

University of California Archivists Council (UCAC) Meeting Minutes, 25 April 2001 UC Berkeley

Agenda Items

1. Welcome and introductions
2. Approval of the agenda
3. Housekeeping
4. Campus announcements
5. UC Records Management Committee (RMC)
Report on January & April 2001 meetings
6. UC Electronic Records Management Proposal
Discussion
7. UCAC "Policies for Administration of University of California Archives"
Review of final draft, recommendations for distribution
8. Society of American Archivists (SAA) "Guidelines for College & University Archives"
Discuss possible applications of SAA Guidelines to UCAC goals and practices
9. Suggested future agenda items
 - a. develop UC thesaurus
 - b. develop collection guidelines for UC faculty papers
 - c. standardize application of OAC Best Practices (OACBPG) to UC archival records
10. Schedule fall meeting

Notes on the meeting

Present were Bill Roberts of UC Berkeley, John Skarstad of UC Davis, Jennifer Jacobs of UC Irvine, Charlotte Brown of UCLA, Sheryl Davis of UC Riverside, Brad Westbrook of UC San Diego, Deborah Day of Scripps Institution of Oceanography at UC San Diego, David Gartrell of UC Santa Barbara, Rita Bottoms of UC Santa Cruz, and UC Records Management Committee Liaison to UCAC Connie Williams.

Meeting began shortly after 9:30 am. All present agreed to a quick vote on final draft of the document referenced in agenda item #7, "Policies for Administration of University of California Archives." Final draft approved unanimously, contingent upon slight typographical alterations.

1. Welcome and introductions

Two new UCAC members--Jennifer Jacobs of UC Irvine and David Gartrell of UC Santa Barbara--were welcomed and introductions were made by all members.

2. Approval of the agenda

Agenda approved unanimously.

3. Housekeeping

Dinner plans set for Lalimes at 6:00 pm. David Gartrell agreed to take meeting notes, and to transcribe those notes as well as notes taken by Dave Tambo during the two 1999 UCAC meetings. UCAC website to be updated as follows: addition of new members to roster page, removal of non-current members from same page, addition of links to Connie's RMP documents and to the UC records management listserv (RECMAN-L). UCAC members who are not subscribed to RECMAN-L to be added. Non-current members to be removed from UCAC listserv pending their approval.

Charlotte Brown currently working on finalization of RMP statement and its inclusion on the UCOP website. RMP presents key elements and will be displayed as subset of business and finance bulletins. Suggestion made to bring it "higher" in the website, as clientele will need to refer to documents for definitions, copyright statements, etc.

4. Campus announcements

UC Santa Cruz

LA-IV Carol Champion has retired; her position has been filled by Paul Stubbs. This is a position which includes much work with university archives.

UC Riverside

New HOSC/University Archivist Melissa Conway begins work on May 14. Special collections library will be moving back to the 4th floor of the Rivera Library around the 2nd week of July. Gorgeousness expected. Also involved in a collaboration with the California State Library to develop a state preservation plan. Products will include a website, brochures, a listserv. Emphasis will be on providing information to school and public libraries.

UC Berkeley

A petition has been sent to the offices of the president and the chancellor to support a new LA position for archives; neither have responded. The UC history website should be moved to the Sunsite pages soon. The site is currently incomplete; some sections of the centennial record are included, and plans exist to add searchable "in memoriam" pages to follow the arrangement of the books (alpha by volume), as well as regents' minutes. (What to do with old longhand notes?) Bill met with Connie re: new forms of records management.

RMC

Plans for a "road test" of records management retention schedule guidelines and survey (?) of equipment history. Outdated schedules are biggest constraint. Website a possibility? Connie described her primary responsibilities: identifying "choice" materials (central correspondence, collections of President's office); capturing correspondence proactively by opening mail for ~ 30 senior executives; assessing, scanning, indexing. (Although the indexing is now full-text, there is a disused hierarchical thesaurus with 2000+ main terms, last updated in 1993. More on this later. [News from Connie: database exists in electronic format!]) Use of her office's product is limited due to interest and software licensing restrictions. There is a staff of 10. Collections are arranged by UC president.

UC San Diego

The Records Management Council recently reconstituted at late March kickoff meeting. It is chaired by the campus comptroller, and consists of 8-10 core members plus approximately 20 consultants. A goal is to complete a records inventory of the campus, i.e., to answer questions such as, Who are the records managers? What records are out there?

Brad is a member of the latest SOPAG Task Group, the Digital Preservation and Archiving Committee. (See <http://www.slp.ucop.edu/sopag/dpaccharge.html>.) The first meeting will be held May 14 at UCLA. There's also a database-integration committee. [Subcommittee of DPAC?]

UC Davis

Search for new HOSC continues. A few details given re: numbers, pace of process. May 3 to be "power outage day." Text of history of campus has been written; they are now culling photographs (approx. 300, ca. 1905-1995, only works-for-hire) for the book, which greatly expands the centennial record. Images may go on the web. No publisher yet, book is due in the summer.

UC Santa Barbara

New university archivist is David Gartrell.

UCLA

Document prepared by Gloria Werner, citing YRL's slip in ARL ranking, will ask for restoration of funds lost through budget cuts. Special collections may be reunified, with one service point for university archives, oral history, special collections. Special collections reference requests have been on the rise.

Genie Guerard, formerly on soft money, became permanent digital manuscripts librarian in January, reporting to Anne Caiger. She will also be project manager for California Cultures OAC grant.

All five UCLA special collections collaborating on a processing manual, to be based on Brad's, Michigan's, MIT's, etc.

UCLA in collaboration with David Farneth, new Getty Foundation archivist.

Still no oral history head. New full-time cataloger for special collections; focus is on clean-up.

SIO

Preparations for 2003 centennial, which include a course on the history of oceanography, are underway. Alumni database being planned, which would collate information from the three different degree-conferring institutions in SIO's history.

UC Irvine

New university archivist is Jennifer Jacobs. Carrie Lee, new archives assistant.

University archives to move across campus, resulting in one service point for special collections and university archives.

5. UC Records Management Committee (RMC) Status report on January & April 2001 meetings

Situation: From 92/93, nothing done to RMPs, foundation documents. Function moved around, committee resuscitated about 1.5 years ago. Meetings are being held to keep project going. (< 1 FTE!) Connie is ca. 20% for this job on the books, however she estimates 60-70% of her actual time through this calendar year. Policies of early '90s need reengineering for new staff. Focusing on the UCOP/Policies RMP-1, University Records Management Program, and RMP-2, Records Disposition Program and Procedures.

Good progress on RMP-1, pretty good progress on RMP-2. A lot of "tinkering" going on; situation frustrating. There's an anxiousness for a product. Who needs to approve it? Nobody knows. Lots of "process" questions. Meta Clow, policy specialist at UCSB whose duties also include university records management, has been doing some rewrites.

There was a session on authentication (digital certificates, PKI, etc.) led by David-----. PKI is Public Key Infrastructure, a set of rules and technology used to ascertain identity, authorship, etc., in a digital environment. Related, though, is a disappointing relationship with Verisign for a university-wide database. Also mentioned was the possibility of digital certificates for "notary" functions.

6. UC Electronic Records Management Proposal Discussion

Thanks extended to Bill and Brad for attending RMC meetings and Connie for her participation here.

A few sentences crystallized before Christmas, when a cross-professional task force-- auditors, IT people, records managers, archivists--met. Bob Zornado in attendance. UCAC charged Bob and Brad to attend RMC meeting. A subcommittee comprised of Bob Zornado, Pat Johnson (Records Manager at UCI) and Martha Winnacker was formed to write a problem statement (with Brad participating as "silent partner"). This statement was brought (with the proposal) to the March meeting of RMC and was discussed there for about 90 minutes. Good questions from Patrick Collins.

Ideas are needed on how to make the proposal more "urgent-sounding". (Bring in details, figures, anecdotes?) After some discussion, UCSD case-history (SD 1998 crisis) is to be added back to document, as the success of the committee in that instance was due to its cross-disciplinary nature.

Bob and Brad are passionate about this proposal. SD campus administration is enthusiastic and may forward it to UCOP. SOPAG wants a copy for 16 May meeting, contingent on approval by *this* committee (UCAC) for added weight.

SOPAG another possible avenue to UCOP (Beverlee French?). Phyllis developed three-pronged attack; one of these channels will likely prove successful. Recommend that SOPAG forward proposal to UCOP under their CDL umbrella.

Why SOPAG? Its nature is parallel to recent SOPAG charges. (Examples given.) Where is SOPAG in chain of command? Brief discussion. [It is: UCAC to CDC to SOPAG to University Librarians' Group.]

Could RMC forward proposal upwards? Part of Patrick's message was that mounting such a task force is not under the purview of RMC; although there is a lot of support there, there is no "champion." UCSD administrative vice chancellor out to UCOP? (Crossover with new business architecture with which UCSD's administrative vice chancellor was involved?)

Well-phrased cover note for suggested actions on part of SOPAG needed.

Brad to add, explicitly, relationship of task force to RMC and UCAC in regards to governance. Policy-making not to fall to task force.

Charlotte notes importance of adding authors and their affiliations to proposal, and possibly a mention of rotation of membership in task force.

Brad suggests all present look at draft with an eye for sharpening the language and making it more persuasive. He also notes that the problem statement was drawn from his and Bob's experiences at UCSD and B. of A., respectively. Most provocative recommendation is for small, lean, mean task force drawn from expert domains.

Model for point 5 is group at UCSD, where the 20 or so are "on call." Phyllis has seen this draft and says it is suitable for discussion at SOPAG. Focus now is on detail, revision, rhetoric--need to add urgency, need to "prod." Concerning mention of the SD crisis--need to not position this event as somebody "dropping the ball." (Reference made to Anne Gilliland-Swetland's comment that "any person who built a database knew they should have built a record management component and chose not to.")

Discussion:

Must keep in mind possibility of proposal being killed or morphed.
John notes need for examples of how it would be implicated at the individual campuses.
Problems at other UC campuses? In cover letter, not document.
Inter-PARES--cite in bibliography?
Mandate from William Campbell?
U of M has electronic records archivist now.
Get back to Brad before May 7--as early as possible.
Present to SOPAG as draft, not fait accompli?
No. They need to see a finished document.

Add to document:

Longevity of task force, governance, related to UCAC/RMC
Case studies
Cover letter (Charlotte to attempt)
Bibliography?

Ask SOPAG for: endorsement, assistance in establishment, forwarding of document.

Document has been "written with input from members of RMC" but not endorsed by the committee. Participation ensured by RMC if task force established.

Connie to write Charlotte officially (cc:ing RMC?) informing her of support. Cc: to HOSC

Population of committee is by no means "understood."

Appreciation extended from UCAC to Bob and Brad, et al., for initiative and effort.

**7. UCAC "Policies for Administration of University of California Archives"
Review of final draft, recommendations for distribution**

Forward to SOPAG, cc: Connie, HOSC, CDC.

Suggest SOPAG implement? It's an "FYI."

Jennifer will mark up, send to Brad to post on UCAC website.

Charlotte to distribute. Thanks extended to Deborah, et al.

8. Society of American Archivists publication "Guidelines for College & University Archives"

Discuss possible applications of SAA guidelines to UCAC goals and practices

See what we can use/reference for our own units and activities.

Is acceptance of a standard a guarantee of falling short of that standard?

Need for more hard numbers, real standards.

Dovetailing with "electronic archivist" standards?

General consensus: it's out there, it's available for us to use if needed.

9. Suggested future agenda items

- a. Develop UC thesaurus**
- b. Develop collection guidelines for UC faculty papers**
- c. Standardize application of OAC Best Practices (OACBPG) to UC archival records**
- d. UC Thesaurus**

A thesaurus with records management applications exists, as Connie mentioned. It was first written in 1983, nothing added since 1993. Cross-organized. AG used for coordination and review (policy office), etc. Genesis was with ERIC. Connie's office migrated records from 1984 on, text file exists for these. Types of documents, correspondents, proper names, subject terms, all contained.

Connie's database used up to 15 subject terms per document (item level). Indexers trained to use both general and specific terms. Has cross-references. Finally Regents' stuff migrated from VM mainframe to new system; now they do full text indexing with an executive summary.

Would updating and modifying this thesaurus be a good project for a library school intern?

How might we use?

- cataloging consistency
- database for photographs
- knowledge of terms if we need to find an item
- thesaurus for MELVYL records, common terms
- access guide for public
- what do we want to put in MARC records?
- cull general terms

- match topical terms with LCSH
- historical context

What was procedure for creation of new headings? Connie has the manual.

Suggestion that MELVYL records should have broader terms like "UC Archives," so public can concatenate all material on campus.

At SAA Kate Bowers from Harvard proposed a thesaurus for college and university archives, basically an update of Tatem and Rollison's thesaurus for MARC records, *Thesaurus of university terms developed at Case Western Reserve University Archives*. She is seeking approval of another way for MARBI to approve names for archives' use; apparently getting even generic terminology approved is difficult. Might we like to collaborate with her?

Metadata standards for electronic records will require a thesaurus.

Are records schedules terms' used in the thesaurus? This would be important only to ensure that there are no contradictions; completeness not necessary.

What to do with thesaurus? What do we want to contribute to Kate Bowers' project?

Start with genre terms?

Catalogers can use local genre terms.

Brad is the only one here who catalogs.

A system-wide consensus could help.

Could a library school student start it?

Connie will announce the idea to RMC, see if there is still an electronic copy. [The latest: there is.]

Get Kate Bowers's feedback. She was talking about 650 terms, and had a list of proposals, people she wanted suggestions from. What is her precise strategy?

RBMS has glossaries it uses, sanctioned by SAA.

[An aside: Photo collections, how arranged and described?

At UCB numbers are categories, e.g., Greek Theater = 1, Parklike = 2, etc.

Keep photos with record series or merge into miscellaneous photo series?

"Binder model," which should ideally be database with thesaurus.

Database at UCB for portraits, "campus events"; contains caption, date,

photographer if known.
UCLA has photo cabinets and photos which are kept with bio files.]

e. Collections guidelines for faculty papers

Yale gave great proposal of guidelines.

Shall we attach to #7 policy?

Can there be consensus? Can appraisal be codified?

CV & mugshot model for faculty whose papers are not accessioned.

Is this a HOSC issue?

Guidelines would be useful when turning down collections.

"Have you been contacted for research use?" = there's no demand.

Does one retain post-WWI reprints? Guidelines might be useful for their appraisal.

f. OACBPG

Consensus that they did a good job, but do the guidelines need modification or further standardization for full functionality when applied to archival records? Bill Landis, Brad, Brian Tingle, Robin Chandler, et al., to encode 10 finding aids to BPG guidelines and play with them to develop different functionalities, e.g., multiple views, browse lists, facsimile-level searching. A second level of functionality could be used to abstract data in a merge with similarly structured text such as TEI-encoded documents, and for the merging of images, data types, etc.

BPG--will there be one more review?

EAD working group meeting in DC to discuss about 70 modifications to DTD.

Fall 2001--come with ideas on this [focusing on data content, not coding?]

10. Fall meeting

[An aside: Charlotte recommends the annual conference ECURE, a multidisciplinary conference attended by lawyers, registrars, VPs, IT people, archivists, teachers, etc. ECURE 2001: Preservation and Access for Electronic College and University Records will be held October 12-13, 2001 at Arizona State University.]

Save 1 Nov for UCAC fall meeting at UC Riverside. Charlotte to alert HOSC chair.