IST 660 ARCHIVAL REPRESENTATION
Spring 2015: Tuesday 4:15 p.m. to 7:05 p.m.
Class meets in Husted 310.

Instructor: Gertrude B. “Trudy” Hutchinson
Office: Draper 113
E-mail: ghutchinson@albany.edu
Cell Phone: (518) 334.6125
Office Hour: Tues. 2-3:30pm or by appointment

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 digital archives
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 its practices 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 and to participate in class discussions. 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 be expected to complete the intellectual and physical arrangement and to create several descriptive representations of a small set of archival records and historical manuscripts. The collections are located in the Department of Special Collections and Archives, University at Albany, Bellevue Alumnae Center for Nursing History Archive at the 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 a 8-10 page Action Research Paper. In this paper, you will examine some problems and/or unique characteristics that you identified 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. When addressing the problem in your collection, you need to investigate theoretical backgrounds and how the professionals deal with those problems in what context. This project will be an ongoing task throughout the processing project and your action research can result in finding a solution for the problem of your collection. A good documentation about what you studied regarding the problem and how you addressed the problems practically for your collection will be necessary for this final project. 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 (5/10).

**Articles and Book Chapters on E-Res:** Assigned readings are available on E-Reserve. E-Reserve can be accessed through BLS without additional login.

**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.). Do NOT use mobile devices, i.e. mobile phones or tablets – to access BLS as it will not display properly.

**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. Papers will be cross-checked with Safe Assign.

**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 and handheld devices can be used during the class sessions for note-taking or class 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](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 (1/26). 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:

**Week 2 (2/2). 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)

Week 3 (2/9). 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 (2/16). Archival Theory and Principles

Assignment: Processing plan

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:


James Currall, Michael Moss, and Susan Stuart, “What is a Collection?” *Archivaria* 58 (Fall 2004): 131-146.

Recommended readings:

**Week 5 (2/23). 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 library web site.
Online Archive of California, http://www.oac.cdlib.org/

Required readings:


**Week 6 (3/1). 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:

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 (3/8) - Midterm. Description and Access to Non-Textual Materials
Assignment: Finding Aid
Problems of access to image and audio based information
Access methods for non-textual materials

Tools to review:

Required readings:


Look at the followings:


**Week 8 (3/15). No Class (Spring Break)**

**Week 8 (3/22). 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:

Required readings:

**Week 10 (3/29). Encoded Archival Description: Background**
Assignment: MARC record (MARC and Access Points)
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:


**Week 11 (4/5). EAD working day**
Basics Structure of EAD
EAD Tag Library

Study:
Development of the Encoded Archival Description DTD.
[http://www.loc.gov/ead/eaddev.html](http://www.loc.gov/ead/eaddev.html).
Design Principles for Enhancements to EAD. [http://www.loc.gov/ead/eaddesgn.html](http://www.loc.gov/ead/eaddesgn.html).

Useful Resources:
SAA Standards Portal Page for EAD: [http://www2.archivists.org/groups/technical-subcommittee-on-encoded-archival-description-ead/encoded-archival-description-ead](http://www2.archivists.org/groups/technical-subcommittee-on-encoded-archival-description-ead/encoded-archival-description-ead)

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

**Week 12 (4/12). Professional Attitudes and Ethics; Users of Archives and Archival Descriptions**
**Assignment: EAD record**

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,


Useful Resources:
SAA’s External Ethics, Values, and Legal Affairs Standards,
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 (by Committee on Ethics and Professional Conduct, SAA)

Recommended Readings:


Week 13 (4/19). Archival materials on the Web, Access through the Web without Mediation, Online Tutorials
User-Centered Design and Applying User-Centered Design to Archives
Usability of Archival Description on the Web
Digital Archives
Access without archivist’s mediation, online tutorials

Required readings:


Recommended readings:

Look at the following websites:

The Polar Bear Expedition, American Intervention in Northern Russia, 1918-1919, Bentley Historical Library, University of Michigan. [http://quod.lib.umich.edu/p/polaread/](http://quod.lib.umich.edu/p/polaread/).


**Week 14 (4/26). Student Collection Project Presentations: Completing the processing project**
Assignment: Web presentation & Project presentations

**Week 15 (5/3). Archival Metadata and Access Systems; Archives 2.0**
Metadata for Access to Digital Information in archives
Integration of Archival Metadata into Access Systems
Metadata Standards, Metadata Standards: Dublín Core, METS, OAI, OAIS
Future of EAD and other archival systems
New approaches to archival access
Archives and Archival Description in Web 2.0, Archives 2.0
Future Directions of Archival Description

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 (5/10). Wrap-up and Student Final Project Presentations**
Assignment: Final Papers & Student Presentations