a cult favorite among people who love "B" movies that members "could not live without."

After the introductory sentence, commence with a chronological history or biography. For biographical sketches, include information on the creator's family in the last paragraph. Include

birth and death dates either in the title of the section (for individual papers or collections creators) or directly following the first appearance of the name in the biographical sketch. Use your judgment when deciding which important dates, events, and additional people should be included in this section.

Look for information in the collection itself in which to incorporate into the historical section. You are also encouraged to use reference materials such as obituary files, clipping files, etc. Spend a limited amount of time on research outside the confines of the papers or records, primarily to polish off loose ends and to verify any dates you include here. Generally, do not cite any bibliographic material in the historical section; this is simply not necessary for the finding aid. Also, try to avoid overwriting the biographical section or transcribing information from the papers or records.

Writing biographies and histories for finding aids of the papers or records of relatively obscure persons or expired programs and departments can be difficult. Since most people go through life in relative obscurity, the main source for the biographical section must be the papers themselves. When confronted with a limited amount of biographical information, remember that it is perfectly acceptable to open this section with a phrase such as, "Little is known of the Firefly Family." This way, researchers know that the burden of uncovering the full life of the paper's creator remains with them. You might add general information about the person's experiences, or concentrate on information relating to the experiences of others with the same demographic profile.

When writing the historical section for extinct programs and departments, feel free to open with a similar statement, e.g., "Little is known about the Rufus T. Firefly Memorial Scholarship Committee." You may want to add additional material on the history of that type of organization in the context of the location and period in which it operated. Many of the same procedures used when working with poorly documented families should be used when writing about similarly obscure institutions.

7. Scope and Content Note

Probably the most important component of the archival finding aid is the scope and content note. This section is used to describe the hundreds, thousands, or millions of individual items contained in a single collection. As discussed in the introduction, we cannot possibly describe or list every item in these collections and expect researchers to parlay that data into any analytic examination of the whole material.

When writing a scope and content note, you are, essentially, trying to discern the forest from the trees and to provide a concise description of the contents, strengths, and limitations of a collection. Describe materials in the broadest sense by alerting researchers to what might and what might not be available in these archival bodies. Never forget that the task of thoroughly

examining these papers, records, and collections *lies completely with the researcher*. If we can convey the types of material included and the content of those items, then we are providing a perfect launching board for someone's research into a specific collection.

Unlike the biographical or historical sketch, the scope and content note is written according to strict guidelines. Much like the rationale behind standardizing the whole format of the finding aid, establishing a strict pattern for the scope and content note will be of invaluable assistance to the researchers and provide better access to the items described. There are only two basic formats for the scope and content note determined by the arrangement of the material. Format One is used to describe material arranged without series designations and to describe individual series within Format Two. Format Two is used to describe material arranged with multiple series. Individual series and subseries follow the Format One guidelines.

Format One
Material with no series designation
(and individual series within Format Two)

Format One is used to describe material arranged with only one series and to describe individual series of material which have been arranged in multiple series.

In the first sentence provide the following information in this order:
  Main Entry
  Title (capitalized according to AACR)
  The number of boxes, folders, or other containers.
  The method of arrangement (with qualifiers if needed, see below)

```
Main Entry: Rufus T. Firefly
Title: Papers
Number of boxes: six archival boxes
Method of arrangement: alphabetically by folder title

The Rufus T. Firefly Papers are housed in six archival boxes and are
arranged alphabetically by folder title.
```

In the second sentence, provide the physical types of material found in this body or series of material. Use general terms such as: correspondence, diaries, financial material, real estate material, published items, ledgers, scrapbooks, etc. By using general terms that are consistent from one finding aid to the next, researchers will have an easy time deciphering what material will be found with the papers or records described. Every effort should be made to completely describe the materials. Phrases such as "and other miscellaneous material" may be necessary at times, but should be avoided if possible.

```
These papers include correspondence, financial material, orders for
Cuban Cigars, and other miscellaneous material primarily documenting
his career as Prime Minister of Fredonia, 1933-1939.
```

For the rest of the scope and content note, you are challenged with the task of describing a variety of material concisely. Researchers *should not* be given a laundry list of the items included in the papers, records, or collection but be provided with a better understanding of the depth of the materials described. Instead of simply listing the names of the correspondents, examine:

- the type of correspondence (comprehensive, brief, informal, business, etc.);
- the subjects covered;
- the names of people and organizations that are significant to the worth of these papers or records.

Broadly discuss what the researcher will find in these materials by including important information such as:

- dates;
- bulk dates;
- content;
- important correspondents;
- important issues;
- etc.

Be sure to discuss the quality of the material as well. Important elements to consider include:

- the material's comprehensiveness;
- identify major gaps (chronological or otherwise);
- rate the material as significant or routine;
- determine whether the material documents the decision making process or day-to-day operations.

Focusing on issues like these while examining the material will help to write strong scope and content notes that will be of infinite value to researchers. Always remember that researchers will be using the scope and content note primarily to direct them into a particular group of materials. Since they will be using the container list when looking for individual material, there is little need to overly describe the materials in this section.

Format Two
Material with series designations

Scope and content for papers, records, and collections with more than one series. While this is technically a separate format, the basic rules still apply.

In the first sentence, provide the following information in this order:

Main Entry
Title (capitalized)
The number of boxes
Number of series

Main Entry: Roberto Clemente
Title (capitalized): Papers
The number of boxes: Three archival boxes
Number of series: Two series

The Roberto Clemente Papers are housed in three archival boxes and are arranged in two series.

In the second sentence, provide the names for the individual series that have been designated for the papers, records, or collection. These should be listed according to their order in the physical arrangement of the material, not in alphabetical order.

Series I: Personal papers
Series II: Financial material

Series have been designated for personal papers and financial material.

In the third sentence, provide the types of material found in the entire body of materials. This sentence is used exactly as the second sentence in Format One.

These papers include correspondence, newspaper clippings, bills and receipts, and other sundry items.

After these three sentences, describe these papers, records, or collection as a whole. While the same basic tenets apply for single series format vs. multiple series format, the important first paragraph in Format Two needs to provide two basic types of information. First, describe the materials as a whole and discuss general strengths, weaknesses, and subjects of the material. Second, and more important, show how the distinct series relate and overlap. This is a problematic area for many; one which will require you to envision how this material will be used by researchers. Since many series reflect an artificial arrangement imposed upon the material, the chance of overlap between individual series is great. Explain how the individual series work in concert to provide documentary evidence of the person, family, or organization whose material is being described. You do not need to duplicate information that will find its way into sections about individual series. Intead, consider the "big picture." By treating this material as a whole, whether one box or one hundred, the researchers will be able to better gauge exactly what is "there" in a relatively short amount of time; this is doubly important when the scope and content section approaches five pages or more.

Subseries. The decision to use subseries to further refine individual series of material is made during the arrangement process. The option exists to describe all subseries in a single paragraph or provide each subseries with its own paragraph. For the most part, describe each subseries with an individual paragraph when the volume of material in a subseries demands special treatment. For example, within a series titled "Administrative Files" there may be three subseries of "Meeting Minutes," "Correspondence," and "Reports," which would probably each need a separate paragraph description.

One of the best ways to envision a properly written scope and content note would be with something completely non-archival, but more in tune to traditional experience. Since most of us are familiar with libraries, writing a scope and content note for a library may prove to be a worthwhile example on the complexities of preparing a scope and content. Below, you will find a scope and content note written on a printed collection of the Historical Society of Eastern Wisconsin, numbering over 35,000 volumes. As you peruse the hundreds of shelves of books in room "A" of the Historical Society's storage area you would immediately realize the impracticality of describing a collection of this size with lists of titles or by citing even the one percent of books most used. A scope and content note for our printed collections needs to be written on the broadest scale and used as a guide to researchers who might want to use the printed resources. While this note can never replace the catalog, it provides a thorough overview of our printed holdings and explains the strengths and weaknesses of the collection. Through scope and content, the researcher will discover if the material in this collection meets his/her needs and will pursue those needs in the card catalog (for the printed collections, the equivalent of the container list).

Historical Society of Eastern Wisconsin Printed Collection
<u>Scope and Content Note</u>

The Printed Collection of the Library and Archives Division of the Historical Society of Eastern Wisconsin is housed on nearly 500 feet of open and closed shelving and arranged in two series. Series have been designated for general works, primarily on Eastern Wisconsin, and for genealogical works. The printed collection contains a wide variety of published material including books, pamphlets, programs, reference books, and other published material. These works provide researchers with a comprehensive body of material to examine the people and institutions of Eastern Wisconsin, primarily focusing on the seven county region of Kewaunee, Manitowoc, Sheboygan, Ozaukee, Milwaukee, Racine and Kenosha counties. Material is also collected for areas outside this region including Central Wisconsin and Northern Illinois. Also collected are material related to significant industries and ethnic populations on a more general scale. Both series use four basic book sizes: "d," diminutive; regular; "q," quarto; and "f," folio.

Series I: General works, primarily on Eastern Wisconsin (c. 1848-)
Printed materials relating to general work, primarily on Eastern Wisconsin, are housed on both the open and closed shelves and are arranged by book size and Library of Congress Classification number.

These 27,000 works include published books, centennial histories, government documents, booklets and other monographic material. The works primarily cover Milwaukee, Milwaukee County, and the surrounding counties mentioned above. Additional material is available for other counties in Eastern Wisconsin and the rest of the state, but is in no way comprehensive. Subject strengths include historical and reference works on Milwaukkee and Milwaukee County, frontier life in the region, industries important to Eastern Wisconsin (beer, cheese, shipping, fishing, etc.), and the ethnic populations that settled in the region. Of particular note to researchers is the wide variety of municipal and county histories for towns across the seven county area of emphasis for the Society. Also of great interest is a complete run of city directories for Milwaukee from the earliest directories to 1974 and many other directories including blue books and directories of industry. Significant deficiencies in the book collection include several subject areas such as sports, recreation, recent immigration, historical studies of the Lake Michigan region, and guide books. Journals that primarily publish articles on the history of Wisconsin are also among the general printed collection.

Series II: Genealogical Books (c. 1840-)
Books on genealogical topics are housed on both the open and closed shelves and are arranged by book size and Library of Congress Classification number. These 8,000 works include published books on genealogical practice, records of vital statistics and cemeteries, family histories, and works on areas where significant populations of Eastern Wisconsin residents either came from or migrated to. The primary focus of this material is the seven county region noted above and includes all types of genealogical research material. Also included is significant material on vital statistics and guides to genealogical research for foreign countries where Eastern Wisconsin residents immigrated from. These countries primarily include Germany, Italy, and Poland. Less extensive material includes countries and regions in Eastern Europe. Of note are census indices, primarily for Milwaukee and Milwaukee County, for the 19th century and the full 1810 census for Eastern Wisconsin. While the collection of books is comprehensive, many gaps lay in the collection, especially for North-west Pennsylvania. Researchers should also examine the genealogical journals and newsletters that cover most of the state of Wisconsin and the Middle Lake Michigan Region.

8. Provenance

Provenance refers to the history or origin of material in a collection. It also refers to the material's "original order." Maintaining this arrangement not only preserves contextual information for the researcher, but makes the arrangement process a very simple one. Finally, provenance of material mandates that archival collections remain distinct bodies while they are in repositories, and is essentially the notion behind *respect pour les fonds*. This respect for distinct bodies of records within a collection is in direct contrast to the more library-oriented urge to group individual items by subject. For example, the Robert Lepper Collection contains

information on Andy Warhol. These papers would not be removed to a separate Andy Warhol file, despite the fact that more people are interested in Warhol than they are in Dr. Lepper. Maintaining the original order of the Lepper collection places Warhol in the context of being a student of Dr. Lepper, a connection that might be lost in the larger story of Warhol's fame if it weren't for the Lepper Collection.

While provenance has numerous definitions and usages in the archival field, provenance in this section refers to the pattern of ownership for the materials you are describing. In other words, how did this material come into the possession of the UW and what was the basic history of ownership of these items? In this regard, provenance is extremely important since the donors of material are not always the material's creator, thus, the legitimacy of our possession of these items needs to be addressed. Also important is the issue of copyright that may be answered if the creator or estate was the donor and copyright was transferred with the materials to the UW.

As best as you can, trace the history of ownership of the documents from the creator to the UW.

Structure of the Provenance Statement
There are five necessary elements to the provenance statement:
>   1. number of donations;
>   2. archival accession number;
>   3. gift or purchase statement;
>   4. title;
>   5. provenance (history) of the material.

You may not be able to locate all of this information. If this is the case, use the term "unknown" in the provenance statement as applicable.

1. Number of donations - Although most papers, records, and collections are from one accession, in some cases they may encompass several accessions. Since collections are almost never arranged and described immediately upon receipt, the possibility exists by which two or more donations might be made by the same creator and would be merged into one group for the arrangement process.

The first sentence of the provenance section is constructed as follows:

>   These materials came in [number] accession(s) and were combined into one body of [records/papers/collection] in [year].]

```
These materials came in one accession.
These materials came in four accessions and were combined into one body
of records in 1997.
```

2. Gift/Purchase statement - Phrase denoting the name of donor and date of donation or purchase.

```
March 24, 1997
Gift of Mr. Jack Benny
Gift of the Duquesne Light Company
Purchase from the Estate of Mrs. Rufus T. Firefly
```

3.Brief title (and dates of material when applicable or helpful) - When combining separate accessions into one group of papers, records, or collections, please use more specific titles to assist in differentiating the materials that came in at different times.

```
Collection
Papers
Records
Correspondence
Photographs
Board Minutes (1894-1906)
Sound Recordings
1863 Letter Book
```

4. Provenance of material (linking the donor to the materials) - This section provides the researcher with origin of these materials, namely the relationship between the material and the donor.

```
Officer of the Company from 1945-1967
Relative of Mrs. Morticia Adams
Gathered together from research on United States Steel.
```

NOTE: Do your best to determine the relationship between the donor and the material. The following guidelines should be followed for this component of the provenance statement:

If the creator is the donor, no note is needed for this section.

If a relationship is known, that information should be included directly after the gift statement.

If a relationship is not known, the archivist must leave this section blank.

As a review, here are various examples of how the provenance section should look:

```
Gift of [donor], (Title. relationship, if known).

Gift of Trevor Simpson, (Papers) 1987.
Gift of James Smith, (Records. Mr. Smith was the executive vice-
   president of the Jonathon Caulkin School of Acting from 1990-1994)
   2001.
Gift of George Kastanza, (Records) 1977.
```

9. Restrictions

Restrictions refer to any constraints on the use and/or reproduction of our holdings. These constraints may be initiated by a donor, usually in the desire of confidentiality or privacy. Also, there are some records that have a built-in timeframe of restriction. Personal papers, for example, may be restricted for 20 years from the time of their arrival at the archives. Some series within the collections, such as information on hiring, performance reviews, etc., may be placed under restriction even if the rest of the collection is available to the public at large.

If material is open to the public the restrictions statement is simply "None."

```
Restrictions: None.
```

Should the donor of the materials request limitations on access to the material, we must respect that request. Restrictions may include anything from a time limitation for access (e.g., 25 to 50 years from either the creation of the items or donation date); require written permission of the donor to use the materials; or access is allowed, but for personal use only with no publication of specific information permitted. In all cases, when restrictions apply to a group of papers or records, the restriction(s) should be clearly indicated here.

Restrictions may take a variety of forms. Please provide, as clearly as possible, the following information:

- the nature of the restriction;
- the time length of the restriction;
- any other information that might help the researcher in seeing the material.

Some examples of restriction statements that could occur in UWDCC finding aids include:

```
The Wisconsin Birding Society, Records: "Records generated 35 years ago
and earlier are unavailable to general public." So, in 1999 those
records created before 1964 are accessible.

The H. Samson Funeral Home, Records: "In accordance with The Rules and
Regulations of the Wisconsin State Board of Funeral Directors, Section
13.201(3) [49 Wisconsin Code $13.201 (3)], which states, funeral
directors must, 'maintain confidentiality of information received
during the rendering of service,' use of materials will be evaluated on
a case by case basis."
```

The issue of restrictions does not answer all of the potential questions concerning copyright and right to privacy. A donor may only transfer copyright to material that he or his ancestors have written. In the event that a person donates a letter by another party, the responsibility for obtaining permission to digitize that letter falls on the project owner (usually the person creating or initiating the creation of the finding aid). This is the case even if the original letter is physically owned by the UW.

10. Separations

Separations refer to all items removed from the general body of a collection, and which were either arranged separately (such as photographs, audio, or video material), cataloged separately (such as books or periodicals), or otherwise disposed (especially in cases where the items were sent to other repositories). This notion of identifying component parts of material stems from the need to store material based on its specific conservation needs without destroying the provenance of a donation. Furthermore, separations solidify and draw attention to the separate manuscript numbers from component parts of the general material.

The note for this section in cases where there are no separated items is simply "None." For all other cases, simply record the information in general terms and provide the type of material and where it is located. When writing this section, please follow these guidelines:

♦ Always use separate paragraphs to describe material separated to other areas of the UW Libraries and Archives.

♦ Books should not be listed if they are to be cataloged individually. Simply state the number of books and unifying characteristics that might be useful to the researcher.

```
Fifteen books have been transferred to the library and have
been individually cataloged. These books are primarily on
the history of the lower dells of the Wisconsin River.
```

♦ Separation notes for photographs depend upon the quantity of photos. If the number of photographs warrants a finding aid, then they will be arranged and described separately and includes a scope and content note and container list. In this instance, all that is needed is the extent of the photographs (linear feet) and the manuscript number for those photographs.

```
Three linear feet of photographs have been separately arranged
and described.
```

If there is not a substantial number of photographs, then describe them as best as you can in the separations section and briefly explain the arrangement used. Again, begin with the extent of the photographs separated and include (when possible) the dates of the photographs.

```
Two folders of photographs have been separated. These photographs
are arranged by type of activity and include photographs of Mr.
Firefly accepting the position as prime minister of Fredonia and
their war with a rival country, c. 1930-1950.
```

♦ Audio cassettes and video cassettes should be briefly described in this section. While it is possible to arrange and describe these items in a separate finding aid, there are rarely enough to warrant it.

```
Three audio cassettes have been separated. These tapes are from a
single oral history interview of Haddie Jameson, in which she
discusses her participation in the MMCC Lady Tartan Rifle Team of
1934.
```

11. Index Terms

This section typically contains an introductory sentence such as "This record is indexed under the following controlled access terms." We suggest the use of Library of Congress Subject Headings. Additionally, subject headings may be broken out by topics (persons, organizations, places, subjects, etc.). Example terms from the UWDCC's Leopold Papers include:

```
This record series is indexed under the following controlled access
subject terms.
Persons:
     Leopold, A. Starker (Aldo Starker), 1913-
     Leopold, Aldo, 1886-1948
Organizations:
     American Wildlife Institute Boone and Crockett Club
     Wisconsin Conservation League
Places:
     Apache National Forest (Ariz.)
     Faville Grove Wildlife Area (Wisconsin)
Subjects:
     Deer hunting
     Natural history -- Wisconsin
     Naturalists -- Wisconsin
```

12. Processor

The processor is simply the person or persons who arranged and described a particular collection. Anyone who had a significant part in the final arrangement of the material and the writing of the inventory are to be included in this section. The editor of the finding aid will only be included if there were substantial changes made beyond normal editing.

This information is recorded on a single line that includes the date completed and the processor's name. If more than one person is credited as the processor, than names will be listed in descending order of the significance of their contribution. In the event that material is rearranged and redescribed (or completed from work that was never finished), the initial processor should be listed on a separate line, followed by an additional line crediting the person who completed the inventory.

```
July 29, 1993; Records arranged and finding aid written by James Tate

October 3, 1964; Papers arranged and finding aid written by Joanne
Beard and Bill Knott.

February 30, 1986; Original inventory by Isaac Hayes, George Clinton,
and Nina Simone.

January 21, 1993; Papers rearranged and inventory written by Liz
Fraser.
```

13. Preferred Citation

The preferred citation is a statement that a researcher should use when quoting or referring to a collection in print. The EAD Cookbook describes the preferred citation in the following way:

> "Repositories frequently supply standard statements to be used for citing their holdings. The text can provide an example of a generic citation for the repository, or the example can be specific to the material being described."

Examples of preferred citations include:

```
[Title of item], Thoreau and J. E. H. MacDonald collection,
Library and Archives, National Gallery of Canada.

Frances Wolfson Art Gallery Records, 1973-1994. Archives of
American Art, Smithsonian Institution.

Amherst, Massachusetts. Special Collections and Archives, W.E.B.
Du Bois Library, University of  Massachusetts Amherst.  [Item
being cited].  Karl R. Wallace Papers, 1898-1976.  RG 40/11.
```

14. Container List

The container list is the actual map to the collection. It specifies where items can be found within the physical arrangement of the collection. Having read the "front matter"of the finding aid,, the researcher should be familiar enough with the generalities of the collection to navigate effectively the shorthand-like inventory of the container lists.

Because the container list is very much a map, the actual arrangement of the information on paper is very important and should be consistent.

Special rules for construction of the container list:
- [blank line] before every new series
- [blank line] at every new box number

If there is only one box, there is no need to include the box number if the box is numbered "1." However if an inventory is written for additional material for papers, records, or a collection and the box numbering begins at two or greater, then the archivist is required to include box numbering in the container list.

- All box and folder numbers are recorded in arabic numbers. All series numbers are recorded in roman numerals.

You may choose to use an outline style to simplify the format of the container list. If repeated folders have the same title or partial title, then indentations should be used to clearly link these folders together. Furthermore, if folders are identical (as is often the case with minutes, annual reports and correspondence), use the indentation and carry to the left the years so they are in a single line, but closer to the folder number.

Container		Title
		Attendance Registers
Box 1	Folder 1	1914-1924
Box 1	Folder 2	1924
Box 1	Folder 3	Accounts of Cumberland High School Organizations, 1921-1929
Box 1	Folder 4	Awards, 1921-1955
Box 1	Folder 5	Financial Papers, 1947-1966
Box 1	Folder 6	Financial Record Book of Music Boosters, 1956-1961