

ArchivesSpace Appraisal Instructions

Appraisal Resource Records

General commentary

ArchivesSpace does not have a module dedicated to creating appraisal reports. To meet TSLAC's desire to create appraisal reports in ArchivesSpace, it was determined that the "Resources" module worked better for our needs than the "Accessions" module. Unless an in-house stylesheet is created in the future, information entered into the "Resources" module will export in the same order as an EAD finding aid. For this reason, the display of information in the report differs from the order found in the Records Series Review Form.

The [Appraisal Mapping.xlsx](#) spreadsheet acts as a cross-reference between the Word Record Series Review Form and data entry in ArchivesSpace.

How to create a new appraisal entry

1. Go to the Repository and select Review.
2. Locate the desired accession record through Browse.
3. If no accession record exists, one may need to be created. Check with Laura as an entry may be needed in the [Appraisal Spreadsheet](#).
4. Open a new tab in your preferred browser.
5. In the new tab, go to Create and select Resource.

*Required field

Basic Information

***Title:** Use creator name (agency, organization, family, person) followed by a description of the nature of the materials, as instructed by DACS 2.3.

***Identifier:** The identifier for materials that have not been accessioned is styled YYYY/### in first field. Add review as the suffix in the second field to display the identifier as YYYY/###-review.

The identifier for backlog appraisals is "TX#####" in the first field, "appraisal" in the second field, and a three-digit numeric code. Start with 001. The identifier displays as TX#####-appraisal-###.

***Level of Description:** Select "Series" for government records. Select "Collection" for most manuscript appraisals.

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***Resource type:** Choose from the drop-down list: State records, Papers, Local records, Artifacts. Papers encompass all private donations of non-government records (manuscripts, photographs, audiovisual materials, digital files), except for 3-D objects, which should be classified as Artifacts. Choose State records for all state government records of all formats. Choose Local records for all local government records of all formats.

***Language:** Select the most prominent language of the materials; "English" is the default. If other languages are present in the materials, select "Multiple languages" in this field and use "Notes: Language of Materials" to list other languages (or scripts) present.

***Publish?:** Tick this box when the Resource is ready to be exported as a report. An alternative approach is to select Publish All for the system to automatically tick each Publish? Box.

Restrictions?: Tick this box if restrictions may apply.

Repository Processing Notes: Leave this blank for appraisal resources.

Dates

***Label:** Choose Creation from drop-down list for most cases, to indicate these are the dates the materials were created. Other options may be used if the primary dates are the recordkeeping dates, or if a publication or broadcast date is applicable (DACS 2.4 and 2.4.3).

***Expression:** Enter a single date or single date range (DACS 2.4). Use one instance of Dates for Inclusive Dates (or Single) and another for Bulk Dates (if used). Use a Certainty value if date(s) are estimated. Enter date strings using multiple instances of Dates. Use "about" if applicable.

***Type:** Choose from the drop-down list. Always use either Inclusive Dates, or Single Date, for the materials. Enter Bulk Dates if easily determined.

***Begin:** If entering Inclusive Dates or Single Date, enter the earliest or only date of the material, as prompted, in YYYY, YYYY-MM, or YYYY-MM-DD

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format. BCE years are expressed as a negative number, e.g., -214 for 214 BCE (DACS 2.4.7-2.4.16).

***End:** If entering Inclusive Dates or Bulk Dates, enter the latest date of the material or its bulk, as prompted, in YYYY, YYYY-MM, or YYYY-MM-DD format. BCE years are expressed as a negative number, e.g., -214 for 214 BCE (DACS 2.4.7-2.4.16).

Certainty: Choose from the drop-down list if the date(s) entered are Approximate (dates are based on evidence but may not be definitive), Inferred (dates are not apparent but may be estimated), or Questionable (the date evidence appears to be potentially in error).

***Era:** Leave the default entry as "ce" (Common Era) unless the material dates from before the Common Era (before the year 1).

***Calendar:** Leave the default entry as "Gregorian" unless the material dates refer to another calendar (Julian, Hebrew, Islamic, etc.) and entering dates as such is approved by your supervisor.

Extents

***Portion:** Choose Whole from the drop-down list. Do not use Part for appraisals.

If the reviewed materials consist of both physical materials and electronic files, enter two instances of Extents, both as Whole portions, using cubic ft. for the physical materials and the appropriate digital extent for the electronic files. (See DACS 2.5.7.)

***Number:** Enter a number, using up to two decimal places if needed (do not use a zero for the second decimal place). For any amounts less than 0.1 cubic ft., use 0.05 cubic ft. Do not use a comma for numbers 1000 and greater.

***Type:** For Whole, always choose "cubic ft." from the drop-down list, unless the noting the digital extent. For electronic files, select the appropriate measurement (e.g., KB, MB). (See DACS 2.5.)

Container summary: The "Container Summary" field should only be used for added value (e.g., the number of photographs, volumes, electronic files, etc.). Use parentheses if the "Container Summary" field is utilized.

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Physical details: Include physical description of items not housed in a container, such as large artifacts. (See DACS 2.5.)

Dimensions: Include physical dimensions of items not housed in a container, such as large artifacts. (See DACS 2.5.)

Finding Aid Data

EAD ID: Leave blank for appraisals.

EAD location: Leave blank for appraisals.

***Finding Aid Title:** Enter “An Appraisal of [creator name]” followed by a description of the nature of the materials, as instructed by DACS 2.3. This field is used as the title of your report.

Finding Aid Subtitle: Leave blank for appraisals.

Finding Aid Filing Title: Leave blank for appraisals.

Finding Aid Date: Leave blank for appraisals.

Finding Aid Author: Leave blank for appraisals.

Description Rules: Leave blank for appraisals.

Language of Description: Leave blank for appraisals.

Sponsor: Leave blank for appraisals.

Edition Statement: Leave blank for appraisals.

Series Statement: Leave blank for appraisals.

Finding Aid Status: Leave blank for appraisals.

Finding Aid Note: Leave blank for appraisals.

Revision Statements

We will not be completing this section for appraisals.

Related Accessions

Use Related Accessions to link to the Accession record of the materials under review. If an accession record exists in ArchivesSpace, and is in the Review repository, select Add Related Accession. Enter portions of the accession title in the search bar. If the accession does not appear automatically, choose Browse. If the accession number is known, enter that number in the Filter by text search bar. If the desired accession is not found, it may be in another repository or has not been imported.

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Agent Links

***Role:** For each resource, create one Agent Links instance with Creator chosen from the drop-down list. Additional creators and sources are not necessary unless doing so provides needed context.

Title: This field will normally be left blank. It is for recording the authoritative title of a work by the creator.

Relator: Leave this field blank, unless Collector is appropriate to choose to further define the Role entry of Creator.

***Agents:** From the drop-down menu, browse for the LCNAF form of the Creator or Source name, if available. If the name does not appear in LCNAF yet, choose Create from the drop-down menu, make a selection (Person, Family, or Corporate Entity), and in the new Create Agent window that appears, complete the Dates of Existence, Name Forms, and Notes sections.

The following sections appear in the Create Agent window:

Basic Information: Leave the Publish field unchecked.

***Dates of Existence:** If known, enter birth/death dates in the Dates of Existence section, completing all fields (Label, Expression, Type, Certainty, Era, Calendar).

***Name Forms:** Enter the name as it appears in the materials or is understood to be correct from reliable sources, completing the required fields (Name Order, Primary Part of Name) and other fields only if necessary.

***Notes:** Add a Note (choose Biographical/Historical for Note Type field) and in the Text Content field, enter information for the Cataloger to use in creating a new authority for the name. Leave the Publish? field unchecked.

External Documents: If information helpful for the Cataloger is available in digital format, save the file to a folder for this accession (folder name = identifier number) at *F:\Archives\Collections_management\Accessioning\ArchivesSpace_External_Documents* and complete the Title and Location fields. Leave the Publish? field unchecked.

Subjects

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We will not be completing this section for appraisals.

Notes

The following appear when a new note is created:

Persistent ID: Leave blank; ArchivesSpace will assign.

***Label:** Enter the desired label. See individual fields below for the desired label. It is possible that a template can be created for the Review repository to autogenerate the appropriate note types with the proper label name.

***Type:** Select the desired note type. See the individual fields below for the desired type. Consult the Appraisal Mapping spreadsheet for a crosswalk of the field in the Records Series Review Form and its ArchivesSpace equivalent.

***Publish?:** Tick this box.

For backlog appraisal, all note fields are required. For incoming appraisals, provide information when known. Click the “X” button on the right side and confirm if a note field is not needed.

Some note types are repeated and will export in the order displayed. The fields noted with an asterisk are the bare minimum required for incoming appraisals.

***Processing Information:** Use “Appraised by” as the label. Enter the name of the appraisal archivist(s), month and year the appraisal was conducted. Other fields that indicate the archivist do not export.

Immediate Source of Acq.: “Accession Information” is the label used for this field. For backlog appraisals, list the accession number(s) of the materials under appraisal.

Accruals: Enter “Agency holdings” as the label. If this is a current series at the creating agency, provide the title of the series. Please contact the agency RMO and ask for the volume, dates, and format (paper, microfilm, electronic) of records at the agency.

Custodial History: Type “Agent contact” in the label field. Provide contact information for the appropriate person at the agency, typically the RMO. If the agency is defunct, it is okay to combine the Agency holdings and contact information into one Custodial History.

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***Custodial History:** Use either “Obsolete records series” or “Ongoing records series” as the label, depending on which is applicable. If ongoing, provide details regarding the series title and annual accumulation. If obsolete, note if it was replaced by a series on the schedule and give the title of that series.

Custodial History: Type “Gaps in records” in the label field. State all the gaps in the records where the records are unrecoverable; where the records are neither at the agency, in our holdings, or in the Texas Documents Collection. Typical gaps include alphabetical, numeric, and/or chronological.

Custodial History: Enter “Previous destructions” as the label. List or summarize, as appropriate, previous records destructions (located in the Agency Files). Do not be concerned about records destructions of scheduled records. Unless the schedule is wrong! Destructions may be documented with formal requests; you may find notes in our agency files; or, agency staff may report previous destructions; even hearsay should be documented here if the records are important enough.

***Scope and Contents:** To better match our DACS-compliant finding aids, the purpose and description fields are combined into one field. “Scope and contents” is the desired label for this field.

For ongoing records series, use present tense to describe the records; for obsolete records, use past tense.

The first portion of the scope and contents note is the function statement, which states the purpose of the records and why they are created or maintained. Include the particular program or law requiring these records if applicable.

The second portion of the scope and contents note describes the types of records (correspondence, minutes, agenda, reports, surveys, speeches, permits, applications, contracts, etc.); topics; when applicable, give the types of correspondents (e.g., the general public, licensees, state officials, federal officials); functions or activities resulting in the creation of the records; and the most significant topics, events, persons, places, etc., represented. This description applies to the records under appraisal. Do not attempt to describe records not under review (e.g., related archival records or Texas Documents Collection holdings).

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Include additional details if worth mentioning such as any indexes and finding aids that are required for access, underfilled or overfilled boxes, conservation or preservation commentary, and "problems" that are not noted in another field.

The amount of detail depends to some extent on the difficulty of the appraisal decision. However, since the Description is the basis for the scope and contents note of the finding aid it can be expanded for that use at this time. Consider your priorities.

For readability between paragraphs, type enter twice.

***Biographical/Historical:** At present, the biographical/historical note in the Agents module does not export in the appraisal report. Until this functionality is available, this note is required in the Resources module.

"Agency history" is the label for government records. Use "Biographical sketch" for manuscript collections.

If multiple biographical/historical notes are desired, create multiple notes. When creating an agency history for the appraisal report, be sure to state why the series was created and specific legislation, if any. As appropriate to the records being described, use relevant sections from your agency history. Be sure to cite the most specific statute applicable.

For readability between paragraphs, type enter twice.

***Arrangement:** Enter "Arrangement" as the label. State how the records are arranged (e.g., topically, alphabetically, chronologically, in reverse chronological order, by permit number). If multiple series are present, consider creating multiple reports.

Conditions Governing Access: Use "Conditions governing access" to document any barriers to access. Contrast this element with the Conditions Governing Use field that reports on whatever prevents or limits the use of the records after access is obtained.

If there is a date the restriction will be lifted, such as a legislator closed their communications for a set amount of time, use the Restriction End option.

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In the Local Access Restriction Type section, use “5 – Other” for Public Information Act restrictions. Use “3 – Restricted fragile” when the physical condition of the appraised materials affects access.

In the free-text field, include legal restrictions (statute, privacy); physical arrangement (“Requestor needs the permit number”); lack of documentation (“Codes used in raw data files are unknown.”), etc. If access to the record series is restricted by statute or regulation, it is necessary to state explicitly the source of the restriction. If applicable, provide details when there is a date the restriction will be lifted.

Conditions Governing Use: Use “Conditions governing use” to document any restriction that prevents or limits the use of the records. Contrast this element with the Conditions governing access element that reports whatever prevents access entirely. After access is granted, use may be limited by copyrights, film rights, trade restrictions; other restrictions on the right to reproduce, publish, exhibit, prepare derivative works; or otherwise use the records and/or their information.

Physical Characteristics...: Enter “Physical characteristics and technical requirements” to note any physical or technical characteristics that may affect the appraisal decision. Examples include obsolete mediums, need for specialized software to access information, presence of oversized materials, etc.

Related Materials: Type “Archival holdings of related materials” as the label. Use this space for a brief (agency, title, dates) or full description (from a finding aid) of our holdings of records from other agencies that are closely related to this series. Explain the relationship.

Related Materials: Use “Texas Documents Collection holdings” when noting related materials in this collection. Enter “U.S. Documents Collection holdings” when describing publications in this collection. List the title and date of publications. Include the edition if applicable. When the series is archival and sent to the Texas Publications Depository Program use this statement, “The archival requirement for this series is fulfilled by sending copies to the Publications Depository Program. The Texas Documents Collection holds [date to date].”

Repeat this field if publications exist in both the Texas Documents Collection and U.S. Documents Collection.

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Related Materials: The Publications and Internet pages fields on the Records Review Form are combined into one notes field. Enter “Publications and Internet pages based on records” as the label. Describe any publications or Internet pages based on the records under review. List titles, dates, editions, etc. for published materials in print and/or electronic form.

Related Materials: Type “Known related records in other agencies” as the label. The intentions behind collecting and reporting related records are to consider the related records in making the appraisal decision; to consider the series being described when appraising the related records; and, to add a cross reference to the related records in finding aids. Report here related records known to exist. Guesses you make or the agency may make about related records in other agencies or in federal agencies can be noted in the Appraisal Evaluation and Recommendation section. If there are no known related records, just say “No”.

***Appraisal:** If the series is on the agency schedule, report the specifics under the “Series data from agency schedule” label. If the series is unscheduled, but fits into a generic series, report the same specifics (that is, use the general retention schedule specifics), but under the “Equivalent series from state records retention schedule” heading.
Use the following fields (n/a is an acceptable answer):

Title:

Series item number:

Agency item number:

Archival code:

Retention:

For readability between paragraphs, type enter twice.

Repeat this note field if records under review fit into multiple retention schedule series (rare).

***General:** The appraisal notes appear in the middle of the exported report. To ensure the appraisal evaluation and final decision appear at the end of the report, the General note type is used.

Enter “Appraisal evaluation and recommendations” to provide the exact reasons why and why not these records should be archival; give both

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sides. As documentation of our appraisal decision, this section is extremely important. We want to be able to prove that all rational arguments for and against permanent retention were presented and considered. Then, state your appraisal recommendation. It is perfectly acceptable, although not frequently expected, for you to feel unable to make a decision.

Records documenting major agency functions are generally archival. There can be a problem however with the determination of what is a major agency function. Provide documentation in the form of agency statements in their strategic plans, budgets, or significant documents that confirm that the status of the function that the records are documenting is indeed major.

If your decision includes instructions or advice to the agency for changing its retention schedule or records-handling procedures, we are cautioned by the State and Local Records Management Division to be specific, clear, and simple. It also encourages us to offer techniques to the agency to accomplish the decision. For instance, placing minutes files in a clearly marked container for yearly transfer.

When it is our decision that an "R" or an "A" archival code be removed from a schedule, we will request that the agency add in the comments column, "Archival Review code removed subsequent to appraisal by the Archives and Information Services Division, Texas State Library and Archives Commission, (date)." Or "Archival code removed."

When preparing the evaluation and appraisal recommendation, you may state qualms or personal opinions.

For readability between paragraphs, type enter twice.

***General:** The appraisal notes appear in the middle of the exported report. To ensure the appraisal evaluation and final decision appear at the end of the report, the General note type is used.

Once a decision is agreed upon by the appraisal committee (and state archivist, if necessary), create a note to document the final decision. The label is "Final decision." Remove any qualms or personal opinions from the final decision. For incoming appraisals, include the newly established accession number for cross-reference purposes.

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External Documents

***Title:** Enter the title of the External Document or a brief descriptive title of one or more categories of External Documents that exist at the Location entered below.

***Location:** Enter the file path for the External Document or the folder path to where multiple External Documents are saved on the ARIS shared drive. If the location is a URL, a live Document Link will appear as the next field after the Resource record is saved. Clear any live Document Links with a supervisor to confirm that no restricted information is contained in the document and that it is cleared for public use. The file path will usually be a folder named with the accession number, saved at:
F:\Archives\Collections_management\Accessioning\ArchivesSpace_External_Documents]

Publish? Checking this box will make the file or folder path or URL viewable in the public interface. If a file is intended to be shared with the public, it can be uploaded to the TDA and the Document Link will be a URL.

Rights Statements

We will not be completing this section for appraisal. Enter any applicable Access and Use restrictions in the appropriate fields above.

Instances

We will likely not use this section for appraisals.

Deaccessions

This information is tracked in the Accessions Module.

Collections Management

(This section will be addressed at a later time.)

Processing Priority:

Rights determined?

Processing Plan:

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Processors:

Processing hrs/unit Estimate:

Processing Total Extent:

Extent Type:

Total Processing Hours:

Funding Source:

Processing Status:

Classifications

We will not be completing this section for appraisals.

Additional Accession Data

Accessioned: Leave this box blank for appraisals.

Deaccessioned: Tick this box if the records under review has been entirely deaccessioned.

***Awaiting appraisal:** Tick this box until the appraisal is complete.

Date accessioned: Leave this field blank for appraisals.

TX number(s): Generally, leave this field blank for appraisals.

Received by: Leave this field blank for appraisals.

Accessioned by: Leave this field blank for appraisals.

***Location summary:** List call number range and location (stack-range-section-shelf) as they would appear in the locations database. Example:
2018/001-1 thru 18: 5-01-01-01 thru 06
2018/001-19 thru 21: 5-01-02-01

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For State Records Center locations, use the legacy 106 number, if available, or the legacy tracking number.

***Reappraisal notes:** **(Required if applicable)** For already accessioned materials that require reappraisal, enter details about the need for reappraisal here, and/or note that links to further information concerning the need for reappraisal are included in External Documents.

Function statement: Leave this field blank for appraisals.

Cataloged? This field will be completed by the Archives Cataloger.

Exporting an appraisal report

When the report is ready to be reviewed by the appraisal committee, select Export and then Print Resource to PDF. A new browser tab will appear. Search for the desired resource. Tick the Publish? box, unless the resource links to External Documents on the ARIS Drive. Select Queue Job to begin the export.

When ArchivesSpace has completed its processes, it will either note the job is complete in green or red. If green, click refresh page for the PDF to appear in the newly displayed Files section. If red, look at the log for clues on what caused the job to fail. Common problems include invalid and incomplete tags and unexpected use of a note field.

Review the exported PDF and make edits as necessary.

Next steps for agency files

Final PDF ArchivesSpace appraisal reports should be saved in the F:\Archives\Collections_management\Appraisal\ArchivesSpace appraisal reports folder on the ARIS drive.

Save all printed drafts of ArchivesSpace appraisal reports that have handwritten comments in either the accession file (if all or a portion of the records were accessioned as archival) or in a FY appraisal reports file for the agency (if multiple accessions were created for the appraised records, or if none of the records were accessioned). FY appraisal reports files are created as needed. Add an orange line at the top of the folder tab or label for those (see the color-code list for agency files on p. 2 of the [Agency Files Manual](#)). Markers are in the supplies cabinet in Room 323.

“Appraiser’s notes” is the folder title we use for any paper documentation you believe is necessary to keep for an appraisal in addition to the final appraisal report; a plain white label is used for those folders, or simply write the folder title in pencil (color-code is white, so no marker line needed on the

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folder tab). Make sure the Review-Accessions/Resources Identifier (and the accession number, if applicable) is associated with the notes so they can be matched up with the correct appraisal report.

Any other PDF drafts of appraisal reports (without handwritten notes) should be kept on your U drive for as long as they are useful. After the appraisal is complete, any electronic-only drafts may be slated for disposition.

Note: the folder F:\Archives\Collections_management\Appraisal\Appraisal reports - for Laura to review is to contain only Record Series Review appraisal reports that are pending Laura's review.

Next steps in ArchivesSpace

For incoming appraisals where all the records were deemed archival:

1. Look up the next available accession number in the Zavala repository. Write this number down and change to the Review repository.
2. Locate the stub Review->Accession record, likely created by Laura. Select edit mode.
3. Click the Spawn button, above the title, and select Accession.
4. On the new screen, use the next available accession number you looked up in step 1 as the identifier.
5. Save the new accession record.
6. Click the Transfer button, also above the title, and select Zavala. Click Transfer to complete the process.
7. Contact the stacks czar if new locations are needed.
8. Edit the indicator for any Instances that may have been created. Add Instances if none were created during the review process.
9. Update stacksread with revised new call numbers.
10. Do any desired data clean-up.
11. In the External Documents portion of the new accession record, link to the PDF saved: F:\Archives\Collections_management\Appraisal\ArchivesSpace appraisal reports.

For incoming appraisals where a portion of the records were deemed non-archival:

1. Follow the deaccessioning instructions found in the ArchivesSpace accessioning instructions.
2. If a portion of the records were deemed archival, now follow the instructions for incoming appraisal where all the records were deemed archival.