

# **INVITATIONAL MEETING OF EXPERTS ON ARRANGEMENT**

**Ottawa, October 15-16, 2004  
Sponsored by the Canadian Council of  
Archives**

## **FINAL REPORT AND RECOMMENDATIONS**

**Prepared by Heather MacNeil  
on behalf of the participants of the Invitational  
Meeting of Experts on Arrangement**

**15 April 2005**

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## **1. Introduction**

On October 15<sup>th</sup> and 16<sup>th</sup> 2004, a group of 14 experts met in Ottawa to explore the desirability and feasibility of developing standards for the arrangement of archival documents. The Invitational Meeting of Experts on Arrangement had a three-fold purpose:

1. to look at the contemporary landscape in which arrangement sits;
2. to identify significant issues and challenges associated with the development of standards for arrangement; and on the basis of 1 and 2
3. to chart the direction in which standards development in this area should proceed.

The Canadian Council of Archives (CCA) provided funding for the Invitational Meeting. The initiative for the meeting came from the CCA's Standards Committee. Part of the mandate of the Standards Committee is to identify and explore areas of archival work that might benefit from standardization. The Committee identified arrangement as a fruitful area of exploration on the grounds that such work would complement the descriptive standards work that has been accomplished.

The Invitational Meeting was organized by an Ad Hoc Organizing Committee, the members of which were Terry Eastwood, Heather MacNeil (Chair) and Mireille Miniggio. The CCA Secretariat provided administrative support for both the planning and execution of the meeting. Gabrielle Prefontaine served as liaison between the Secretariat and the Ad Hoc Committee.

## **2. Background and Rationale for the Invitational Meeting of Experts on Arrangement**

In June 1980 a resolution was passed at the annual general meeting of the Association of Canadian Archivists calling for the Association to establish a task force on standards for the arrangement and description of archival materials. By the time the Bureau of Canadian Archivists' Working Group on Archival Descriptive Standards was established in 1984, however, its mandate had narrowed to the development of standards for description. Nevertheless, in its final report, the Working Group identified the classical principles and levels of arrangement as the necessary foundation for descriptive standards.

Over the last 10 years, as archival institutions have begun the process of implementing standards for description, they have been forced to grapple with issues of arrangement. Library and Archives Canada, for example, has converted its Record Group System into a Fonds System and in so doing has adapted Duchein's criteria for identifying fonds in order to accommodate the particular reality of the federal government structure. The Archives of Ontario has taken a different approach; it has adapted the Australian Series System for the arrangement of government records in an effort to address more effectively the complexity and frequency of administrative change.

Much of the debate over arrangement over the past decade has focused on the arrangement of organizational records. Archivists working with personal papers maintain that the organizational model fails to take into sufficient account the particular nature of personal papers. Archivists working with non-textual records (e.g., photographs, moving images, sound recordings) are often uncertain how the concept of levels of arrangement such as series and files fits into the reality of the material with which they deal. Archivists working with electronic records, for their part, are trying to sort out how to interpret traditional notions of arrangement in the context of digital environments. The inadequacy of the organizational model has been suggested by a number of archivists but thus far, there has not been any substantial work undertaken in this area to determine how the needs of other sectors of the archival community might be met. An invitational meeting of experts was seen as the necessary first step in (1) placing the topic of arrangement on the archival community's agenda; (2) determining whether and how standards for arrangement that accommodate the diversity of archival documents might be developed; and (3) outlining the process for such development.

### **3. Meeting Participants**

A group of 14 experts in the area of archival arrangement were invited to participate in this meeting. A list of potential invitees was drafted initially by the CCA Standards Committee and was subsequently refined and finalized by the Ad Hoc Organizing Committee. The experts who participated in the meeting were:

Steve Billinton, Toronto  
Rosemary Bergeron, Ottawa  
Marcel Caya, Montreal  
Terry Eastwood, Vancouver (discussion leader)  
Peter Horsman, Amsterdam  
Mary Ledwell, Toronto  
Heather MacNeil, Vancouver (discussion leader)  
Jennifer Meehan (recorder)  
Mireille Miniggio, Ottawa  
Lucie Paquet, Ottawa  
Lucie Pagé, Ottawa  
Gabrielle Prefontaine (recorder)  
Bert Riggs, St. John's, Nfld.  
Jim Suderman, Toronto

### **4. Preparation for the Meeting**

Prior to the meeting, the Organizing Committee identified seven potential topics for discussion. The topics were:

1. Series and fonds based approaches to arrangement.
2. Limits to general applicability of standard models to various types of archival documents

3. Specific issues associated with the arrangement of private papers
4. Issues associated with the arrangement of electronic records
5. Issues associated with the arrangement of non-textual records (e.g., photographs, moving images, sound recordings)
6. Intellectual vs. physical control over archival documents: points of convergence and divergence
7. Relationship between arrangement and description
8. Any other topic identified by the participants prior to the meeting

To help set the agenda for the meeting, finalize the topical areas, and provide clear foci for discussion, the invited participants were asked to comment on issues, problems, areas of uncertainty in every topical area in which they felt they had some experience, knowledge, or interest. If they thought they were areas that had been overlooked by the organizing committee, they were asked to identify them. On the basis of the participants' comments, the Organizing Committee revised its list of discussion topics.

## **5. Structure and Format of the Meeting**

The Invitational Meeting of Experts was structured around the following topics:

*Topic 1: Laying a foundation on which on which to base discussion of arrangement*

- Definition of arrangement
- Separating intellectual control from administrative/physical/process control
- Clarifying the relationship between arrangement and description
- Determining the nature and purpose of standards for archival arrangement

*Topic 2: Defining and interpreting levels of arrangement*

- Levels of arrangement
- Identification and interpretation of levels of arrangement with non-textual records
- Defining a fonds creating body in relation to personal fonds
- Identifying the complexities of personal fonds and multiple media fonds

*Topic 3: Defining and interpreting principles of arrangement*

- Definition, interpretation, application of principles in relation to a range of different types of records
- The process of analysis implicit in the principles

*Topic 4: Different models of arrangement and description*

- Series and fonds-based approaches to arrangement and description: can they co-exist?

*Topic 5: Arrangement of electronic records*

- Do electronic records present any issues additional and/or different from the issues already identified under the previous 4 topics?

### *Topic 6: The Steps Forward*

- Conclusions and recommendations arising from invitational meeting

The meeting consisted of two days of plenary discussions organized around the six topics. Terry Eastwood and Heather MacNeil served as discussion leaders; Gabrielle Prefontaine and Jennifer Meehan served as recorders. Their notes provided the basis for the conclusions and recommendations outlined in this report.

In the course of the meeting, two participants gave presentations on specific issues relating to arrangement. Bert Riggs outlined criteria for identifying the boundaries of personal fonds, based on an adaptation of Michel Duchein's criteria for identifying the boundaries of organizational fonds. Steve Billinton summarized the salient features of the series system that has been developed and implemented at the Archives of Ontario.

## **6. Conclusions and Recommendations Arising from the Invitational Meeting**

The invitational meeting represented a first step in the development of standards for archival arrangement. It was an exploratory exercise, which aimed to identify areas where standards are needed; it was not the aim of this meeting to specify the content of such standards.

There was a clear consensus among the participants that a single, "one size fits all" set of rules for arrangement, analogous to those embodied in the *Rules for Archival Description*, is neither feasible nor desirable. The type of standards envisaged by the participants is more along the lines of guidelines, which the SAA Glossary defines as "recommendations suggesting, but not requiring, practices that produce similar, but not identical, results." Such guidelines would aim at reducing some of the ambiguity associated with arrangement by providing examples of the kinds of problems that archivists face in the course of arranging a body of records and suggesting various ways in which these problems might be resolved.

The participants also agreed that, in addition to practical guidelines, theoretical elucidation of key concepts and principles associated with arrangement is needed. That elucidation could take the form of a series of discussion documents on specific concepts and principles (e.g., series, original order) that would examine the historical meaning of those concepts and principles, their contemporary interpretation, and their application in concrete situations. Finally, it was agreed that empirical research in two specific areas is needed: the first area is the arrangement practices in archival institutions; the second area is the nature of aggregations within electronic systems. Empirical research in the first area is necessary to establish the nature and extent of the guidance already provided to archivists working in various archival institutions and dealing with various media and could take the form of surveys of institutional practice. Empirical research in the second area is needed to establish some baseline understanding of levels of arrangement as they manifest themselves in electronic record-keeping environments and could take the form of case studies of different kinds of electronic systems.

With the completion of this final report, the mandate of the Invitational Meeting of Experts on Arrangements is effectively fulfilled. It is for the Canadian Council of Archives to decide whether and in what manner to act on the recommendations outlined below. It seems clear, however, that the most effective means of implementing the recommendations would be through the creation of an oversight body that would assume responsibility for prioritizing the recommendations and establishing mechanisms for translating them into a set of deliverables. Of course there are significant cost implications associated with this option. For that reason, the CCA may wish to seek funding from agencies such as the Social Sciences and Humanities Research Council either on its own or in collaboration with the Bureau of Canadian Archivists. There is precedent for the archival community receiving such funding; the work of the Canadian Working Group on Descriptive Standards, for example, was funded by SSHRCC.

The conclusions and recommendations arising from the meeting fall into three broad categories: (i) situating arrangement in the broader context of archival management processes; (ii) the process of analysis involved in arrangement as an exercise in intellectual control; and (iii) the relationship between alternative models of arrangement.

It is important to underscore the fact that, while the conclusions and recommendations tend to address the arrangement issues associated with personal, non-textual, and electronic records separately, it is understood that there is considerable overlap. For example, the issues associated with arranging non-textual records (e.g., photographs, moving images, sound recordings) cannot really be separated from the discussion of issues associated with arranging personal records since individuals and families are significant creators of non-textual records. Moreover, given that non-textual records are increasingly being created in electronic form, issues related to their arrangement must be addressed as part of the wider discussion about arranging electronic records. Any effort to implement the recommendations outlined below will need to take into account these various areas of overlap.

## **I. SITUATING ARRANGEMENT IN THE BROADER CONTEXT OF ARCHIVAL MANAGEMENT PROCESSES**

### *1.1 Clarifying the concept of arrangement*

The first task of the meeting was to establish the scope of meaning of the term “arrangement”. It was generally agreed that the term “arrangement” does not adequately capture the full range of meanings traditionally associated with it. For example, in many definitions arrangement is characterized as both a physical process of ordering documents and an intellectual process of identifying relationships between and among records of a given creator(s).

For that reason, the participants agreed that the term “arrangement” is best viewed as an umbrella concept reflecting a range of ongoing archival management processes aimed at the achievement of different kinds of control. That broad concept can then be decomposed

into constituent elements that correspond to different kinds of control, e.g., physical and administrative control, intellectual control. Such decomposition would serve a number of useful purposes: it would introduce greater precision into the terminology associated with arrangement, clarify the nature and purpose of processes aimed at achieving different kinds of control and promote the standardization of the descriptive tools associated with these processes.

**Recommendation 1: Develop a matrix that (1) defines and characterizes the various processes associated with arrangement, e.g., physical control, administrative control, intellectual control; (2) explains the objectives and results of each of these processes; and (3) identifies the descriptive tools associated with each of them.**

### *1.2 Clarifying the relationship between arrangement and description*

The inclusion of descriptive tools as a component of the matrix proposed in the first recommendation underlines the close connection between arrangement and description. Like arrangement, description is a broad concept that refers to a range of tools that support the administrative, physical, and intellectual control of archival holdings. For that reason, it is not sufficient to simply name the tools associated with different kinds of control, it is necessary to identify and define the descriptive elements that are (or should be) included in those tools to ensure they serve the purpose for which they are intended.

**Recommendation 2: Elaborate on the elements that are or should be included in the descriptive tools identified in the matrix proposed in Recommendation 1.**

The participants also agreed that the specific relationship between arrangement and description as the process and product of achieving intellectual control over records is more subtle and complex than is implied in the principle, “description follows arrangement.” In fact, it was argued that arrangement and archival description are not sequential but, rather, concurrent activities and should be characterized as such. Moreover, the corollary principle, i.e., that “description is based on arrangement” implies that there is a one to one relationship between arrangement and description in which a single arrangement is reflected in a single description. The participants pointed out that description can allow for many “virtual arrangements,” corresponding, for example, to the structure of an organization and its records at different times and that allowance should be made for this possibility.

**Recommendation 3: Prepare a discussion document that clarifies and elaborates on the principles that “description follows arrangement,” and “description is based on arrangement.”**

## II. THE PROCESS OF ANALYSIS INVOLVED IN ARRANGEMENT AS AN EXERCISE IN INTELLECTUAL CONTROL

### *II.1 Interpreting the principles of arrangement generally and applying them in the context of personal records specifically*

The participants agreed that the interpretation of the principles of respect des fonds and respect for original order in general and their application to personal records specifically require considerably more theoretical elucidation and practical guidance. The two most vexatious issues identified by participants were: (a) determining the boundaries of a personal fonds and (b) interpreting and applying the concept of “original order.”

There was general consensus that sufficient guidance already exists for determining the boundaries of organizational fonds.<sup>1</sup> However, there is a paucity of guidelines addressing the problems that present themselves specifically in the context of personal fonds. The sorts of problems encountered include: the intermingling of personal and organizational records in personal fonds, the status of family fonds that are “created” as a consequence of an individual’s estate keeping the records of different generations of family members together (as opposed to family fonds that are such because the family members interacted with one another), and the difficulty of determining how records of various provenances have found their way into personal fonds (in other words, distinguishing between provenance and accidents of custody).

The interpretation of “original order” also presents problems for archivists attempting to arrange personal fonds. It was generally conceded that people’s individual record-keeping practices are often haphazard and/or idiosyncratic, making it difficult to determine whether there is a discernible original order. Moreover, at what point in the life of the records creator(s) is the original order of the records established?

The need for guidelines for interpreting and applying the principle in specific situations is not limited to personal fonds. Examples were given of organizational records that had been removed from their original files and incorporated into the files of an inquiry. The question that was raised in that example was whether the principle of original order mandated the return of the records to the files in which they were originally found once the inquiry was concluded or the preservation of those records in the files in which they ended up.<sup>2</sup>

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<sup>1</sup> See, for example, Terry Eastwood, “Putting the Parts of the Whole Together: Systematic Arrangement of Archives,” *Archivaria* 50 (Fall 2000): 93-116, which provides guidelines that are compatible with both series and fonds-based approaches to arrangement.

<sup>2</sup> It is worth pointing out that this was not a hypothetical case but rather a real case and that the creators of the original records were seeking the advice of the archival institution concerning whether to return the records to their original files or leave them in the files in which they ended up.

Moreover, the concept of original order has both intellectual and physical aspects and these aspects need to be explored in more depth. For example, an aspect of original order that is frequently overlooked is the original physical order of records, which may be compromised when those records are re-housed by archival institutions for preservation reasons. To what extent should the original physical order of the records be protected and/or documented?

Before any practical guidelines can be developed to address such questions it is necessary to establish a sound theoretical foundation on which to base those guidelines. This can be accomplished by undertaking an in-depth analysis of the principles of arrangement and their implications for archival practice in general and for the arrangement of personal fonds in particular.

**Recommendation 4: Prepare a discussion document(s) on the principles of respect des fonds and respect for original order that explains their original meaning, the intentions underlying them, their evolution over time, and their contemporary interpretation and application in light of the challenges posed by personal fonds.**

In conjunction with the theoretical work outlined above, it will be useful to survey the archival landscape to determine whether and to what extent archival institutions have developed guidelines for arranging personal, family, and organizational fonds. Such a survey would provide a sound empirical foundation for the development of any practical guidelines.

**Recommendation 5: Survey archival institutions to determine whether guidelines (directed to archivists) for arranging personal, family, and organizational fonds have been developed and the nature of such guidelines.**

Once a theoretical and empirical foundation for interpreting and applying the principles of arrangement has been established, it will be possible to develop some practical guidelines that outline various kinds of scenarios focusing on specific arrangement problems and suggesting solutions to those problems.

**Recommendation 6: Develop guidelines that will assist archivists in identifying when and if records have a discernible order and in the absence of any discernible order, provide examples of different kinds of arrangement that may be appropriate in a number of given situations.**

A final question considered by participants concerned the desirability of developing guidelines for creators of personal fonds as a means of addressing some of the problems associated with determining the boundaries of a personal fonds and the original order of the records within that fonds. There was much discussion on this matter and no clear consensus emerged as to the appropriateness of such guidelines. This is not surprising since such guidelines would represent a shift in orientation away from *describing* how creators have organized their records, toward *prescribing* how creators should organize

their records. Nevertheless, there was considerable interest, particularly among archivists dealing with personal fonds, in exploring this question further, particularly in light of the problems now emerging in relation to identifying the arrangement of electronic records of personal creators.

**Recommendation 7: Survey existing institutional practices to ascertain the extent to which archivists are already providing guidance to personal record creators concerning the arrangement of their records and the nature of that guidance.**

**Recommendation 8: Prepare a literature review of the empirical research done to date in the area of personal information management (PIM).** Such research, which aims to investigate the filing practices of individuals working in electronic environments, could provide a useful foundation on which to build a more sophisticated understanding of current trends and possible future directions in the arrangement practices of electronic record creators and in the development of software designed to support those practices.

**Recommendation 9: On the basis of recommendation 7 and 8, prepare a discussion document that investigates the feasibility and desirability of developing arrangement guidelines for creators of personal fonds and the various forms such guidelines might take in relation to both electronic and non-electronic records.**

## *II.2 Defining and interpreting levels of arrangement*

There was a considerable amount of discussion about levels of arrangement, which focused on two main questions: (1) What is the relationship between the identification of levels of arrangement and the analysis of a body of records? 2) What constitute meaningful aggregations in the context of non-textual records (e.g., photographs, moving images, sound recordings) and electronic records?

With respect to the first question, the participants agreed that arrangement, as an exercise in intellectual control, is a process of identifying the external and internal structure of a body of records. For corporate bodies, external structure refers to the authority and functional relations and administrative procedures of the records creator, e.g., predecessor and successor bodies, mandate and sphere of functional responsibility, administrative relationships (controlling/controlled relationships), administrative structure, agencies, officers, or persons that have exercised custody or control over records. For persons or families, external structure refers to the interests, activities, familial and professional relations of the records creator, e.g., birth and death dates, place(s) of residence, education, occupation, life and activities. The internal structure refers to the activities and procedures generating the records, the relationship among and between the records, their organization, and their documentary forms, e.g., the specific activity or activities generating the records the administrative and documentary procedures that explain how the records came into being, the structure of the aggregates, e.g., classification scheme, filing system, indexing system, the documentary forms of the records, the relationships between groups of records within this fonds and groups in other fonds, the time period of the records and the geographic area to which the records pertain.

Levels of arrangement emerge in the course of the analysis of external and internal structure. Generally speaking, external structure corresponds to the fonds level while internal structure corresponds to the series, file, and item levels. There was general consensus that situating the levels of arrangement within the analytical framework outlined above may reduce the ambiguity associated with identifying those levels in various situations. Although the archival literature discusses the relationship between analysis and the identification of levels of arrangement, it has done so primarily in the context of organizational records and substantial elaboration of the external and internal structure of personal fonds is needed to assist archivists dealing with such fonds. Moreover, further work needs to be done to explicate in more specific terms the inferential process that underpins the analysis of a body of records and the sources on which that process is built.<sup>3</sup>

**Recommendation 10: Prepare a discussion document that (1) explains the terms of analysis for identifying the external and internal structure of a body of records in the context of both organizational and personal records; and (2) elaborates on the inferential process underpinning that analysis.**

**Recommendation 11: Review the *Rules for Archival Description* to determine whether the descriptive elements currently included in the standard need to be revised in light of the analysis outlined in the discussion document proposed in recommendation 10.**

With respect to the second question (i.e., what constitute meaningful aggregations in the context of non-textual records (e.g., photographs, moving images, sound recordings) and electronic records?), it was agreed that the analysis outlined above does not obviate the need to provide archivists with more specific guidance concerning the interpretation and application of levels of arrangement. It was observed that the identification of levels of arrangement and, specifically, the series, file, and item levels, is particularly problematic in the contexts of personal, non-textual, and electronic records and guidance is needed to clarify and elaborate on the application of levels of arrangement in these contexts. Depending on the findings of the survey proposed in recommendation 5, it may be possible to incorporate current conventions for identifying levels of arrangement into those guidelines.

**Recommendation 12: Prepare general guidelines for identifying series, files and items that define each level, explain their interpretation and application in various contexts and that include examples and scenarios that provide criteria for recognizing series, files, and items and that indicate when it is appropriate to ignore one or more of the designated levels of arrangement.**

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<sup>3</sup> An excellent starting point for examining the inferential process underpinning arrangement is Jennifer Meehan, "The Role of Inference in Arrangement and Description," unpublished paper presented to Association of Canadian Archivists annual conference, Montreal, Que., 29 May 2004.

**Recommendation 13: On the basis of those general guidelines, prepare individual sets of guidelines for personal and non-textual records.**

It was agreed that, given the prevalence of collections and discrete items in archival institutions, it is necessary to acknowledge these levels in any guidelines aimed at the interpretation and application of levels of arrangement.

**Recommendation 14: Include discussion of collections and discrete items in the guidelines proposed in recommendation 12 and 13.**

Given our limited experience dealing with electronic records, it is probably premature to propose guidelines for identifying levels of arrangement for electronic records. What is needed is empirical research that investigates how aggregations of records manifest themselves within various kinds of electronic systems, the nature of those aggregations, and the extent to which they are functionally analogous to traditional levels of arrangement.

**Recommendation 15: Undertake a series of case studies aimed at examining arrangement in the specific context of electronic records. Such discussion should take into account issues of consortia and distributed networks, the difference between traditional files and computer files, and the boundaries of a file and an item in an electronic environment.**

### **III. RELATIONSHIP BETWEEN ALTERNATIVE MODELS OF ARRANGEMENT**

There was agreement among the participants that it is possible to map traditional concepts of arrangement onto the Australian series system of arrangement. The entire environment in which the series approach is expressed is pragmatic and flexible and it does not represent a significant departure from archival principles. Moreover, in terms of analysis, there is no fundamental disparity between fonds-based and series-based approaches: the key terms of analysis are the various kinds of context entities and records entities and the relationships within, among and between them.

Despite the compatibility of fonds and series based approaches, however, they are not accommodated in the same way in contributory networks, which are built on the fonds based approach. For that reason, it is worthwhile to explain to the archival community in straightforward terms the salient characteristics of the two approaches and to explore the means by which the two approaches may be taken into account in the design of contributory networks.

**Recommendation 16: Prepare a discussion document that outlines the salient features of fonds- and series-based approaches to arrangement that lays out their points of convergence and divergence.**

**Recommendation 17: Prepare a discussion document that examines the question of implementation in contributory networks and that identifies the means necessary to permit alternative approaches (i.e., both series and funds based approaches) within those networks.**

## **Appendices**

The appendices consist of four documents prepared by various participants before or after the invitational meeting.

Appendix A consists of the recommendations of the Invitational Meeting of Experts categorized according to the aim of the recommendations, i.e., information gathering, advisory and exploratory. These categories were not defined at the invitational meeting but were suggested by Jim Suderman after reviewing the draft report.

To facilitate the participants' discussion of the relevant concepts, a glossary of terms relating to arrangement and description was prepared by Jennifer Meehan prior to the meeting and distributed to the participants; the glossary is included as Appendix B of this Report.

Following the meeting, Marcel Caya prepared a bilingual glossary of those terms, which is included as Appendix C of this Report.

Prior to the meeting, Bert Riggs identified the history of arrangement as a topic worth exploring in the context of developing standards for arrangement. Although this topic was not explored in any depth at the meeting, the participants agreed that it was relevant. In order to facilitate future work in this area, Bert Riggs contributed a bibliography of sources related to archival arrangement from five major archival journals that he has compiled; the bibliography is included as Appendix D.

**INVITATIONAL MEETING OF EXPERTS ON ARRANGEMENT  
FINAL REPORT**

**APPENDIX A  
RECOMMENDATIONS SORTED BY CATEGORIES**

Information Gathering	Advisory	Exploratory
5) Survey archival institutions to determine whether guidelines (directed to archivists) for arranging personal, family, and organizational fonds have been developed and the nature of such guidelines.	1) Develop a matrix that (1) defines and characterizes the various processes associated with arrangement, e.g., physical control, administrative control, intellectual control; (2) explains the objectives and results of each of these processes; and (3) identifies the descriptive tools associated with each of them.	9) On the basis of recommendation 7 and 8, prepare a discussion document that investigates the feasibility and desirability of developing arrangement guidelines for creators of personal fonds and the various forms such guidelines might take in relation to both electronic and non-electronic records.
7) Survey existing institutional practices to ascertain the extent to which archivists are already providing guidance to personal record creators concerning the arrangement of their records and the nature of that guidance (see also rec. 9)	2) Elaborate on the elements that are or should be included in the descriptive tools identified in the matrix proposed in Recommendation 1.	
8) Prepare a literature review of the empirical research done to date in the area of personal information management (PIM).	3) Prepare a discussion document that clarifies and elaborates on the principles that “description follows arrangement,” and “description is based on arrangement.”	14) Include discussion of collections and discrete items in the guidelines proposed in recommendation 12 and 13.
15) Undertake a series of case studies aimed at examining arrangement in the specific context of electronic records. Such discussion should take into account issues of consortia and distributed networks, the difference between traditional files and computer files, and the boundaries of a file and an item in an electronic environment.	4) Prepare a discussion document(s) on the principles of respect des fonds and respect for original order that explains their original meaning, the intentions underlying them, their evolution over time, and their contemporary interpretation and application in light of the challenges posed by personal fonds.	17) Prepare a discussion document that examines the question of implementation in contributory networks and that identifies the means necessary to permit alternative approaches (i.e., both series and fonds based approaches) within those networks.
	6) Develop guidelines that will assist archivists in identifying when and if records have a discernible order and in the absence of any discernible order, provide examples of different kinds of arrangement that may be appropriate in a number of given situations.	

Information Gathering	Advisory	Exploratory
	10) Prepare a discussion document that (1) explains the terms of analysis for identifying the external and internal structure of a body of records in the context of both organizational and personal records; and (2) elaborates on the inferential process underpinning that analysis.	
	11) Review the <i>Rules for Archival Description</i> to determine whether the descriptive elements currently included in the standard need to be revised in light of the analysis outlined in the discussion document proposed in recommendation 10.	
	12) Prepare general guidelines for identifying series, files and items that define each level, explain their interpretation and application in various contexts and that include examples and scenarios that provide criteria for recognizing series, files, and items and that indicate when it is appropriate to ignore one or more of the designated levels of arrangement.	
	13. On the basis of those general guidelines, prepare individual sets of guidelines for personal and non-textual records.	
	16) Prepare a discussion document that outlines the salient features of fonds- and series-based approaches to arrangement that lays out their points of convergence and divergence.	

# INVITATIONAL MEETING OF EXPERTS ON ARRANGEMENT FINAL REPORT

## APPENDIX B

### Glossary of Terms Relating to Arrangement and Description

Compiled by Jennifer Meehan

Please note: The SAA definitions come from the exposure draft of the SAA glossary which is available on the SAA website ([www.archivists.org](http://www.archivists.org)). The SAA definitions may be accompanied by notes and citations. Other definitions come from the “Select Glossary of Archival Terminology,” compiled by the UBC School of Library, Archival, and Information Studies, *Rules for Archival Description* compiled by the Bureau of Canadian Archivists, and the InterPARES 1 Glossary.

#### **accumulation**

The organic process by which a collection of records grows out of a routine process. (SAA)

The natural process by which archives are made and received in the course of affairs of any kind. (SLAIS)

#### **administrative control**

The responsibility for management of materials in a repository's custody, including the documentation of actions taken on those materials. (SAA)

#### **Notes:**

Administrative control is independent of the intellectual content of the records. It includes accessioning materials into a records center, subsequent transfer to an archives, or disposal by destruction; managing rights and restrictions during access; and tracking use and preservation treatment of the materials.

Administrative control is distinguished from physical and intellectual control. Administrative control emphasizes functions relating to the custody of a repository's holdings. For example, administrative control is concerned that a potential acquisition is subject to the appraisal process and that, if acquired, the acquisition process is properly followed. Should a collection be deaccessioned, administrative control would ensure that the process meets the legal and institutional requirements. (SAA)

1) The exercise of authority over maintenance, use, disposition, and accessibility of current archives to carry on the function for which they were created. 2) The means

of physically locating the holdings of records centres and archival institutions through numbering and listing. (SLAIS).

### **agency**

1) A unit of government authorized by law to perform a specific function. 2) A business that provides services by acting on behalf of or as a representative of another party. (SAA)

An administrative body having the delegated authority to act competently as an agent of a higher body. (SLAIS)

### **analysis**

The process of identifying, reviewing, and abstracting the components of some thing. (SAA)

### **archival bond**

The relationship that links each record, incrementally, to the previous and subsequent ones and to all those which participate in the same activity. It is originary (i.e., it comes into existence when a record is made or received and set aside), necessary (i.e., it exists for every record), and determined (i.e., it is characterized by the purpose of the record). (InterPARES)

The interrelationships between a record and other records resulting from the same activity. (SAA)

### **archival processing**

1. The arrangement, description, and housing archival materials for storage and use by patrons. – 2. Photography · Techniques for processing<sup>2</sup> photographs that are designed to produce very stable, long-lasting images. (SAA)

#### **Notes**

Archival processing<sup>1</sup> is frequently shortened to just processing – Archival processing<sup>2</sup> may include use of two fixing baths to remove all undeveloped silver and extended wash times. It may include toning images with gold, selenium, or sulfide to stabilize a pure metallic silver image. Archival processing may include a residual hypo test to ensure adequate washing. (SAA)

### **archives**

1) The whole of the documents made and received by a juridical or physical person or organization in the conduct of affairs, and preserved. Synonymous with the term fonds. 2) An agency or institution responsible for the acquisition,

preservation, and communication of archives selected for permanent retention. 3) A place in which archives selected for permanent preservation are kept. (SLAIS)

### **arrangement**

The process and results of identification of documents as they belong to accumulations within a fonds. (RAD)

1) The process of organizing materials with respect to their provenance and original order, to protect their context and to achieve physical or intellectual control over the materials. 2) The organization or sequence of items within a collection. (SAA)

### **Notes**

Archivist Oliver Wendell Holmes identified five levels of arrangement: repository; collection or record group; series; folder; and item. Many archives arrange records only to the folder level, although some archives arrange the items within each folder. Arrangement is often combined with the process of rehousing materials into archival containers and folders, and includes the labeling and shelving of materials. Though not widely practiced, arrangement can be employed in an intellectual sense, without a corresponding physical ordering of material. For example, five folders stored in four different boxes can be listed together in a finding aid as an ordered series without changing their storage location.

Arrangement with respect to original order presumes such an order is discernable. Archivists are not required to preserve 'original chaos,' and may arrange such materials in a way that facilitates their use and management without violation of any archival principle.

Arrangement is distinguished from classification, which places materials in an order established by someone other than the creator.

### **Citations**

Archives are already arranged – supposedly, by the agency of origin while it built them up day after day, year after year, as a systematic record of its activities and as part of its operations. This arrangement the archivist is expected to respect and maintain. Arrangement is built into archives; it is one of the inherent characteristics of 'archives,' differentiating them from nonarchival material. [120 (p. 162)]

The process of organizing and managing historical records by 1) identifying or bringing together sets of records derived from a common source which have common characteristics and a common file structure, and 2) identifying relationships among such sets of records and between records and their creators. [185 (p. 7)] (SAA)

The process of identifying archival documents as they belong to groupings within a fonds. (SLAIS)

### **best practices**

Procedures and guidelines that are widely accepted because experience and research have demonstrated that they are optimal and efficient means to produce a desired result. (SAA)

### **competence**

DIPLOMATICS – The mandate and authority given to an office or person to accomplish something. (SAA)

The sphere of functional responsibility entrusted to an office or officer. (SLAIS)

### **content**

The intellectual substance of a document – the text, data, symbols, numerals, images, sound and vision. (SAA)

### **context**

The framework in which the action in which the record participates takes place. The types of context include juridical-administrative context, provenancial context, procedural context, documentary context, and technological context. (InterPARES)

- 1) The organizational, functional, and operational circumstances surrounding materials' creation, receipt, storage, or use, and its relationship to other materials.
- 2) The circumstances that a user may bring to a document that influences that user's understanding of the document. (SAA)

### **Notes**

Along with content and structure, context is one of the three fundamental aspects of a record. (SAA)

### **corporate body**

An organization or association of persons that is identified by a particular name and that acts, or may act, as an entity. Typical examples of corporate bodies are societies, institutions, business firms, nonprofit enterprises, governments, government agencies, religious bodies, places of worship, and conferences. (RAD)

An organization or group of individuals with an established name that acts as a single entity. (SAA)

An organizational entity created by statute and capable of acting as a legal entity. (SLAIS)

### **creator**

The individual, group, or organization that is responsible for something's production, accumulation, or formation. (SAA)

The person or administrative body accumulating documents by reason of its function. (SLAIS)

### **description**

1. The process of creating a finding aid or other access tools that allows individuals to browse a surrogate of the collection to facilitate access and to improve security by creating a record of the collection and by minimizing the amount of handling of the original materials. – 2. Records management ·A written account of the physical characteristics, informational content, and functional purpose of a records series or system. (SAA)

#### **Citations**

In the 1980s and early 1990s, the Society of American Archivists' *Archives, Personal Papers, and Manuscripts* and the Canadian *Rules for Archival Description (RAD)* codified archival practice and established the elements needed to represent a *fonds* or collection. The primary purpose of creating descriptive tools is to help users locate relevant material. [65 (p. 43)]

In the 1930s in Europe, description began to be seen as a means for making the user independent of the archivists specialized knowledge, and to be aimed primarily at compiling 'instruments of research' for the user, not the archivist. Moreover, the description activity acquired a non-evaluative character as a consequence of the recognition that its products, in order to be useful for every kind of research, had to serve non in particular. [70 (p. 52)]

Metadata systems capture and communicate information about transactions and the context in which they occur within an electronic record system. . . . Description, on the other hand, captures and communicates knowledge about the broad administrative and documentary contexts of records creation within an organization as a whole as one moves further away from the original circumstances of creation. Its purpose is to preserve, perpetuate, and authenticate meaning over time so that it is available and comprehensible to all users – present and potential. [171 (p. 30)] (SAA)

- 1) The process or recording information about the nature and makeup of archives to achieve administrative and/or intellectual control.
- 2) A written representation of archival material. (SLAIS)

### **discrete item**

Description - An individual item without context, i.e., that is not part of a provenancial collection (fonds). (SAA)

### **document**

1) Any written or printed work; a writing. 2) Information or data fixed on some media. 3) Information or data fixed in some media, but which is not part of the official records; a non-record. 4) A written or printed work of a legal or official nature that may be used as evidence or proof; a record. (SAA)

Recorded information. (SLAIS)

### **documentary context**

The archival fonds to which the record belongs, and its internal structure. (InterPARES)

### **documentary form**

The rules of representation according to which the content of a record, its administrative and documentary context, and its authority are communicated. The two types of documentary form are extrinsic and intrinsic elements. (InterPARES)

Rules that structure a document's extrinsic and intrinsic elements in order to communicate its content, its administrative and documentary context, and its authority. (SAA)

### **dossier**

A group of documents assembled to provide information about a specific topic. (SAA)

### **Notes**

Dossier connotes information purposefully collected from various sources, as opposed to documents in and organic collection resulting from routine activities. In some instances, dossier may be used interchangeably with file in the sense of a case file. It is not equivalent to a file folder or other container; a dossier may be housed in several folders or other containers. (SAA)

## **electronic record**

A record that is created (made or received and set aside) in electronic form. (InterPARES)

Records that are encoded for manipulation by a computer. (RAD)

Data or information that has been captured and fixed for storage and manipulation in an automated system and that requires the use of the system to render it intelligible by a person. (SAA)

## **file**

1) Level of description. 2) An organized unit of documents, usually within a series, brought together because they relate to the same subject, activity, or transaction. (RAD)

1. A group of documents related by use or topic, typically housed in a folder (or a group of folders for a large file). – 2. pl. · The whole of a collection of records. – 3. Computing · Collections of data stored for use by a computer; see data file. (SAA)

### **Notes**

File1 in the singular generally refers to related documents that are kept together in one or a few folders. In the plural, it typically indicates a larger collection of all or part of an organization's records.

### **Citations**

Every record is, therefore, an element in an ensemble of other records, or better, of recordkeeping structures, functional aggregations constructed by the creator in the course and for the conduct of its activity and, thus, set in a specific juridical/administrative and documentary/archival context, in the form of *files*, that is, of records related to the same affair or matter, or of *records series*, that is types of records which are homogeneous in form (for example, the series of minutes, of decisions, of circulars, or of ledgers). [104 (p. 248-249)]

The term file<sup>3</sup> must have been one of the first to be used in commercial data processing terminology. Even before the advent of computers a deck of punch cards was often called a 'card file,' a term also applied to the cabinet in which the cards were stored. In the very early days of computers, any collection of data or programs was identified as a file. [232 (p. 561)] (SAA)

The smallest organic form of aggregation of archival documents. (SLAIS)

## **filing system**

Policies and procedures directing how files should be stored and indexed in order to ensure their retrieval, use, and disposition. (SAA)

### **Notes**

Sometimes called a recordkeeping system. Filing systems often include a records inventory, a retention schedule, and a file plan. (SAA)

## **filing unit**

also **file unit** ~ 1. A group of related documents treated as a single item for purposes of classification, storage, and retrieval. – 2. A number or word within a heading used to sort the headings. (SAA)

### **Notes**

A filing unit<sup>1</sup> is not the same as physical items. While a single folder containing all related documents is the most common example of a filing unit, a large file spanning several folders is also considered a single filing unit. – Filing unit<sup>2</sup> identifies the parts of a heading for word-by-word arrangement. For example, the title *The Cat in the Hat* is filed under C, because an article in the first position is not considered a filing unit. The names Saint Theresa is filed before Saints of Old based on the first filing unit; in letter-by-letter arrangement, the order would be the opposite.

### **Citations**

Although filing units within series may be single documents or single documents within enclosures or annexes, they are more likely to be assemblages of documents relating to some transaction, person, case, or subject, depending upon the filing policy or system used by the agency. [120 (p. 173)] (SAA)

## **folder**

1. A sheet of cardboard or heavy paper stock that is used as a loose cover to keep documents and other flat materials together, especially for purposes of filing; a **file cover**. – 2. Folded printed matter in which the text does not cross the folds. – 3. Computing · A directory structure that organizes files into groups; a directory or subdirectory. (SAA)

### **Notes**

Folders<sup>1</sup> usually have tabs where a title can be written. Tabs commonly run a fifth, a third, a half, or the full length of the folder, and may be staggered. (SAA)

## **fonds**

The whole of the documents, regardless of form or medium, automatically and organically created and/or accumulated and used by a particular individual, family, or corporate body in the course of that creator's activities or functions. (RAD)

The entire body of records of an organization, family, or individual that have been created and accumulated as the result of an organic process reflecting the functions of the creator. (SAA)

### **Citations**

The fonds, therefore, should be viewed primarily as 'an intellectual construct.' The fonds is not so much a physical entity in archives as it is the conceptual summary of descriptions of physical entities as the series level or lower, and descriptions of the administrative, historical and functional character of the records creator(s) – as well as descriptions of the records-creating processes (metadata). The fonds is thus the conceptual 'whole' that reflects an organic process in which a records creator produces or accumulates series of records which themselves exhibit a natural unity based on shared function, activity, form or use. It is at the heart of this process or relationship linking the creator to the records that the essence of *respect des fonds* can be found and must be protected. [45 (p. 33)]

The Canadian preference for the French term *fonds* to define the records of one creator originated with *Towards Archival Descriptive Standards*, which purposefully chose it in order 'to avoid certain terminological confusion which has grown around the terms 'record group,' 'manuscript group,' 'collections,' and so on, in North American practices. [111 (p. 56)]

The *fonds* is the chief Archive Unit in the Continental system and the basis of all rules of arrangement. The most important of all principles of Archive Management is named from it *le respect pour les fonds*. . . . A *fonds* is an organic whole and that any Administration, or one or more of its *fonctionnaires*, can create a *fonds d'archives* provided that these include *résolutions* or *procès-verbaux*; the inclusion of archives of such a type making it *autonome*. Roughly speaking, we may take it that they would make the qualities of a *fonds d'archives* depend on its including those which, when the administration which created it was active, constituted the final authority for executive action. For our purposes we may do better perhaps to represent this quality in terms of Administration rather than terms of documents, the forms of which are not necessarily constant. *Fonds* we may render, for lack of a better translation, *Archive Group*, and define this as the Archives resulting from the work of an Administration which was an organic whole, complete in itself, capable of dealing independently, without any added or external authority, with every side of any business which could normally be presented to it. This, it may be said, is to

make the *Archive Group* a division much wider, much less strictly defined than the *Fonds*. [145 (p. 101)] (SAA)

The whole of the documents that every organization or physical or juridical person accumulates by reason of its function or activity. (SLAIS)

### **form**

The physical (e.g. watercolour, drawing) or intellectual (e.g. diary, journal, daybook, minute book) characteristics of a document. (RAD)

1) The materials and structure of an item; format. 2) The overall appearance, configuration, or shape, independent of its intellectual content; document type. 3) A style or convention for expressing ideas in a literary work or document; documentary form, including extrinsic and intrinsic elements. (SAA)

1) The mode in which a document exists or manifests itself, its outward appearance, configuration, shape, and structure, as opposed to its significance or content. Also referred to as documentary form. (SLAIS)

### **format**

1) A standard size or configuration; form. 2) The layout of a document. (SAA)

Any particular physical representation of a document. (SLAIS)

### **function**

The activities of an organization or individual performed to accomplish some mandate or mission. (SAA)

All of the activities aimed to accomplish one purpose, considered abstractly. (SLAIS)

### **functional pertinence**

The activity or program (function) to which records relate. (SAA)

The direct or indirect relationship of a group of documents to one function. (SLAIS)

### **functional provenance**

The origin of a group of materials as determined by function rather than provenance. (SAA)

The origin of a group of documents with respect to the function which produced them rather than with respect to the creator. (SLAIS)

### **graphic material**

Documents in the form of pictures, photographs, illustrations, prints, and the products of other pictorial processes. (RAD)

### **guideline**

Recommendations suggesting, but not requiring, practices that produce similar, but not identical, results. (SAA)

### **hierarchical description**

A technique of writing a finding aid by describing the collection from general to specific, starting with the whole, then proceeding to the components (series, subseries, folders, and items). (SAA)

#### **Notes**

Hierarchical description does not necessarily include every level; item-level description is uncommon. (SAA)

### **intellectual control**

The creation of tools such as catalogs, finding aids, or other guides that enable researchers to locate materials relevant to their interest. (SAA)

#### **Notes**

Intellectual control includes exploiting access tools developed by the creator of the materials and, typically, received with the collection. However, these tools must be integrated into the repository's other tools. (SAA)

The control established over archival material by documenting in finding aids its provenance, arrangement, composition, scope, informational content, and internal and external relationships. (SLAIS)

### **intellectual form**

The sum of a record's formal attributes that represent and communicate the elements of the action in which the record is involved and of its immediate context, both documentary and administrative. (SAA)

In diplomacy, all the characteristics of a document which can be separated from the determination of the particular subjects, persons, or places it was about. (SLAIS)

## **item**

The lowest level of description and the smallest intellectual entity within a fonds useful for descriptive purposes. (RAD)

A thing that can be distinguished from a group and that is complete in itself. (SAA)

### **Notes**

An item may consist of several components, but it is treated as a whole. For example, a letter may have several physically discrete pages, but is treated as an item because of its content. A decision about the boundaries of an item is sometimes ambiguous; a photograph album may be considered an item, and the individual photographs within the album may also be considered an item. Items are generally considered to be the smallest archival unit. (SAA)

1) The smallest indivisible unit of archival material. 2) The unit that represents the smallest intellectual entity within a fonds no longer usefully subdivisible for descriptive purposes. (SLAIS)

## **juridical-administrative context**

The legal and organizational system in which the creating body belongs. (InterPARES)

## **levels of arrangement**

A level established during the identification and ordering of the fonds into its constituent parts. (RAD)

The hierarchical divisions used in archives management, including repository, record group, fonds, or collection, subgroups, series, subseries, file, and item. (SAA)

The hierarchical breakdown of holdings of the repository (level 1), into fonds (2), sous fonds (3), series (4), file (5), and items (6). (SLAIS)

## **level of description**

The amount of details in a collection included in a finding aid or catalog record, as determined by the number of hierarchical levels. (SAA)

### **Notes**

A finding aid or catalog record typically begins at the collection level, and it may include details about subordinate divisions, such as series, subseries, folders, or

items.

### **Citations**

There may be several appropriate levels of description for any given body of archival material. These levels normally correspond to natural divisions based on provenance or physical form. The principle corresponds with the bibliographic concept of *analysis*, 'the process of preparing a bibliographic record that describes a part or parts of an item for which a comprehensive entry has been made' [citing AACR2 §13.1A]. [116 (p. 5)] (SAA)

### **mandate**

1) The authority invested by law in an agency to perform a specific function. 2) An official directive issued by an authority. (SAA)

The authority given to an agency to administer a matter. (SLAIS)

### **manuscript collection**

A collection of personal or family papers. (SAA)

### **medium**

The physical material that serves as the carrier for information. (SAA)

The physical matter or substance upon which information can be or is recorded or stored. (SLAIS)

### **multimedia**

Records which combine two or more media types but which, for reasons of intellectual continuity, must be conceived of as a unit, e.g. slide tape programs. (RAD)

### **office of origin (also creating office, originating office)**

The corporate body or administrative unit in which a group of records is created or received, and accumulated during the course of business. (SAA)

### **organization**

1) A corporate body. 2) The coordination and relationships between items; arrangement. (SAA)

1) A system of interrelated social relations. 2) A social system that has an unequivocal collective identity, and exact roster of members, a program of activity, and procedures for replacing members. (SLAIS)

### **organizational records**

1) The records of a corporate body. 2) The records of a non-profit organization, as distinguished from commercial business records. (SAA)

### **original order**

The organization and sequence of records established by the record's creator. (SAA)

#### **Notes**

Also called **registry principle**, **respect for original order**, *l'ordre primitif*, and *respect de l'ordre intérieure*. Original order is a fundamental principle of archives. Maintaining records in original order serves two purposes. First, it preserves existing relationships and evidential significance that can be inferred from the records' context. Second, it exploits the record creator's mechanisms to access the records, saving the archives the work of creating new access tools.

Original order is not the same as the order in which materials was received. Items that were clearly misfiled may be re-filed in their proper location, a process called perfecting order. Materials may have had their original order disturbed, often during inactive use, before transfer to the archives; see **restoration of original order**.

A collection may have not meaningful order if the creator stores items in a haphazard fashion. In such instances, archivists may impose order on the materials to facilitate arrangement and description. The principle of respect for original order does not extend to respect for original chaos.

#### **Citations**

Since files and series reflect the aggregation of records in relation to the activity undertaken, this order should be maintained not only during the phase when the records are current, but also in the phase of preservation, whether through the identification of records selected for preservation or for purposes of research, in order to guarantee the possibility of meaningful future use. [104 (p. 249)] (SAA)

### **personal papers (also personal records, private papers)**

1) Documents created, acquired, and received by an individual in the course of his or her affairs and preserved in their original order (if such order exists). 2) Non-official documents kept by an individual at a place of work. (SAA)

**physical control**

The function of tracking the storage of records to ensure that they can be located. (SAA)

**Notes**

Intellectual control provides a means of identifying potentially relevant materials, with a pointer to where those materials are stored. Physical control ensures that the records are, in fact, where that pointer specifies. In some instances, those pointers may be absolute, pointing to a specific box on a specific shelf in a specific room. In other cases, the pointer may be relative, pointing to a collection and box number, which reflect a position within a range of similar numbers. (SAA)

**policy**

Official expressions of principles that direct an organization's operations. (SAA)

The general principles or rules by which an organization is guided in management of affairs, hence access policy, acquisition policy, etc. (SLAIS)

**procedural context**

The business procedure in the course of which the record is created. (InterPARES)

**procedure**

The manner and steps in which some action is taken. (SAA)

In general, the body of written and unwritten rules governing the conduct of a transaction, or the formal steps undertaken in carrying out a transaction. In particular, the legislative machinery set up to carry out a given transaction. (SLAIS)

**process**

A series of motions or activities in general carried out to set oneself to work to accomplish the formal steps of a procedure. (SLAIS)

**process control**

The management and oversight of actions taken on records in a records center or archives. (SAA)

**processing**

The arrangement, description, and housing archival materials for storage and use by

patrons. – 2. The steps taken to make the latent image on exposed photographic or microfilm materials visible; see archival processing. – 3. Computing · The machine execution of instructions in a computer program. (SAA)

### Notes

Some archives include accessioning as part of processing.

### Citations

A collective term used in archival administration that refers to the activity required to gain intellectual control of records, papers, or collections, including accessioning, arrangement, culling, boxing, labeling, description, preservation and conservation. [86]. (SAA)

### program

A function or activity of an organization. (SAA)

### provenance

The person(s), family (families), or corporate body (bodies) that created and/or accumulated and used records in the conduct of personal or business life. (RAD)

- 1) The origin or source of something. 2) Information regarding the origins and custody of an item or collection. (SAA)

### Notes

Provenance is a fundamental principle of archives, referring to the individual, family, or organization which created or received the items in a collection. The **principle of provenance** or the *respect des fonds* dictates that records of different origins (provenance) be kept separate to preserve their context.

### Citations

The principle of provenance has two components: records of the same provenance should not be mixed with those of a different provenance, and the archivist should maintain the original order in which the records were created and kept. The latter is referred to as the principle of original order in English and *Registraturprinzip* in German. The French conception of *respect des fonds* did not include the same stricture to maintain original order (referred to in French as *respect de l'ordre intérieure*), largely because French archivists had been applying what was known as the principle of pertinence and rearranging records according to their subject content. [95 (p. 12)]

APPM recognizes the primacy of *provenance* in archival description. This principle holds that that significance of archival materials is heavily dependent on the context of their creation, and that the arrangement and description of these materials should be directly related to their original purpose and function. [117 (p. 67)] (SAA)

The organization or person creating a fonds. (SLAIS)

**provenancial context**

The creating body, its mandate, structure, and functions. (InterPARES)

**record (also archival document)**

A document made or received in the course of the conduct of affairs and preserved. (RAD)

1) A written or printed work of a legal or official nature that may be used as evidence or proof; a document. 2) Data or information that has been fixed on some medium; that has content, context, and structure; and that is used as an extension of human memory or to demonstrate accountability. 3) Data or information in fixed form that is created and received in the course of individual or institutional activity and set aside (preserved) as evidence of that activity for future reference. 4) An instrument filed for public notice (constructive notice); see recordation. (SAA)

Any document(s) made or received in the course of a practical activity. (SLAIS)

**record group (also archive group)**

A collection of records that share the same provenance and are of a convenient size for their administration. (SAA)

A body of organizationally related records established on the basis of provenance with particular regard for the administrative history, the complexity, and the volume of the records or archives of the organization concerned. Collective and general record groups represent modifications of this concept for convenience in arrangement, description, and reference service. (SLAIS)

**respect des fonds**

The principle that the records of a person, family, or corporate body must be kept together in their original order, if it exists or has been maintained, and not be mixed or combined with the records of another individual or corporate body. (RAD)

The principle of the arrangement of archival material that fonds of different provenance should not be intermingled. (SLAIS)

**respect for original order, principle of**

The principle that archival documents should be maintained in the same order or arrangement given to it by the creator so that the relationships among its components and the evidential significance of documents are preserved. (SLAIS)

### **restoration of original order**

also **perfecting order** ~ The process of returning materials to the organization and sequence established by the records' creator. (SAA)

### **series**

(Archival) 1) Level of description. 2) File units or records within a fonds arranged systematically or maintained as a unit because they relate to a particular function or subject, result from the same activity, have a particular form, or because of some other relationship arising out of their creation or, arising out of their receipt and use. (RAD)

A group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity; a file group; a record series. (SAA)

### **Citations**

[Series1] File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use. Also known as record series. In archival practice, the series is the usual unit of cataloging or description. [116 (1.0A)] (SAA)

1) Documents arranged systematically or maintained as a unit because they relate to a particular function or subject, result from the same activity, have a particular form, or because of some other relationship arising from their creation, receipt, or use. 2) A group of record items, either controlled by numbers or other symbols or not, which result from the same accumulation, are subject to the same processes and procedures of organization, or have similar physical shape and informational content. 3) A grouping of documents within a fonds created to accomplish one function. (SLAIS)

### **series descriptive system**

A technique of creating finding aids using the series1 as the primary level of control, rather than the record group or fonds. (SAA)

**Notes**

The series descriptive system is intended to maintain control of series over time. It was first widely adopted in Australia in response to frequent administrative changes and the consequent existence of multi-provenance series. (SAA)

**series system**

A method of administrative control and intellectual control of archives based on separate and linked descriptions of creators and series designed to cope with the effects of administrative change and the existence of series having more than one creator and/or controlling agency. (SLAIS)

**sous-fonds**

A subdivision of a fonds based on the structure of the creator or the organization of its activity. (SLAIS)

**subgroup**

A body of related records within a record group or collection, each corresponding to an administrative subdivision in the originating organization. (SAA)

**subseries**

A body of documents within a series readily distinguished from the whole by filing arrangement, type, form, or content. (SAA)

1) A body of documents within a series readily identifiable as a subordinate or dependent entity on the basis of the classification or filing. 2) A grouping of documents separately identifiable within a series by reason of form or organization which issue from the accomplishment of one activity of a creator. (SLAIS)

**successor**

1) An individual or organization that assumes the position, role, or functions of a predecessor. 2) An organization that assumed the mission or program areas of a predecessor organization. (SAA)

**technological context**

The characteristics of the technical components of an electronic computing system in which records are created. (InterPARES)

**textual records**

Written records, whether handwritten, typescript, published, or generated by other means, which are accessible to the eye without the aid of a machine. (RAD)

A general classification of records with content that is principally written words. (SAA)

	A	B	C	D	E
2	Word (English)	Definitions and notes	Terme (français)	Définitions et commentaires	Acronyms/Sigles
3	accumulation	The organic process by which a collection of records grows out of a routine process. (SAA)	accroissement	Ensemble des procédures par lesquelles s'enrichissent les <i>fonds et collections</i> d'un <i>service d'archives</i> . Ce terme désigne également les <i>documents</i> ainsi ajoutés aux <i>fonds et collections</i> . (DAF)	DAF = Outil terminologique de la Direction des Archives de France
4		The natural process by which archives are made and received in the course of affairs of any kind. (SLAIS)			
5	administrative control	The responsibility for management of materials in a repository's custody, including the documentation of actions taken on those materials. (SAA) <i>Notes : Administrative control is independent of the intellectual content of the records. It includes accessioning materials into a records center, subsequent transfer to an archives, or disposal by destruction; managing rights and restrictions during access; and tracking use and preservation treatment of the materials.</i>  <i>Administrative control is distinguished from physical and intellectual control. Administrative control emphasizes functions relating to the custody of a repository's holdings. For example, administrative control is concerned that a potential acquisition is subject to the appraisal process and that, if acquired, the acquisition process is properly followed. Should a collection be deaccessioned, administrative control would ensure that the process meets the legal and institutional requirements. (SAA)</i>	contrôle administratif (m.c.)		
6					
7		1) The exercise of authority over maintenance, use, disposition, and accessibility of current archives to carry on the function for which they were created.			

	A	B	C	D	E
8		2) The means of physically locating the holdings of records centres and archival institutions through numbering and listing. (SLAIS).			
9	agency	1) A unit of government authorized by law to perform a specific function. 2) A business that provides services by acting on behalf of or as a representative of another party. (SAA)	agence		
10		An administrative body having the delegated authority to act competently as an agent of a higher body. (SLAIS)			
11	analysis	The process of identifying, reviewing, and abstracting the components of some thing. (SAA)	Analyse	Opération consistant à présenter sous une forme concise et précise les données caractérisant l'information contenue dans un document ou un ensemble de documents (de la pièce au fonds), du bordereau à l'inventaire. Par extension, le résultat de cette opération. (D'après AFNOR)	AFNOR = Association française de normalisation. Bruno Delmas
12	archival bond	The relationship that links each record, incrementally, to the previous and subsequent ones and to all those which participate in the same activity. It is originary (i.e., it comes into existence when a record is made or received and set aside), necessary (i.e., it exists for every record), and determined (i.e., it is characterized by the purpose of the record). (InterPARES)	lien archivistique (m.c.)		
13		The interrelationships between a record and other records resulting from the same activity. (SAA)			

	A	B	C	D	E
14	archival processing	1. The arrangement, description, and housing archival materials for storage and use by patrons. (SAA)	Traitement	Ensemble des procédures et des opérations d'organisation, tri, classement, description et conditionnement d'archives. (PIAF) / Procédures et opérations de tri, analyse, classement et inventaire d'archives (CIA)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives (ébauche)
15	<b>????? (Repeated under processing)</b>	2. Photography • Techniques for processing2 photographs that are designed to produce very stable, long-lasting images. (SAA)			
16		Notes : Archival processing1 is frequently shortened to just processing – Archival processing2 may include use of two fixing baths to remove all undeveloped silver and extended wash times. It may include toning images with gold, selenium, or sulfide to stabilize a pure metallic silver image. Archival processing may include a residual hypo test to ensure adequate washing. (SAA)			
17	archives	1) The whole of the documents made and received by a juridical or physical person or organization in the conduct of affairs, and preserved. Synonymous with the term fonds. (SLAIS)	archives	Documents, quels que soient leur date, leur forme et leur support matériel, produits ou reçus par toute personne physique ou morale, et par tout service ou organisme public ou privé, dans l'exercice de leur activité. Le mot archives est couramment employé dans le sens restrictif de documents ayant fait l'objet d'un archivage, par opposition aux archives	DAF = Outil terminologique de la Direction des Archives de France

	A	B	C	D	E
18		2) An agency or institution responsible for the acquisition, preservation, and communication of archives selected for permanent retention. (SLAIS)		Service chargé de la conservation et de la mise en valeur des archives d'une ou de plusieurs administrations publiques ou privées.	DAF = Outil terminologique de la Direction des Archives de France
19		3) A place in which archives selected for permanent preservation are kept. (SLAIS)		Édifice conçu pour accueillir l'ensemble des fonctions d'un service d'archives. (D'après DAF)	DAF = Outil terminologique de la Direction des Archives de France
20	arrangement	The process and results of identification of documents as they belong to accumulations within a fonds. (RAD)	classement	Opération intellectuelle et matérielle consistant à analyser et à ordonner les documents d'archives conformément aux principes archivistiques, et son résultat. Le classement peut être distinct du rangement matériel sur les rayons. (PIAF d'après ISAD (G) et AFNOR)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
21		1) The process of organizing materials with respect to their provenance and original order, to protect their context and to achieve physical or intellectual control over the materials.			
22		2) The organization or sequence of items within a collection. (SAA)			

	A	B	C	D	E
		<p><i>Notes : Archivist Oliver Wendell Holmes identified five levels of arrangement: repository; collection or record group; series; folder; and item. Many archives arrange records only to the folder level, although some archives arrange the items within each folder. Arrangement is often combined with the process of rehousing materials into archival containers and folders, and includes the labeling and shelving of materials. Though not widely practiced, arrangement can be employed in an intellectual sense, without a corresponding physical ordering of material. For example, five folders stored in four different boxes can be listed together in a finding aid as an ordered series without changing their storage location.</i></p> <p><i>Arrangement with respect to original order presumes such an order is discernable. Archivists are not required to preserve 'original chaos,' and may arrange such materials in a way that facilitates their use and management without violation of any archival principle.</i></p> <p><i>Arrangement is distinguished from classification, which places materials in an order established by someone other than the cre</i></p>			
23					
	best practices	Procedures and guidelines that are widely accepted because experience and research have demonstrated that they are optimal and efficient means to produce a desired result. (SAA)	pratiques exemplaires (m.c.)		
24					
	competence	DIPLOMATICS – The mandate and authority given to an office or person to accomplish something. (SAA)			
25					
26		The sphere of functional responsibility entrusted to an office or officer. (SLAIS)			
	content	The intellectual substance of a document – the text, data, symbols, numerals, images, sound and vision. (SAA)	contenu (m.c.)		
27					

	A	B	C	D	E
28	context	The framework in which the action in which the record participates takes place. The types of context include juridical-administrative context, provenancial context, procedural context, documentary context, and technological context. (InterPARES)	contexte (m.c.)		
29		1) The organizational, functional, and operational circumstances surrounding materials' creation, receipt, storage, or use, and its relationship to other materials. (SAA)			
30		2) The circumstances that a user may bring to a document that influences that user's understanding of the document. (SAA)			
31		<i>Notes</i> <i>Along with content and structure, context is one of the three fundamental aspects of a record. (SAA)</i>			
32	corporate body	An organization or association of persons that is identified by a particular name and that acts, or may act, as an entity. Typical examples of corporate bodies are societies, institutions, business firms, nonprofit enterprises, governments, government agencies, religious bodies, places of worship, and conferences. (RAD)	Personne morale (m.c.)		
33		An organization or group of individuals with an established name that acts as a single entity. (SAA)			
34		An organizational entity created by statute and capable of acting as a legal entity. (SLAIS)			
35	creator	The individual, group, or organization that is responsible for something's production, accumulation, or formation. (SAA)	producteur (m.c.)		
36		The person or administrative body accumulating documents by reason of its function. (SLAIS)			

	A	B	C	D	E
37	description	1. The process of creating a finding aid or other access tools that allows individuals to browse a surrogate of the collection to facilitate access and to improve security by creating a record of the collection and by minimizing the amount of handling of the original materials(SAA)	description	Ensemble des opérations d'identification d'une unité archivistique, de sa description matérielle au contexte de sa production en passant par l'analyse du contenu et l'indexation. L'expression désigne à la fois le processus de représentation et son résultat.. (PIAF, d'après DAT et ISAD (G))	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
38		2.Records management • A written account of the physical characteristics, informational content, and functional purpose of a records series or system. (SAA)			
39		1) The process or recording information about the nature and makeup of archives to achieve administrative and/or intellectual control. (SLAIS)			
40		2) A written representation of archival material. (SLAIS)			
41	discrete item	Description • An individual item without context, i.e., that is not part of a provenancial collection (fonds). (SAA)			
42	document	1) Any written or printed work; a writing. (SAA)	document	Ecrit ou enregistrement qui, par lui-même ou par son support, a une valeur probatoire ou informative. (PIAF, d'après AFNOR)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives

	A	B	C	D	E
43		2) Information or data fixed on some media. (SAA)		Tout écrit ou enregistrement considéré comme une unité documentaire. (PIAF)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
44		3) Information or data fixed in some media, but which is not part of the official records; a non-record. (SAA)			
45		4) A written or printed work of a legal or official nature that may be used as evidence or proof; a record. (SAA)			
46		Recorded information. (SLAIS)			
47	documentary context	The archival fonds to which the record belongs, and its internal structure. (InterPARES)	contexte documentaire (m.c.)		
48	documentary form	The rules of representation according to which the content of a record, its administrative and documentary context, and its authority are communicated. The two types of documentary form are extrinsic and intrinsic elements. (InterPARES)			
49		Rules that structure a document's extrinsic and intrinsic elements in order to communicate its content, its administrative and documentary context, and its authority. (SAA)			

	A	B	C	D	E
50	dossier	A group of documents assembled to provide information about a specific topic. (SAA)	dossier	Ensemble des documents réunis pour la conduite ou le traitement d'une affaire par une personne physique ou morale dans l'exercice de ses activités. Le dossier est ordinairement l'unité de base à l'intérieur d'une série organique. (PIAF, d'après AFNOR et ISAD (G))	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
51		<i>Notes Dossier connotes information purposefully collected from various sources, as opposed to documents in and organic collection resulting from routine activities. In some instances, dossier may be used interchangeably with file1 in the sense of a case file. It is not equivalent to a file folder or other container; a dossier may be housed in several folders or other containers. (SAA)</i>			
52	electronic record	A record that is created (made or received and set aside) in electronic form. (InterPARES)	archives informatiques	Documents produits ou reçus par un organisme dans l'exercice de ses activités et conservés sous forme d'enregistrements électroniques sur des <i>supports</i> tels que les bandes magnétiques, les disques magnétiques, les disques optiques <i>etc.</i> , et qui ne peuvent être lus que par l'intermédiaire	DAF = Outil terminologique de la Direction des Archives de France
53		Records that are encoded for manipulation by a computer. (RAD)			
54		Data or information that has been captured and fixed for storage and manipulation in an automated system and that requires the use of the system to render it intelligible by a person. (SAA)			
55	file	1) Level of description(RAD)	dossier	niveau de description	

	A	B	C	D	E
56		2) An organized unit of documents, usually within a series, brought together because they relate to the same subject, activity, or transaction. (RAD)			Ensemble de documents regroupés, soit par le producteur pour son usage courant, soit dans le processus du classement d'archives, parce qu'ils concernent un même sujet ou une même affaire. Le dossier est ordinairement l'unité de base à l'intérieur d'une série organique. ISAD
57		1. A group of documents related by use or topic, typically housed in a folder (or a group of folders for a large file).(SAA)			
58		2. pl. • The whole of a collection of records. (SAA)			
59		3. Computing • Collections of data stored for use by a computer; see data file. (SAA)			
60		<i>Notes : File1 in the singular generally refers to related documents that are kept together in one or a few folders. In the plural, it typically indicates a larger collection of all or part of an organization's records.</i>			
61		The smallest organic form of aggregation of archival documents. (SLAIS)			
62	filing system	Policies and procedures directing how files should be stored and indexed in order to ensure their retrieval, use, and disposition. (SAA)	guide ou manuel de classement		
63		<i>Notes : Sometimes called a recordkeeping system. Filing systems often include a records inventory, a retention schedule, and a file plan. (SAA)</i>			
64	filing unit	also file unit ~ 1. A group of related documents treated as a single item for purposes of classification, storage, and retrieval.(SAA)			
65		also file unit ~ 2. A number or word within a heading used to sort the headings. (SAA)			

	A	B	C	D	E
		<p><i>Notes : A filing unit1 is not the same as physical items. While a single folder containing all related documents is the most common example of a filing unit, a large file spanning several folders is also considered a single filing unit. – Filing unit2 identifies the parts of a heading for word-by-word arrangement. For example, the title The Cat in the Hat is filed under C, because an article in the first position is not considered a filing unit. The names Saint Theresa is filed before Saints of Old based on the first filing unit; in letter-by-letter arrangement, the order would be the opposite.</i></p>			
66	folder	1. A sheet of cardboard or heavy paper stock that is used as a loose cover to keep documents and other flat materials together, especially for purposes of filing; a file cover. (SAA)	chemise	Feuille de papier fort ou de carton mince pliée en deux servant à regrouper matériellement des documents relatifs à un même objet ou à isoler et conserver un ou plusieurs documents lors du classement et de l'inventaire. (DAT)	DAT = Dictionnaire de terminologie archivistique du CIA, 2e édition
67		2. Folded printed matter in which the text does not cross the folds. (SAA)			
68		3. Computing • A directory structure that organizes files into groups; a directory or subdirectory. (SAA)			
69					
70	fonds	<p><i>Notes : Folders1 usually have tabs where a title can be written. Tabs commonly run a fifth, a third, a half, or the full length of the folder, and may be staggered. (SAA)</i></p> <p>The whole of the documents, regardless of form or medium, automatically and organically created and/or accumulated and used by a particular individual, family, or corporate body in the course of that creator's activities or functions. (RAD)</p>	Fonds d'archives	Ensemble de documents de toute nature réunis automatiquement et organiquement, créés et/ou accumulés et utilisés par une personne physique ou morale ou par une famille dans l'exercice de ses activités ou de ses fonctions. (RDDA)	
71					
72		The entire body of records of an organization, family, or individual that have been created and accumulated as the result of an organic process reflecting the functions of the creator. (SAA)			

	A	B	C	D	E
73	form	The physical (e.g. watercolour, drawing) or intellectual (e.g. diary, journal, daybook, minute book) characteristics of a document. (RAD)	forme	Caractéristiques physiques (par exemple, aquarelle, dessin) ou intellectuelles (par exemple, grand livre, journal personnel, procès-verbaux) d'un document (RDDA)	
74		1) The materials and structure of an item; format. (SAA)		Aspect extérieur d'un document d'archives : feuille, rouleau, bobine, bande, cassette, disque, cahier, registre, plan, film, etc. (DAF)	DAF = Outil terminologique de la Direction des Archives de France
75		2) The overall appearance, configuration, or shape, independent of its intellectual content; document type. (SAA)			
76		3) A style or convention for expressing ideas in a literary work or document; documentary form, including extrinsic and intrinsic elements. (SAA)			
77		1) The mode in which a document exists or manifests itself, its outward appearance, configuration, shape, and structure, as opposed to its significance or content. Also referred to as documentary form. (SLAIS)			
78	format	1) A standard size or configuration; form.(SAA) 2) The layout of a document. (SAA)	format	Caractéristiques de la présentation d'informations informatisées (DAF)	DAF = Outil terminologique de la Direction des Archives de France
79					
80		Any particular physical representation of a document. (SLAIS)			
81	function	The activities of an organization or individual performed to accomplish some mandate or mission. (SAA)	fonction		
82		All of the activities aimed to accomplish one purpose, considered abstractly. (SLAIS)			

	A	B	C	D	E
83	functional pertinence	The activity or program (function) to which records relate. (SAA)			
84		The direct or indirect relationship of a group of documents to one function. (SLAIS)			
85	functional provenance	The origin of a group of materials as determined by function rather than provenance. (SAA)			
86		The origin of a group of documents with respect to the function which produced them rather than with respect to the creator. (SLAIS)			
87	graphic material	Documents in the form of pictures, photographs, illustrations, prints, and the products of other pictorial processes. (RAD)	Document iconographique	Document se présentant sous forme d'images, de photographies, d'illustrations, d'imprimés ou tout autre produit réalisé selon de procédés picturaux. (RDDA)	
88	guideline	Recommendations suggesting, but not requiring, practices that produce similar, but not identical, results. (SAA)	Lignes directrices (m.c.)		
89	hierarchical description	A technique of writing a finding aid by describing the collection from general to specific, starting with the whole, then proceeding to the components (series, subseries, folders, and items). (SAA)			
90		<i>Notes : Hierarchical description does not necessarily include every level; item-level description is uncommon. (SAA)</i>			
91	intellectual control	The creation of tools such as catalogs, finding aids, or other guides that enable researchers to locate materials relevant to their interest. (SAA)			
92		<i>Notes : Intellectual control includes exploiting access tools developed by the creator of the materials and, typically, received with the collection. However, these tools must be integrated into the repository's other tools. (SAA)</i>			

	A	B	C	D	E
93		The control established over archival material by documenting in finding aids its provenance, arrangement, composition, scope, informational content, and internal and external relationships. (SLAIS)			
94	intellectual form	The sum of a record's formal attributes that represent and communicate the elements of the action in which the record is involved and of its immediate context, both documentary and administrative. (SAA)			
95		In diplomatics, all the characteristics of a document which can be separated from the determination of the particular subjects, persons, or places it was about. (SLAIS)			
96	item	The lowest level of description and the smallest intellectual entity within a fonds useful for descriptive purposes. (RAD)	pièce	Document ou partie de document individualisé (feuillet simple ou double, plusieurs feuillets agrafés, cahier, registre ...) (PIAF, d'après AFNOR)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
97		A thing that can be distinguished from a group and that is complete in itself. (SAA) <i>Notes : An item may consist of several components, but it is treated as a whole. For example, a letter may have several physically discrete pages, but is treated as an item because its of its content. A decision about the boundaries of an item is sometimes ambiguous; a photograph album may be considered an item, and the individual photographs within the album may also be considered an item. Items are generally considered to be the smallest archival unit. (SAA)</i>			
98					

	A	B	C	D	E
99		1) The smallest indivisible unit of archival material. (SLAIS)			
100		2) The unit that represents the smallest intellectual entity within a fonds no longer usefully subdivisible for descriptive purposes. (SLAIS)			
101	juridical-administrative context	The legal and organizational system in which the creating body belongs. (InterPARES)			
	levels of arrangement	A level established during the identification and ordering of the fonds into its constituent parts. (RAD)	Niveau de classement / description	Niveau choisi pour le classement et la description de l'unité de description (fonds, série organique, sous-série organique, dossier, pièce) et qui détermine le type d'instrument de recherche. (PIAF)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
102					
103		The hierarchical divisions used in archives management, including repository, record group, fonds, or collection, subgroups, series, subseries, file, and item. (SAA)			
104		The hierarchical breakdown of holdings of the repository (level 1), into fonds (2), sous fonds (3), series (4), file (5), and items (6). (SLAIS)			
105	level of description	The amount of details in a collection included in a finding aid or catalog record, as determined by the number of hierarchical levels. (SAA)	Niveau de description (m.c.)		
106		Notes : A finding aid or catalog record typically begins at the collection level, and it may include details about subordinate divisions, such as series, subseries, folders, or items.			

	A	B	C	D	E
107	mandate	1) The authority invested by law in an agency to perform a specific function.(SAA)	mandat (m.c.)		
108		2) An official directive issued by an authority. (SAA)			
109		The authority given to an agency to administer a matter. (SLAIS)			
110	manuscript collection	A collection of personal or family papers. (SAA)	collection d'archives privées (m.c.)		
111	medium	The physical material that serves as the carrier for information. (SAA)	support		
112		The physical matter or substance upon which information can be or is recorded or stored. (SLAIS)		Matière (papier, film, bande magnétique,) sur laquelle sont fixées des informations pour constituer et conserver un document. (PIAF) / Matière sur laquelle sont fixées des informations pour constituer un document (par exemple, cire, papyrus, papier, parchemin, film, bande magnétique) (Medium). ISAD (G).	PIAF = Glossaire du Portail international archivistique francophone
113	multimedia	Records which combine two or more media types but which, for reasons of intellectual continuity, must be conceived of as a unit, e.g. slide tape programs. (RAD)			
114	office of origin (also creating office, originating office)	The corporate body or administrative unit in which a group of records is created or received, and accumulated during the course of business. (SAA)	Producteur d'archives	Personne physique ou morale, publique ou privée, qui a produit, reçu et conservé des archives dans l'exercice de son activité. (DAF)	DAF = Outil terminologique de la Direction des Archives de France
115	organization	1) A corporate body. (SAA)			
116		2) The coordination and relationships between items; arrangement. (SAA)			
117		1) A system of interrelated social relations.(SLAIS)			

	A	B	C	D	E
118	organizational records	2) A social system that has an unequivocal collective identity, and exact roster of members, a program of activity, and procedures for replacing members. (SLAIS)			
119		1) The records of a corporate body.(SAA)			
120		2) The records of a non-profit organization, as distinguished from commercial business records. (SAA)			
121	original order	The organization and sequence of records established by the record's creator. (SAA)	Respect des fonds	Principe fondamental de l'archivistique, selon lequel chaque document doit être maintenu ou remplacé dans le fonds dont il provient, et dans ce fonds à sa place d'origine. (DAF)	DAF = Outil terminologique de la Direction des Archives de France
122		<p><i>Notes : Also called registry principle, respect for original order, l'ordre primitif, and respect de l'ordre intérieure. Original order is a fundamental principle of archives. Maintaining records in original order serves two purposes. First, it preserves existing relationships and evidential significance that can be inferred from the records' context. Second, it exploits the record creator's mechanisms to access the records, saving the archives the work of creating new access tools.</i></p> <p><i>Original order is not the same as the order in which materials was received. Items that were clearly misfiled may be re-filed in their proper location, a process called perfecting order. Materials may have had their original order disturbed, often during inactive use, before transfer to the archives; see restoration of original order.</i></p> <p><i>A collection may have not meaningful order if the creator stores items in a haphazard fashion. In such instances, archivists may impose order on the materials to facilitate arrangement and description. The principle of respect for original order does not extend to respect for original chaos.</i></p>			

	A	B	C	D	E
123	personal papers (also personal records, private papers)	1) Documents created, acquired, and received by an individual in the course of his or her affairs and preserved in their original order (if such order exists).(SAA)	Archives privées	Documents d'archives, produits ou reçus par des individus, des familles, des associations, des entreprises, des partis politiques, des syndicats etc., et par tout autre institution privée ou organisme non public. (PIAF)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
124		2) Non-official documents kept by an individual at a place of work. (SAA)			
125	physical control	The function of tracking the storage of records to ensure that they can be located. (SAA)	Récolement	Opération consistant à dresser la liste topographique des articles conservés dans un service d'archives ou un fonds. Désigne aussi l'opération destinée à vérifier l'intégralité des fonds et collections d'un service d'archives périodiquement ou lors du changement de responsable d'un service d'archives. (PIAF)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
126		Notes : Intellectual control provides a means of identifying potentially relevant materials, with a pointer to where those materials are stored. Physical control ensures that the records are, in fact, where that pointer specifies. In some instances, those pointers may be absolute, pointing to a specific box on a specific shelf in a specific room. In other cases, the pointer may be relative, pointing to a collection and box number, which reflect a position within a range of similar numbers. (SAA)			

	A	B	C	D	E
127	policy	Official expressions of principles that direct an organization's operations. (SAA)	politique (m.c.)		
128		The general principles or rules by which an organization is guided in management of affairs, hence access policy, acquisition policy, etc. (SLAIS)			
129	procedural context	The business procedure in the course of which the record is created. (InterPARES)			
130	procedure	The manner and steps in which some action is taken. (SAA)	procédure (m.c.)		
131		In general, the body of written and unwritten rules governing the conduct of a transaction, or the formal steps undertaken in carrying out a transaction. In particular, the legislative machinery set up to carry out a given transaction. (SLAIS)			
132	process	A series of motions or activities in general carried out to set oneself to work to accomplish the formal steps of a procedure. (SLAIS)	processus ou protocole (m.c.)		
133	process control	The management and oversight of actions taken on records in a records center or archives. (SAA)			
134	processing	The arrangement, description, and housing archival materials for storage and use by patrons. (SAA)	Traitement	Ensemble des procédures et des opérations d'organisation, tri, classement, description et conditionnement d'archives. (PIAF) / Procédures et opérations de tri, analyse, classement et inventaire d'archives (CIA)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives ébauche.

	A	B	C	D	E
135		2. The steps taken to make the latent image on exposed photographic or microfilm materials visible; see archival processing. (SAA)		Traitement de matériaux photographiques impressionnées, en vue de faire apparaître l'image latente. (CIA)	CIA Dictionnaire terminologique du Conseil international des archives (ébauche)
136		3. Computing • The machine execution of instructions in a computer program. (SAA) <i>Notes : Some archives include accessioning as part of processing.</i>			
137					
138	program provenance	A function or activity of an organization. (SAA) The person(s), family (families), or corporate body (bodies) that created and/or accumulated and used records in the conduct of personal or business life. (RAD)	programme (m.c.) Provenance	Personne physique ou morale responsable des documents créés et/ou accumulés et utilisés dans le cadre de ses activités ou fonctions. (RDDA) / La relation entre des documents et les organisations ou les individus qui les ont créés, reçus et utilisés dans le cadre de leurs activités. (ISAD(G)/ISAAR)	
139					
140		1) The origin or source of something. (SAA) 2) Information regarding the origins and custody of an item or collection. (SAA)		identifie l'organisme producteur ou créateur des archives ou l'organisme qui lui a succédé. (PIAF)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
141					

	A	B	C	D	E
		<p><i>Notes : Provenance is a fundamental principle of archives, referring to the individual, family, or organization which created or received the items in a collection. The principle of provenance or the respect des fonds dictates that records of different origins (provenance) be kept separate to preserve their context.</i></p>			
142					
143		The organization or person creating a fonds. (SLAIS)			
144	provenancial context	The creating body, its mandate, structure, and functions. (InterPARES)			
145	record (also archival document)	A document made or received in the course of the conduct of affairs and preserved. (RAD)	Document		Toute information consignée. (RDDA)
146		1) A written or printed work of a legal or official nature that may be used as evidence or proof; a document. (SAA)			
147		2) Data or information that has been fixed on some medium; that has content, context, and structure; and that is used as an extension of human memory or to demonstrate accountability.(SAA)			
148		3) Data or information in fixed form that is created and received in the course of individual or institutional activity and set aside (preserved) as evidence of that activity for future reference. (SAA)			Document, quel que soit sa date ou sa nature produit ou reçu par une personne ou un organisme pour ses besoins ou l'exercice de ses activités et conservé pour sa valeur d'information générale. (RDDA)
149		4) An instrument filed for public notice (constructive notice); see recordation. (SAA)			
150	record group (also archive group)	A collection of records that share the same provenance and are of a convenient size for their administration. (SAA)	Fonds d'archives		Ensemble de documents de toute nature réunis automatiquement et organiquement, créés et/ou accumulés et utilisés par une personne physique ou morale ou par une famille dans l'exercice de ses activités ou de ses fonctions.

	A	B	C	D	E
151		A body of organizationally related records established on the basis of provenance with particular regard for the administrative history, the complexity, and the volume of the records or archives of the organization concerned. Collective and general record groups represent modifications of this concept for convenience in arrangement, description, and reference service. (SLAIS)			
152	respect des fonds	The principle that the records of a person, family, or corporate body must be kept together in their original order, if it exists or has been maintained, and not be mixed or combined with the records of another individual or corporate body. (RAD)	respect des fonds	Principe fondamental de l'archivistique, selon lequel chaque document doit être maintenu ou remplacé dans le fonds dont il provient, et dans ce fonds à sa place d'origine. (DAF)	DAF = Outil terminologique de la Direction des Archives de France
153		The principle of the arrangement of archival material that fonds of different provenance should not be intermingled. (SLAIS)			
154	respect for original order, principle of	The principle that archival documents should be maintained in the same order or arrangement given to it by the creator so that the relationships among its components and the evidential significance of documents are preserved. (SLAIS)	Respect de l'ordre primitif / originel	Principe consistant, au sein d'un fonds d'archives, à maintenir intact ou à le restaurer le classement interne des documents qui le compose établi par le producteur. Ce principe découle du respect des fonds. (DAF)	DAF = Outil terminologique de la Direction des Archives de France
155	restoration of original order	also perfecting order ~ The process of returning materials to the organization and sequence established by the records' creator. (SAA)			

	A	B	C	D	E
156	series	(Archival) 1) Level of description. (RAD)	Série	Division primaire d'un cadre de classement. (PIAF)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
157		(Archival)2) File units or records within a fonds arranged systematically or maintained as a unit because they relate to a particular function or subject, result from the same activity, have a particular form, or because of some other relationship arising out of their creation or, arising out of their receipt and use. (RAD)		Ensemble de pièces ou de dossiers de même nature à l'intérieur d'un fonds d'archives. Dite aussi série organique. (PIAF)	PIAF = Glossaire du Portail international archivistique francophone / CIA Dictionnaire terminologique du Conseil international des archives
158		A group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity; a file group; a record series. (SAA)			
159		1) Documents arranged systematically or maintained as a unit because they relate to a particular function or subject, result from the same activity, have a particular form, or because of some other relationship arising from their creation, receipt, or use.(SLAIS)			

	A	B	C	D	E
160		2) A group of record items, either controlled by numbers or other symbols or not, which result from the same accumulation, are subject to the same processes and procedures of organization, or have similar physical shape and informational content. (SLAIS)			
161		3) A grouping of documents within a fonds created to accomplish one function. (SLAIS)			
162	series descriptive system	A technique of creating finding aids using the series1 as the primary level of control, rather than the record group or fonds. (SAA)			
163		<i>Notes : The series descriptive system is intended to maintain control of series over time. It was first widely adopted in Australia in response to frequent administrative changes and the consequent existence of multi-provenance series. (SAA)</i>			
164	series system	A method of administrative control and intellectual control of archives based on separate and linked descriptions of creators and series designed to cope with the effects of administrative change and the existence of series having more than one creator and/or controlling agency. (SLAIS)			
165	sous-fonds	A subdivision of a fonds based on the structure of the creator or the organization of its activity. (SLAIS)			
166	subgroup	A body of related records within a record group or collection, each corresponding to an administrative subdivision in the originating organization. (SAA)			
167	subseries	A body of documents within a series readily distinguished from the whole by filing arrangement, type, form, or content. (SAA)			

	A	B	C	D	E
168		1) A body of documents within a series readily identifiable as a subordinate or dependent entity on the basis of the classification or filing.(SLAIS)			
169		2) A grouping of documents separately identifiable within a series by reason of form or organization which issue from the accomplishment of one activity of a creator. (SLAIS)			
170	successor	1) An individual or organization that assumes the position, role, or functions of a predecessor. (SAA)	successeur (m.c.)		
171		2) An organization that assumed the mission or program areas of a predecessor organization. (SAA)			
172	technological context	The characteristics of the technical components of an electronic computing system in which records are created. (InterPARES)			
173	textual records	Written records, whether handwritten, typescript, published, or generated by other means, which are accessible to the eye without the aid of a machine. (RAD)	Document textuel.	Document écrit comprenant le document manuscrit, le document dactylographié et le document imprimé par ordinateur. (RDDA)	
174		A general classification of records with content that is principally written words. (SAA)			

# INVITATIONAL MEETING OF EXPERTS ON ARRANGEMENT FINAL REPORT

## Appendix D

### A Bibliography of sources related to Archival Arrangement from Five Major Archival Journals

Compiled by Bert Riggs (2001)

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