

LAUC Archives Guidelines

Document History

Guidelines created 1996-03-31 by the Ad Hoc Committee on Archives, led by Bradley D. Westbrook.

Revisions to guidelines by Kathryn M. Neal, 2009-03-10.

Revisions to guidelines by the LAUC Archives Implementation Task Force, 2016-12-22.

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Report of the Ad Hoc Committee on Archives, 1996

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.

The guidelines and recommendations below apply to current and non-current LAUC records, including electronic records, with the goal of preserving those records having historic value.

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.

Born-digital: Records originally created in electronic form, such as Word documents, Excel spreadsheets, html webpages, or digital images. The historic value of the content of born-digital records can largely be assessed in the same manner as print or paper records. Born-digital records selected for the LAUC archives have specific digital preservation needs which must also be addressed.

As born-digital files can rapidly become unreadable due to software obsolescence, hardware failure, or file degradation/corruption, these types of files should be transferred to the LAUC Archives for preservation on an **annual** basis.

B: What to Transfer

Types of non-current, historically valuable, physical and electronic documents to be transferred to the LAUC Archives

1. Statewide LAUC Records

Should be transferred to the statewide archive at UC Berkeley. 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 of the chair in a single chronological sequence (old to recent). Electronic correspondence (email) which directly relates to LAUC business (no personal messages) may also be appropriate for transfer. **Please contact the LAUC Archivist.**
- Annual Summary Report
- Agendas and minutes of the general assemblies
- Position papers
- LAUC statewide publications
- Photographs of statewide events
- Video or audio recordings of statewide events
- Documentation of special events (ex: LAUC 50th anniversary)

- **From each standing committee, liaison, or 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. Current Records of LAUC Divisions

Should 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

Should be transferred to the divisional archive. Document types include:

- **General documentation:**
 - 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 of the chair in a single chronological sequence (old to recent; contact LAUC Archivist if including electronic correspondence)
 - Annual Summary Report
 - Agendas and minutes of divisional assemblies
 - Position papers

- **From each standing committee, liaison, or 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 Which Should *Not* 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., draft minutes, summary reports, etc.)
- Email accounts (unless wholly used for official LAUC business; please consult the LAUC Archivist)
- Incidental correspondence among committee members
- Invoices
- Mailing lists (paper and electronic)
- Program arrangement files
- Vouchers

C: Establishing a LAUC Digital Archive

Digital files which document the work of LAUC and are non-current and historically valuable should also be transferred to the LAUC Archives. As LAUC now conducts much of its business using digital files (including documents, images, audio, video, websites and social media), it is essential that these files be maintained and transferred to the LAUC Archives on a regular basis.

Although LAUC transfers its paper documents after they are considered non-current (5 years old or more), digital files should be transferred more often to prevent their loss through software obsolescence, hardware failure, file corruption, or human error. The LAUC Archives Implementation Task Force recommends that permanent digital files be managed by a LAUC Records Coordinator during the course of his or her two-year term, and that the collected digital files should be transferred to the Archives annually.

As these frequent transfers will necessarily include recent and possibly still current files, LAUC members will need to be able to continue to access these materials online. The LAUC Archives Implementation Task Force proposes that the current LAUC Website serve as an access point for current and recent digital files. This would not require any additional work by LAUC members or officers, as files are already uploaded to the website and can be searched in the Document Library. This process is familiar to LAUC members.

However, the LAUC Website may not adequately meet the preservation needs of the digital files, so master copies must also be collected and transferred to the LAUC Archives, housed at The Bancroft Library at UC Berkeley. The Bancroft Library can ensure that master copies are properly accessioned, stored on a

preservation server, and backed up regularly. The Bancroft Library is also able to catalog and prepare digital files for viewing in the Reading Room, although it cannot provide online access at this time.

The LAUC Archives Implementation Task Force suggests that this approach of performing long-term preservation and access work at the LAUC Archives home institution (The Bancroft Library) and providing short-term access through the LAUC website will support the current needs of both the LAUC Archives and LAUC members. LAUC may wish to investigate other solutions, such as a Digital Asset Management System (DAMS), in the future.

Digital files will be transferred to the LAUC Archives under the following guidelines:

1. Individuals, committee Chairs, division Chairs, and Board members will be responsible for saving and maintaining their current electronic records and those of their committees, divisions, or other groups during their term of service. They will also be responsible for identifying files which should be transferred to the LAUC Archives (see Section B. above).
2. At the end of their term of service, individuals, committee Chairs, division Chairs, and Board members will prepare an electronic folder of their archival material. They will generate a basic directory list ("file list") which provides the filename of each file in the folder.
3. Individuals, committee Chairs, division Chairs, and Board members will then send their archival folder to the LAUC Records Coordinator. The folder should be delivered via Box (preferred method; see the "Transferring Digital Archives to Box" guidelines) or by email (contact the LAUC Records Coordinator before sending files by email).
4. The LAUC Records Coordinator will maintain the submitted archival folders during his or her two-year term. At the end of the term, the LAUC Records Coordinator will ensure that all submitted archival folders are saved in a designated "Archives" folder in Box.
5. The LAUC Records Coordinator will work with the LAUC Secretary and LAUC President to follow the Records Transmittal process to alert the LAUC Archivist that digital and physical files are ready to be transferred.
6. The LAUC Archivist will collect submitted archival material from the "Archives" folder in Box and ensure material is deposited at The Bancroft Library.
7. The LAUC Archivist will also ensure that the LAUC website is regularly archived to preserve the website itself and the Document Library it contains.

Digital files will be arranged as received from the transferring individual, committee, division, or Board. Files will be minimally processed by Bancroft Library staff; processing will include summarizing the content, extent (size), date range, and file format of files, and adding brief description to the existing finding aid. Digital files will be saved to the UC Berkeley Library preservation server along with other born-digital collections, and backed up regularly. Digital files will be available to researchers who visit the Bancroft Reading Room; access will be provided on a custom library laptop. The Bancroft Library cannot provide online access to files.

D-1: How to Transfer Paper-Based LAUC Records

*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]

Records transfer guidelines

1. Transfers to the systemwide LAUC Archives should follow the guidelines provided at <http://guides.lib.berkeley.edu/bancroft/transfer-university-records>. 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

D-2: How to Transfer Born-Digital LAUC Records

Processing guidelines to be used for born-digital LAUC records transferred to the LAUC statewide archive at UC Berkeley

Processing and arranging

1. Check documents and folders for completeness. For example, are all attachments referenced in meeting minutes included in the same folder?
2. Eliminate all duplicates (this can quickly be performed using widely available free software)
3. Check that materials are arranged in folders by type (e.g., agendas, minutes, reports, etc.)
4. Try not to edit files or copy from one location to another unless it is unavoidable, as this changes the original date stamps on the files.
5. Create list of all files to be transferred (this can quickly be done using widely available free software)
6. Compact discs, floppy disks, USB flash drives, or external hard drives 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 directory list of files.

Records transfer guidelines

1. Transfers to the systemwide LAUC collection should follow the guidelines provided at <http://guides.lib.berkeley.edu/bancroft/transfer-university-records>. The divisions should consult with their respective university archivists to determine the appropriate procedures and formats for transferring divisional records.
2. Born-digital files on removable media (external hard drives, USB sticks, CDs, floppy disks) should be clearly labeled and transferred with any physical paper documents.

3. Born-digital files on desktop computers or laptops should be either uploaded to the Box site or copied to removable media. **Please do not transfer whole computers or laptops.**

Archiving the LAUC Website

1. Captures of the LAUC website are found on Archive-It under the collection title Librarians Association of the University of California (LAUC) (<https://archive-it.org/collections/6111>). They are considered part of the UC Berkeley Libraries' collection. There are two collections, each with a seed URL:
 - a. <http://lauc.ucop.edu> includes captures from 6/4/2013 to date
 - b. <http://www.ucop.edu/lauc/> includes captures from 10/13/2007 to 7/4/2015
2. Crawls occur monthly. The crawl scope ranges between two and approximately four clicks, capturing html or pdf documents, in most cases. Some content falls outside the crawl scope, however:
 - a. **LAUC blog:** Information in the "Featured Content" section (e.g. <http://wayback.archive-it.org/all/20161110190705/https://lauc.ucop.edu/featured-content>) that provides highlights to members' activities is largely inaccessible. The main page content is captured, but generally nothing beyond that. The initial page of the 2007-2014 blog has been captured (e.g. <http://wayback.archive-it.org/all/20150904085634/http://laucassembly.blogspot.com/>), but it does not allow access beyond that page. The "Not in Archive" note provides URLs for searching the live web. The 2007-2014 content will remain available at <http://laucassembly.blogspot.com/>.
 - b. **LAUC wiki:** Most of the content beyond the home page is inaccessible, with the exception of the 2010 Campus Reports entry (http://wayback.archive-it.org/all/20150704071236/http://laucwiki.lib.ucdavis.edu/index.php/Campus_Reports). The "Not in Archive" notes provide alternative search options. However, the wiki has been crawled by the Wayback Machine 64 times to date and can be viewed at: http://web.archive.org/web/*/http://laucwiki.lib.ucdavis.edu/index.php/Main_Page.

E: Reprocessing the LAUC Statewide Archive

LAUC approved funding of \$1000.00 in 2001 for an archivist to reprocess the LAUC statewide paper archives according to the original 1996 archives guidelines. Funds covered the expenses of processing labor and materials. Additional funds may be requested for future processing needs.

F: Records Retention Schedule and Vital Records Listing

Librarians Association of the University of California

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
1	<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	
2	<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.

Librarians 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 paperwork, including invoices and receipts	No
2. Accounts receivable Paperwork 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
7. Bank records Bank statements, canceled checks, check registers, pass book, deposit slips, etc.	No

<u>Document Type</u>	<u>To Archives?</u>
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
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

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

G: Records Destruction Calendar (2016-2020)

Librarian Association of the University of California

Records Destruction Calendar (2016-2020)

Document Type	2016	2017	2018	2019	2020
Accounts payable	2011	2012	2013	2014	2015
Accounts receivable	2011	2012	2013	2014	2015
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	2011	2012	2013	2014	2015
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	2011	2012	2013	2014	2015
Mailing lists	2011	2012	2013	2014	2015
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	2011	2012	2013	2014	2015
Resolutions	Perm	Perm	Perm	Perm	Perm
Rosters	Perm	Perm	Perm	Perm	Perm
Vouchers	2011	2012	2013	2014	2015