LAUC Archives Task Force Report

TO: LAUC President
FR: LAUC Archives Task Force
RE: 2015-2016 Report, March 2016

LAUC Archives Task Force Background and Introduction

The LAUC Archives Task Force was convened in November 2015 to investigate the current state of the LAUC Archives and to review existing policies and procedures. The Task Force has identified four major areas which need to be addressed to maintain and update the LAUC Archives for preservation and long-term access: 1) policy and document revision; 2) archival work; 3) additions to LAUC website; and 4) outreach to members.

LAUC Archives Task Force Charge

[Part A]: Review the current state of the LAUC Archives, including:

    I.   Scope - what is included in the statewide LAUC archives?
    II.   Policies - formal, written policies, and common practices.
    III.   Procedures - how are documents submitted, entered, and processed?
    IV.   Finding tools - usability and efficiency.
    V.   Condition of print collections.
    VI.   Condition of digital documents.

[Part B]: Address the following questions:

    I.   How should current policies & practices be revised to reflect digital and other developments?
    II.   How should the plan be implemented?
    III.   Where should we publicize our policies? How do we ensure LAUC members know about them?
    IV.   How do we ensure policies are followed?

Summary of Action Items

- Reviewed the existing LAUC Archives collection (including finding aids and condition of materials), and investigated additional materials (including sound recordings, digital files, and the LAUC website archive).
- Reviewed current policies and procedures which govern the acquisition, transfer, management, and preservation of the LAUC Archives.
- Drafted recommendations regarding: the revision of existing policies; the creation of additional documentation; the archival work required for the collection; and how revisions and policies will be communicated to members.

Discussion

Part A: Discussion of the Current State of the LAUC Archives

I. **Scope**

The current finding aid to the *Librarians' Association of the University of California [LAUC] records, 1969-2005*, states:

"The records of the Librarians' Association of the University of California reflect the activities, governance, philosophy and history of the professional organization for the librarians employed on the nine [sic] campuses of the U.C. system. LAUC was founded in 1968, and continues to be active until the present day. LAUC will continue to transfer its records to the Bancroft Library approximately every five years. The records are arranged on a yearly basis. The statewide records include presidential and general correspondence, minutes, reports, by-laws, manuals, budgets, committee and task force files, spring and fall assembly materials, issue file, rosters, and election materials. The divisional records include meeting minutes and issues discussed locally." ("Scope and Content" note, available at http://www.oac.cdlib.org/findaid/ark:/13030/kt0199n3t7).

The current extent of the physical LAUC archives is 22 cartons, or 27.5 linear feet. Two CD-ROMs were included and have been separated for digital processing. According to the finding aid, sound recordings have been transferred to the Microforms Collection of the Bancroft Library, but investigation continues into their physical location and condition.

The 2006 LAUC Archive Guidelines list the following document types which should be transferred to the statewide archive on an ongoing basis:

General documentation:
  o Finding aid for the LAUC system-wide [statewide] archive
  o Organization chart
  o Bylaws, constitution, and any revisions thereof
  o Election materials (slate of candidates and final elections counts only)
  o Correspondence (including electronic mail) of the chair in a single chronological sequence (old to recent)
  o Annual Summary Report
  o Agendas and minutes of the general assemblies
  o Position papers
  o LAUC statewide publications

From each standing committee, liaisons, task force:
  o Rosters
  o Agendas
  o Manuals and guidelines and revisions thereof
  o Charges (for ad hoc committees and task forces)
  o Minutes
  o Annual reports
  o Position papers and other significant reports

The scope of the statewide LAUC Archives may also include the following electronic documents:

- o Archived LAUC website files (currently 335.7 MB on the Internet Archive) (https://archive-it.org/collections/6111)
- o Selected files from the Document Library of the LAUC Website (total 344 files uploaded as of 2016-03-04); especially files from the Historical Documents page (https://lauc.ucop.edu/historical-documents)
- o Guidelines and other Procedures from the LAUC Website
- o LAUC blog (http://laucassembly.blogspot.com/)
- o LAUC wiki (http://laucwiki.lib.ucdavis.edu/index.php/Main_Page)
- o Video recordings from the LAUC-B 2015 Conference on "Open Access: Reclaiming Scholarship for the Academy" (YouTube, https://www.youtube.com/playlist?list=PLx47q_V41hH5INhz1YZjX1odHddrRt341)

According to the 2006 LAUC Archive Guidelines, the following materials are **not** in scope:

- o Accounts payable / receivable
- o Bank statements
- o Confidential documents (e.g., tenure and advancement files, social security numbers, and other private data)
- o Drafts of documents (e.g., minutes, summary reports, etc.)
- o Incidental correspondence among committee members
- o Invoices
- o Mailing lists
- o Program arrangement files
- o Vouchers

II. **Policies**

Existing policies which guide the selection, collection, and preservation of statewide LAUC archival materials include:

- o The LAUC Archive Guidelines, originally drafted in 1996 by the LAUC Ad Hoc Committee on Archives, reviewed by the UC Archivists Council in 2008, and revised by the UCB associate university archivist in 2009; available at https://lauc.ucop.edu/sites/default/files/attached-files/lauc_archives_rev32409.pdf

- o The finding aid for the LAUC Archives, which states that LAUC transfers records to the Bancroft Library approximately every 5 years (see Scope and Content note, http://www.oac.cdlib.org/findaid/ark:/13030/kt0199n3t7)

- o The LAUC Website Policies, which state:

"LAUC officers, committee chairs, and representatives have primary authority for preparing, revising, submitting and overseeing currency of documents within their areas of responsibility.

All documents should be submitted to the LAUC Web Manager by email. The most common formats include: Word documents (.doc), Excel files (.xls), text files (.txt), and web pages (.html). Many documents are submitted as Word and Excel files and mounted as such. Other formats, such as Rich Text Format (.rtf) or Portable Document Format (.pdf) are also acceptable." (https://lauc.ucop.edu/lauc-website-policies)

- o Records Transfer Guidelines referenced in the LAUC Archive Guidelines: (http://www.lib.berkeley.edu/libraries/bancroft-library/transferring-records-to-the-archives)

III. **Procedures**

Generally, LAUC officers contact the LAUC archivist in the University Archives at UCB, typically via email, with notification of records to be transferred. The archivist reviews the container lists submitted or assesses records in person, if being transferred by locally based officers. Arrangements are made for delivery or shipping.

Material submitted for the LAUC Archives are processed by Bancroft Library staff and are added to the existing collection, stored in acid-free containers. The latest addition arrived in summer 2014, consisting of 3 cartons of material. Material (dated ca. 1999-2000) was transferred to the Bancroft processing unit; a manuscripts archivist integrated the new records into the existing collection; and updated the finding aid and catalog record. Funding for processing was originally provided by LAUC and by the Alumni Association of the UC Berkeley School of Library and Information Science.

Compact discs containing electronic files of LAUC records, which are to be transferred to the LAUC statewide archive, should be clearly labeled as to the scope of the records contained on the disc. In addition, it is required that each disc be accompanied by a container list of files.

IV. **Finding Tools**

The finding aid for the Librarians' Association of the University of California Records, 1969-2005, is available on the Online Archive of California: http://www.oac.cdlib.org/findaid/ark:/13030/kt0199n3t7.

The finding aid can be publicly accessed from any internet browser and is keyword-searchable.

The catalog record describing the LAUC Archives collection can be located in MELVYL, WorldCat, and the "OskiCat" catalog at the UC Berkeley Library: http://oskicat.berkeley.edu/record=b16284572~S1

V. **Condition of Print Collections**

The condition of print collections is stable. The collection is housed in archival cartons and stored in a climate-controlled environment at the Northern Regional Library Facility (NRLF).

The finding aid makes reference to sound recordings which may have been transferred to the Microforms Collection of the Bancroft Library. The associate university archivist is currently investigating the location and condition of these materials.

VI. **Condition of Digital Documents**

The condition of digital documents, which have been accessioned as part of the LAUC Archives, is stable. The two CD-ROMs have been disk-imaged for preservation, and the resulting files saved to the Bancroft Library's Preservation Assets server. The digital documents have not yet been processed.

The condition of digital documents that are in scope but not yet transferred to the LAUC Archives is unknown.

Part B: Discussion of Proposed Questions

I. **How should current policies & practices be revised to reflect digital and other developments?**

The Task Force recommends revising the Archives Guidelines to include digital content and media. The digital content may include documents, websites, images, and video for LAUC-related events. An example of digital content not currently included in the scope statement, but which should be captured, is the LibGuide for the recent LAUC conference held at UC Berkeley (http://guides.lib.berkeley.edu/lauc-b-conference-2015)

The LAUC Archive Guidelines should be updated to address submission guidelines for digital content. The section would also specify preferred preservation file types and formats which should be collected for the LAUC Archives. The guidelines will also advise how to evaluate different file formats for long-term value.

The LAUC website should be reviewed to determine if it is a fitting point of access to "digital archives" files and if it could be used to gather material for the collection. The current practices for uploading and organizing documents in the website Document Library should then be updated to include tagging of historical documents for material within the scope of the collection.

The Records Transmittal Form (last dated 2/14/2006) should be updated to include specifics about transferring digital content to the archive, including extent of physical digital media or electronic file information.

A transfer and preservation plan for born-digital material is needed to identify responsible staff/units to manage the transfer of digital content to a stable storage location.

To increase exposure to the collection and ensure the addition of relevant material, we recommend creating a process which would allow LAUC committees/members to comment on digital collecting scope and suggest new formats/types as they emerge.

II. **How should plan be implemented?**

A committee/task force should be created to oversee document revision and to further discuss

options with the LAUC Board regarding the preservation of digital files. The committee or task force should include a UCB Archivist who can perform action items related to the archival work identified in the Recommendations below.

One method for gathering the digital content is to use the LAUC Website as a "digital archive". Although not all files in the Document Library are intended to be part of the official LAUC Archives, the Document Library can be used to gather permanent electronic files if files are tagged as a historical document. A second option is to use Box, where each committee chair would upload their files to a central location for collection by the LAUC Archivist.

These files would be periodically downloaded from the website or Box to Berkeley's preservation server or to a Digital Asset Management System (DAMS) for preservation and access.

The committee/task force should also outline options for potential future description and access to digital archives files in addition to or as supplement to Website and Box.

III. **Where should we publicize our policies? How do we ensure LAUC members know about them?**

The Task Force recommends creating a LAUC Archives Guidelines page on the LAUC website (similar to the LAUC Website Policies page). This page will have links to the Bancroft Transfer guidelines (http://www.lib.berkeley.edu/libraries/bancroft-library/transferring-records-to-the-archives) and other documents.

After the guidelines have been updated, a general email should be sent out to the membership with links to the information. This message can also be announced at statewide and division assemblies and through social media.

IV. **How do we ensure policies are followed?**

To ensure the policies are followed the guidelines/documentation should be clearly stated on the LAUC website.

A checklist for evaluating and submitting physical and digital files should be created and made available on the LAUC website. The checklist should include recommendations for filename conventions, how to organize files in a directory structure, and file formats.

The Task Force also recommends amending LAUC committee/task force charges or guidelines to include specific instructions on how to save and archive final copies of reports and other documentation.

Recommendations

The Task Force recommends that LAUC establish a committee or task force to work with the LAUC Executive Board to complete the following action items:

Policy and document revision:

- Draft preservation plan for LAUC's permanent electronic files, including plan for appropriate storage and processing.
- Draft collection policy for electronic files and resources, specifying file types and formats.
- Draft processing and preservation plan for LAUC sound recordings.
- Revise archives guidelines to include guidance for preservation of digital files.
- Revise website guidelines to include instructions on how to submit digital files to the Archive.
- Draft checklist for evaluating and submitting digital files.
- Revise UARC records transfer guidelines; consider upgrading to an online form.
- Consider amending Committee/Task Force charges or guidelines to include specific instruction to submit final documents to the LAUC Archives.
- Ensure that recommendations set forth in LAUC Archive Guidelines [2006] are implemented.

Archival work:

- Confirm that permanent electronic files on LAUC President and Secretary laptops are successfully transferred to Box storage.
- Select and accession digital files from the Document Library and/or Box as part of the permanent digital archive.
- Review archived LAUC website pages (captured in Archive-It) and add descriptive metadata.
- Update existing finding aid to include description of sound recordings, digital files, and a link to archived LAUC website.
- Prepare digital files for access in the Bancroft Library's Reading Room (in addition to access via LAUC Website or Box).

Additions to LAUC website:

- Create section on Website for LAUC Archives, and include links to OAC finding aid, revised archives guidelines, revised transfer guidelines, link to UC Berkeley Transmittal Form, and new documentation.
- Create web form to allow LAUC members to propose new and emerging digital formats for inclusion in the LAUC Archives (for example, YouTube videos of assemblies and LAUC presentations).

Outreach to members:

- Upon completion of action items above:
  - Draft general email to membership with links to updated information on Website.
  - Post announcements/links on LAUC social media.
  - Draft announcements to deliver at statewide and division assemblies.

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