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Course Description
This course is an introduction to the history, theory, and practice of the representation of archival materials. This course examines arrangement principles and descriptive standards for intellectual access to archival materials. Students study different types of surrogates, including finding aids, MARC, and EAD, and various archival metadata with a hands-on project at a local repository. The course also surveys current research and the implementation of archival representation programs in the digital environment. The key themes include:

Principles of original order, provenance, and respect des fonds,
Levels of arrangement
Descriptive practices of calendars, finding aids, guides, indexes, registers, catalogs, etc.,
Archival descriptive standards (MARC, DACS, ISAD(G), EAD, etc.)
Authority control for archival collections
Users of archival descriptions and metadata
Archival representation on the web
Description and access to non-textual materials
Archival metadata and access systems
Web 2.0 and archival description

Course Objectives
- To introduce the historical context of the development of theories and principles of archival arrangement and description;
- To examine the concepts and principles of archival representation (original order, provenance, respect des fonds etc);
- To survey different types of descriptive standards (MARC, DACS, EAD, ISAD (G)) and access levels and tools in relation to the roles of surrogates of archival materials;
- To understand about archival representation and access systems in comparison to the same subject in the allied fields of library science, information science, and museology;
- To be able to discuss the implementation of subject analysis and authority control for archival materials; and
- To promote the importance of users in implementation of archival representation.

Course Requirements and Grade Guidelines
Your final grade will be based on class work, assignments and a final paper. They will be weighted as follows:

- Class Attendance and Discussion Participation ................. 20 %
- Collection Processing Project ........................................ 50 %
- Final Action Research Paper ........................................... 30 %

Class Attendance and Discussion Participation
Class attendance is required. Students will be expected to be able to discuss the reading assignments. The instructor will provide formal introductory lectures on key concepts of archival representation throughout the course.

Collection Processing Project
This is an assignment to process an archival collection. Students will arrange a small set of archival materials intellectually and physically and to create several descriptive representations. The collections are located in the M.E. Grenander Department of Special Collections and Archives (University at Albany), Bellevue Alumnae Center for Nursing History (Foundation of New York State Nurses), and Museum of Innovation and Science (formerly, Schenectady Museum and Suites-Bueche Planetarium) Archives.

The completion of this assignment will entail:
- Developing a processing plan*;
- Arranging and describing the materials;
- Doing background research on the collection for the preparation of the finding aid;
- Writing a finding aid using DACS*;
- Creating a MARC record of the finding aid*
- Marking up the finding aid in EAD*
- Creating a web page for the collection*
(Items with an * mark need to be presented as a written assignment.)

The archival processing project will include placing the records or manuscripts in a logical order, removing paper clips and other potentially damaging or extraneous materials, putting the records or manuscripts into folders (acid-free, if possible) with appropriate labels as well as preparing a finding aid and appropriate mark-ups as required for assignments.

Final Action Research Paper
Students will write an 8-10 page Action Research Paper. In this paper, you will examine some problems and/or unique characteristics that you identify while processing a collection. The purpose of this paper is to find good solutions for your identified problem(s) based on existing studies and current practices in the field. While working on
the problem in your collection, you need to investigate theoretical backgrounds and how
the professionals deal with such problem. Your action research will be an on-going task
throughout the processing project. A good documentation about what you research
regarding the problem and how you address the problem practically for your collection
will be necessary for this final paper. As part of the paper, you will suggest recommended
actions based on your findings, even in case that the solutions may not be feasible in the
given setting of your collection.

The Action Research Paper is intended to be a professional manuscript that reflects
scholarly work and effort. You are required to submit your own original work. When
using other materials, you must use appropriate citation styles (either APA or Chicago
Manual) in writing and for the reference list. The paper is due week 16 (5/9).

Text
Kathleen Roe, Arranging and Describing Archives and Manuscripts, Chicago: SAA,
2005. (A copy is available on reserve at Dewey Library.)

Articles and Book Chapters on Blackboard: Additional assigned readings are available
through Blackboard.

Course Communication and Blackboard Learning System (BLS)
We will be using the Blackboard Learning Systems as a depository of course materials
and a communication method between the students and the instructor, including
submitting assignments. There is a function that you can set for notification of new
messages in BLS to your preferred email account. I recommend you to use this function
for a short notice or announcement (emergencies, inclement weather conditions, etc.).

Instruction for Assignments
All written assignments must be prepared using word processing software.
Recommended format is 12-point font size, Time New Roman font style, and double–
spaced lines. All assignments should be submitted on Blackboard by 11:59 pm on due
dates.

Late assignments and incompletes:
Late assignment will be marked down (10% per day), unless prior permission has been
given by the instructor in instances of medical or family emergencies. Please notify the
instructor in writing of any circumstance (such as severe illness or family emergencies)
accompanying with appropriate documents that will result in a late assignment.
Assignments that are late for more than 5 days will not be accepted. No incomplete
grades will be given.

Laptop use in class:
Laptops, handheld devices, and smartphones can be used during the class sessions only
for course related activities directed by the instructor. Any other usages, such as texting,
email checking, using social media services and any activities that may cause
distractions from class will not be permitted. Students who use the devices for such
activities during class will be asked to leave the classroom.
Department of Information Studies Statement on Academic Dishonesty:
The Department of Information Studies takes academic dishonesty very seriously. Before taking classes within the Department of Information Studies, you should familiarize yourself with the department’s Academic Dishonesty Policy, available in both the department’s Graduate Handbook and online at http://www.albany.edu/content_images/Academic_Dishonesty.pdf. It is your responsibility to complete your own work as best as you can in the time provided. Cheating (including sharing your answers with other), plagiarism, submission of the same work for two different classes, working together as a group for assignments/tests designed for individual assessment are serious offenses, and it is the instructor’s responsibility to make sure they do not occur. Anyone suspected of an academic misconduct should expect to have a record of the matter forwarded to the Committee on Academic Misconduct, in accordance with Faculty Rule. Academic misconduct will be punished to the fullest extent possible. Those who found guilty of academic misconduct by the Committee on Academic Misconduct should expect to fail the entire course.

Course Schedule

Week 1 (1/24). Introduction and Course Overview
Introduction, Student Surveys, Course Overview, Project Collection Review
Definitions of Archival Terms (Archives, Manuscripts, Arrangement, Description, Representation)
Representation of archival information, why and how?

Required readings:
Kathleen Roe, Arranging and Describing Archives and Manuscripts, Chicago: SAA, 2005, Chapters 1 (1-10).
Elizabeth Yakel, “Archival Representation,” Archival Science 3(2003), pp. 1-25. (Reading from IST 656)

Week 2 (1/31). What is an Archivist/Archives?; What is Archival Representation?; Processing a Collection, MPLP
Archives and Archivists: Roles and Power
Historical Manuscript Tradition vs. Public Archives Tradition
Processing a Collection, Processing Plans
MPLP (more product less process) paradigm

Required readings:


Recommended Readings:

Christine Weideman, “Accessioning as Processing,” *The American Archivist* 69 (Fall/Winter 2006): 274-83. (Reading from IST 656)

Review:

Pam Hackbart-Dean & Elizabeth Slomba, Appendix A. Examples of Processing Plans (pp. 124-133) in *How to Manage Processing in Archives and Special Collections*, Chicago, IL: SAA, 2012.

**Week 3 (2/7).** Students visit to the Department of Special Collections and Archives of University at Albany, Bellevue Alumnae Center for Nursing History (Foundation of New York State Nurses), and Museum of Innovation and Science (formerly, Schenectady Museum and Suites-Bueche Planetarium) Archives for course projects.

**Week 4 (2/14). Archival Theory and Principles**

**Assignment: Processing plan due**

Provenance, Respect des Fonds, Original Order, Record Groups, and Series

Levels of arrangements, analysis of external and internal structure of fonds

Intellectual and Physical Control

Levels of Access and Access tools (Multi-institutional, Repository, Collection, Series, Dossier, Folder, Item)

The Role of Context and Provenance in Description and Access

**Required readings:**


Recommended readings:

Jennifer Meehan, “Making the Leap from Parts to Whole: Evidence and Inference in Archival Arrangement and Description,” *American Archivist* 72:1 (Spring/Summer 2009) 72-90. (Reading from IST656)

**Week 5 (2/21). Descriptive Programs**

Tools for Description and their Efficacy: Calendars, finding aids, guides, indexes, registers, catalogs, etc.

Controlled Access terms

Descriptive Rules (DACS)

Postmodernism approaches to archival description

Study:

Review:
ArchivesUSA: database available from the library web site.
Online Archive of California, [http://www.oac.cdlib.org/](http://www.oac.cdlib.org/)

Required readings:
Kathleen D. Roe, *Arranging and Describing Archives and Manuscripts*, Chapter 4 (pp. 33-44).


Week 6 (2/28). Indexing; Vocabulary Control and Authority Control in the Archival Environment; Access by Subject, Function, Form and Genre
Authority Control (Describing Creators, Forms of Names)
Access System and Access Points by Subject, Function, Form, and Genre
Controlled Vocabulary for archival materials

Required readings:

Recommended readings:

Tools to Review:
Library of Congress Subject Headings (http://id.loc.gov/authorities/subjects.html) and other Thesauri/Vocabularies (http://www.loc.gov/library/libarch-thesauri.html)

Week 7 (3/7). Description and Access to Non-Textual Materials
Assignment: Finding Aid due
Problems of access to image and audio based information
Access methods for non-textual materials

Tools to review:
Archival Moving Image Materials: A Manual, Available at
http://lcweb.loc.gov/catdir/cpso/amimupd.html and
http://lcweb.loc.gov/catdir/cpso/amimcovr.html


Required readings:
Barbara Orbach, “So That Others May See: Tools for Cataloging Still Images,”

Joan M. Schwartz, “Coming to Terms with Photographs: Descriptive Standards,
Linguistic “Othering,” and the Margins of Archivy,” Archivaria, 54(Fall 2002),
pp. 142-171.

David H. Thomas, “Cataloging Sound Recordings Using Archival Methods,” Cataloging
and Classification Quarterly, 11:3-4(1990), 193-212.

Paul Conway, “Modes of Seeing: Digitized Photographic Archives and the Experienced

Look at the followings:

The Moving Image Genre-Form Guide. Motion Picture/Broadcasting/Recorded Sound
Division, Library of Congress. Compiled by Brian Taves, Judi Hoffman, and

Week 8 (3/14). No Class (Spring Break)
Week 9 (3/21). Archival Descriptive Standards, Surrogate for Archival Collections:
MARC
Different Kinds of Standards (EAD, MARC, DACS, LCSH, ISAD(G))
The Role of Standards in Archival Description
Data Structure, Data Contents and Data Value Standards for Information Systems
Levels of Control (from basic/accession level to full level)
Use of MARC format for sharing descriptive information

Study:
International Council on Archives, ISAD (G): General International Standard Archival

Required readings:
Archival Arrangement and Description, edited with an introduction by Christopher J.
Prom & Thomas J. Frusciano, Module 1. Standards for Archival Description (pp.
Understanding MARC Bibliographic: Machine Readable Cataloging.
http://lcweb.loc.gov/marc/umb.

Week 10 (3/28). Encoded Archival Description: Background
Assignment: MARC record (MARC and Access Points) due
Evolution and current status of EAD (Review of tenets of archival description)
Administrative considerations for adopting EAD
The role of DACS and other content standards in relation to structural standards
EAD applications, EAD crosswalks

Required readings:


Development of the Encoded Archival Description DTD. http://www.loc.gov/ead/eaddev.html.

Week 11 (4/4). EAD working day
Basics Structure of EAD
EAD Tag Library

Useful Resources:

Required Readings:
OAC Best Practice Guidelines for EAD.  
[www.cdlib.org/services/dsc/contribute/docs/oacbpgead_v2-0.pdf](www.cdlib.org/services/dsc/contribute/docs/oacbpgead_v2-0.pdf).


**Week 12 (4/11). No Class (Passover)**

**Week 13 (4/18). Professional Attitudes and Ethics; Users of Archives and Archival Descriptions**

Assignment: EAD record due

Guest Speaker: Gertrude B. Hutchinson (Archivist, Bellevue Alumnae Center for Nursing History, Foundation of New York State Nurses)

Professional attitudes toward archival use and users  
Ethical concerns (archivists as researchers/historians; custodians of materials, creators of digital content in relationships with creators, donors and users; institutional benefits and public good)  
Archives Users and Information Seeking  
Users and Uses of Archives and Archival Descriptions  
Research on Use and Users

Required readings:

SAA Core Values Statements and Codes of Ethics,  


Schaffner, Jennifer. *The Metadata Is the Interface: Better Description for Better Discovery of Archives and Special Collections, Synthesized from User Studies*.  


Useful Resources:

SAA’s External Ethics, Values, and Legal Affairs Standards, [http://www2.archivists.org/standards/external/93](http://www2.archivists.org/standards/external/93) (You will see guidelines and best practices in various ethical/legal situations)

Case Studies in Archival Ethics, [http://www2.archivists.org/groups/committee-on-ethics-and-professional-conduct/case-studies-in-archival-ethics](http://www2.archivists.org/groups/committee-on-ethics-and-professional-conduct/case-studies-in-archival-ethics) (by Committee on Ethics and Professional Conduct, SAA)

Recommended Readings:


Usability of archival description on the Web

Access without archivist’s mediation, online tutorials

Archival management/access systems, open source software programs

Required readings:


Recommended readings:


Look at the following websites:

Browse web sites:
ArchivesSpace: http://www.archivesspace.org/

**Week 15 (5/2) Archival Metadata and Access Systems; Archives 2.0 and New approaches on the Semantic Web**
**Assignment: Web presentation due**

Metadata for Access to Digital Information in archives
Metadata Standards, Metadata Standards: Dublin Core, METS, OAI, OAIS
Future of EAD and other archival systems
Archives and archival description in Web 2.0, Archives 2.0
New approaches to archival description and access

Required readings:
Joy Palmer, “Archives 2.0: If We Build It, Will They Come?” *Ariadne* 60 (July 2009). http://www.ariadne.ac.uk/issue60/palmer.
Recommended readings:

Review:
Dublin Core Metadata Element Set, http://dublincore.org/documents/dces/

Looking at the following websites:
flickr “The Commons” at http://www.flickr.com/commons
Facebook pages for National Archives, Library of Congress, NYPL, etc.

Week 16 (5/9). Wrap-up and Student Project Presentations
Assignment: Action Research Papers due & Student Presentations