

To: Gary Peete Date: 31 March 1996
From: Bradley D. Westbrook
CC: Charlotte Brown
Bill Roberts
Subject: Report of the Ad Hoc Committee on Archives

Since its establishment in 1967, LAUC has become an integral part of the University of California community. One of the larger associations of academic librarians, LAUC has been highly successful in advancing the professional and governance concerns of librarians at all UC campuses.

In 1992, during the writing of its 25-year history, it became clear that LAUC records were in need of systematic policy. Consequently, Beverly Renford, 94-95 President of LAUC, established the Ad Hoc Committee on Archives to review and, where warranted, modify procedures governing development and administration of LAUC archives. After the committee submitted its initial report in August 2006, the committee was asked to formulate detailed guidelines and a model to be followed in the development of LAUC archives, to address questions concerning the establishment of digital LAUC archives, and, last, to put forth procedures for processing of LAUC archives.

The guidelines and recommendations below apply to current and non-current LAUC records with the goal of preserving those records having historic value. For example, members of this ad hoc committee believe the files relating to the peer review process and to the support of research by LAUC members will be of great interest to future researchers, as will administrative documents having to do with governance and diversity.

The implementation and consistent application of these guidelines depend on the active participation of LAUC members. Besides collecting and preserving records, members of LAUC need to be responsible for arranging, describing, and housing the records before transferring them to a repository. LAUC members are best positioned to carry out this work as a result of their familiarity with and ongoing use of the records.

Upon the approval of LAUC, it is highly recommended that these guidelines and recommendations be referred to in the by-laws of statewide LAUC and each LAUC division.

Finally, the Ad Committee on Archives is willing to review on a periodic basis the success of implementing these guidelines after an initial trial period of three years.

A: Basic Definitions and Procedures

Public Records: LAUC records are open to access by the public based on University of California system practice.

Currency: Current records are those records necessary for conducting the current business of LAUC and therefore must be readily available to members of the organization.

Non-current records are those no longer required in for the conduct of current business and can either be transferred to an archives for use by public researchers or destroyed.

For the purpose of these guidelines, current records are defined as those five years old or less. Non-current records are those older than five years. Generally, current records will be passed along from one chair to the next. Non-current records will be transferred from the chair to either the statewide or appropriate divisional archive or destroyed.

Vital records: Records deemed essential for the continued functioning of the organization. These are documents that establish the purpose and the function(s) of organization, as well as those relating to its legal and financial interests. These records have highest priority in respect to preservation. It is highly recommended that all vital records in electronic format have a corresponding paper-based copy as a back-up.

B: Types of non-current, historically valuable documents to be transferred to LAUC archives.

1: Statewide LAUC records are to be transferred to the statewide archive. Document types include:

General documentation:

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

From each standing committee, liaisons, task force:

- rosters
- agendas
- manuals and guidelines and revisions thereof
- charges (for ad hoc committees and task forces)
- minutes
- annual reports
- position papers and other significant reports

2: Divisional records to be transferred to the LAUC statewide secretary within ninety days of the conclusion of each fiscal year:

Vital records:

- Organizational chart listing standing committees, ad hoc committees, task forces, and liaisons
- Constitution and bylaws for the division, and revisions thereof
- Roster for the divisional executive board and committee chair
- Annual report of the division chair

Non-vital records:

- Agendas and minutes of divisional executive board
- Divisional publications

3: Non-current records of LAUC divisions are to be transferred to the divisional archive. Document types include:

- Finding aid for the LAUC division archive
- Organization chart
- By laws and constitution and any revisions thereof
- Election materials (slate of candidates and final elections counts only)
- Correspondence (including electronic mail) of the chair in a single chronological sequence (old to recent)
- Annual Summary Report
- Agendas and minutes of divisional assemblies
- Position papers

From each standing committee, liaison, task force:

- rosters
- agendas
- manuals and guidelines and revisions thereof
- charges (for ad hoc committees and task forces)
- minutes
- annual reports
- position papers and other significant reports

4: Document types not to be transferred to the archives (statewide or divisional) include:

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

C: Establishing a digital LAUC archive [last revised, 1996]
Note: This section will be revised soon [Kathi Neal-UCB, 3/10/09]

Developments in electronic technology now provide the opportunity for LAUC to create an electronic archive and administer it without the assistance of professional archivists.

One scenario might be for each LAUC division to establish a digital archive of its own records. These archives could then be “consolidated” through the use of a composite or union finding aid (utilizing html or sgml coding), thereby providing links from descriptions in the finding aid to the digital documents themselves.

Creating a digital archive, however, does not relieve one of the needs to process the records. Duplicate records would still need to be identified and removed. Completeness of the records would still need to be verified. And the files would still need to be arranged in some fashion to promote efficient retrieval and navigation. The electronic data would need to be refreshed periodically, and there would need to be a security backup copy of the data to guard against its loss or corruption. In addition, the links from the descriptions would need to be monitored and modified in the event of changes in the storage device(s). Also, a digital archive would likely require some investment in hardware, software, and staffing for designing and maintaining the database(s). Finally, to serve LAUC as an entire, over-reaching organization, consensus about file structure, descriptive terminology, and access would be required among all the LAUC divisions.

D: Processing guidelines to be used for paper-based LAUC records transferred to the LAUC statewide archive at UC Berkeley

Processing and arranging

- 1: Clean documents of rubber bands, paper clips, and other substances detrimental to their preservation.
- 2: Check documents for completeness. For example, do minutes of a meeting have all attachments?
- 3: Eliminate all duplicates.
- 4: Arrange materials by document type (e.g., agendas, minutes, reports, etc.) and then by date from older to newer.
- 5: Place arranged materials into acid-free folders when possible.
- 6: Label the folder tab in pencil at the left with the name of the LAUC division, the name of the organizational entity, and the historical scope of the records contained in the folder. Include a form designation (e.g., minutes, grant proposals, correspondence, etc.) before the dates if the folder only contains one type of record. For example:

Carton number : Folder number [Leave space at far left folder tab for this information to be added.]
LAUC--San Diego [Middle of folder tab]
Research & Professional Development Committee [Middle of folder tab]
Grant proposals, 2006-2007 [Far right of folder tab]

- 7: Compact discs containing electronic files of LAUC records 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.

Records transfer guidelines

- 1: Transfers to the systemwide LAUC collection should follow the guidelines provided at <http://bancroft.berkeley.edu/collections/uarc/transfer.html>. The divisions should consult with their respective university archivists to determine the appropriate procedures and formats for transferring divisional records.

2: The container list should be a list of folder headings in the sequence of the prescribed file structure. It is not necessary to include the historical scope for each folder, as that should be the same for the folders in any given accession. An example of the list might be as follows:

Series One: General Records

Organization Chart
Election materials

Series Two: President / Divisional Chair

Correspondence, Executive
Annual summary report
Agendas

Series Three: Financial Records

Annual financial report
Budget allocations

Series Four: Standing Committees, Liaisons, etc
(A-Z by name of entity)

Rosters
Agendas and minutes
Annual reports

E: Reprocessing the LAUC statewide archive

As an addendum, the task force would like to request \$1,000.00 from LAUC to be used to reprocess the LAUC statewide archive according to the guidelines formulated above. The funds would cover the expenses of processing labor and materials. **Note: Funds were received and reprocessing completed in 2001.**

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Records Retention Schedule and Vital Record Listing in Order of File Structure

Series	Record Series	Responsible Officer	Retention Period	To LAUC Archives	Vital Yes / No	Comments / Suggestions
<i>1</i>	<i>General Records</i>					
	Finding aid	Secretary	As long as current	Yes	No	Versions should be replaced as they are updated and revised. It's not necessary to keep historic versions.
	Organization chart	Secretary	Perm	Yes	Yes	An organizational chart should be filed annually, even if there are no changes in the organizational structure.
	Constitution / bylaws	Secretary	Perm	Yes	Yes	Revisions / modifications should be filed after the year in which they are ratified
	LAUC history	Secretary	Perm	Yes	No	File updates / revisions as they are produced and officially accepted.
	Election materials	Secretary	Perm	Yes	No	Retain only the slate of candidates and final election counts.
	LAUC publications	Secretary	Perm	Yes	No	
<i>2</i>	<i>President / Div. Chair</i>					
	Correspondence	President / Chair	Perm	Yes	No	Passed along for 5 years, then to Archives.
	Annual summary report	President / Chair	Perm	Yes	Yes	Passed along for 5 years, then to Archives.
	Agendas / Minutes for General & Divisional Assemblies	Secretary	Perm	Yes	No	Passed along for 5 years, then to Archives.
	Position / White papers	President / Chair / Other members of exec. council	Perm	Yes	No	Passed along for 5 years, then to Archives

Series	Record Series	Responsible Officer	Retention Period	To LAUC Archives	Vital Yes / No	Comments / Suggestions
3	<i>Financial Records</i>					
	Annual financial report	President	Perm	Yes	No	Passed along for 5 years, then to Archives
	Budget allocations	President	Perm	Yes	No	Passed along for 5 years, then to Archives.
	Accounts payable	Sec. / Treasurer	5 years	No	No	Passed along for 5 years, then destroyed.
	Accounts receivable	Sec. / Treasurer	5 years	No	No	Passed along for 5 years, then destroyed.
	Bank records	Sec. / Treasurer	5 years	No	No	Passed along for 5 years, then destroyed.
4	<i>Standing Committees, Liaisons, & Task Forces (A-Z by name)</i>					
	Rosters	Committee Chair	5 years	Yes	No	Passed from committee chair to committee chair for 5 years, then to divisional archive.
	Agendas and minutes	Committee Chair	5 years	Yes	No	Passed from committee chair to committee chair for 5 years, then to divisional archive.
	Manuals and guidelines and revisions thereof	Committee Chair	5 years	Yes	No	Passed from committee chair to committee chair for 5 years, then to divisional archive.
	Annual reports and other important reports	Committee Chair	5 years	Yes	No	Passed from Committee Chair to committee chair for 5 years, then to divisional archive.

Librarian Association of the University of California
 Records Retention Schedule and Vital Records Listing

Definitions

<u>Document Type</u>	<u>To Archives</u>
1. Accounts payable Claim forms for expenses and supporting paper work, including invoices and receipts	No
2. Accounts receivable Paper work for dues and other fees collected for LAUC	No
3. Agendas List of action / information items to be addressed at specific meetings of committees	Yes
4. Annual financial report Summary report of outflow of monies	Yes
5: Annual reports Summary report of activities / business accomplished by each standing committee	Yes
6: Association history Current history of LAUC and all updates of the history. Affiliated records are the LAUC Handbooks given to members of the organization, organization charts, and finding aids and retention schedules.	Yes

	Document Type	To Archives
7:	Bank records Bank statements, canceled checks, check registers, pass book, deposit slips, etc.	No
8:	Budgets Statement of allocation to the organization and its distributions to standing committees and other entities	Yes
9.	Charges for ad hoc committees and task forces	Yes
10.	Constitution and bylaws Includes all revisions of by-laws and modifications to the constitution(s), as well as final tallies for modifications voted on by the general membership	Yes
11.	Correspondence, executive All outgoing, incoming, and internal correspondence for the executive officer at the statewide and divisional levels. Includes letters, memos, etc.	Yes
12.	Election materials Only slate of candidates and final tally of votes for each election	Yes
13.	Finding aids Descriptive list of records transferred to archives, annually updated	Yes
14.	Invoices	No
15.	Mailing lists Lists of general membership and other groups to which mail is sent	No

	Document Type	To Archives
16.	Manuals and guidelines Includes the LAUC handbook and guidelines for individual committees, such as the guidelines for submitting and reviewing research proposals	Yes
17.	Minutes Minutes for all standing committees, as well as general and divisional assemblies	Yes
18.	Organization chart Shows the hierarchical relationship of the various administrative entities composing the organization	Yes
19.	Position / White papers Papers / statements articulating the position of LAUC on a certain issue such as diversity, gay rights, status of librarians, etc.	Yes
20.	Publications of LAUC	Yes
21.	Publicity / Program files Includes press releases, announcements, and other materials associated with programs / events sponsored by LAUC	No
22.	Research proposals (only those funded) Non-funded research proposals are confidential and should be marked for destruction within three years of receipt	Yes
23.	Resolutions Any and all resolutions which are not a modification to the bylaws. For example, a resolution honoring a librarian for forty years of service to LAUC.	Yes

Document Type	To Archives
24. Rosters	Yes
List of committee members by committee. Not a list of the general membership.	
25. Vouchers	No

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Records Destruction Calendar

Document Type	2009	2010	2011	2012	2013
Accounts payable	2004	2005	2006	2007	2008
Accounts receivable	2004	2005	2006	2007	2008
Agendas	Perm	Perm	Perm	Perm	Perm
Annual financial reports	Perm	Perm	Perm	Perm	Perm
Annual reports	Perm	Perm	Perm	Perm	Perm
Association history	Perm	Perm	Perm	Perm	Perm
Bank records	2004	2005	2006	2007	2008
Budgets	Perm	Perm	Perm	Perm	Perm
Charges for ad hocs	Perm	Perm	Perm	Perm	Perm
Constitution / by-laws	Perm	Perm	Perm	Perm	Perm
Correspondence, executive	Perm	Perm	Perm	Perm	Perm
Election slates and tallies	Perm	Perm	Perm	Perm	Perm
Invoices	2004	2005	2006	2007	2008
Mailing lists	2004	2005	2006	2007	2008
Manuals and guidelines	Perm	Perm	Perm	Perm	Perm
Minutes	Perm	Perm	Perm	Perm	Perm
Organization charts	Perm	Perm	Perm	Perm	Perm
Position / White papers	Perm	Perm	Perm	Perm	Perm
Publications of LAUC	Perm	Perm	Perm	Perm	Perm
Research proposals, funded	Perm	Perm	Perm	Perm	Perm
Research proposals, not funded	2004	2005	2006	2007	2008
Resolutions	Perm	Perm	Perm	Perm	Perm
Rosters	Perm	Perm	Perm	Perm	Perm
Vouchers	2004	2005	2006	2007	2008

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