



# **POLICY**

## **SUBJECT AREA: ARCHIVES**

**Last Updated: July 30, 2018**

**Version 1.2**

**This document supersedes all previous policies and directives relating to the above subject area**

**B&O Railroad Historical Society**

**Author: Nicholas Fry and Al McEvoy**

**Table of Contents**

**CHANGE AND ACCEPTANCE LOG .....3**

**1.0 INTRODUCTION .....4**

**2.0 ARCHIVES MISSION.....4**

**3.0 ARCHIVES COLLECTING POLICY AND OPERATIONS.....4**

3.1 COLLECTING POLICY .....4

3.2 COLLECTING OPERATIONS.....5

**4.0 ARCHIVES DE-ACCESSIONING POLICY AND OPERATIONS .....5**

4.1 DE-ACCESSIONING POLICY .....5

4.2 DE-ACCESSIONING OPERATIONS.....6

**5.0 ARCHIVES STAFF ORGANIZATION .....6**

**6.0 ARCHIVES VOLUNTEER EXPECTATIONS.....6**

**7.0 ARCHIVES FACILITY OPERATIONS .....7**

**8.0 ARCHIVES ACCESS .....8**

**9.0 REFERENCE OPERATIONS .....9**

**10.0 COPYRIGHT AND USE POLICY.....9**

**11.0 INDEXING AND CATALOGING POLICIES.....9**

**12.0 ARCHIVES EQUIPMENT .....10**

**13.0 ARCHIVES SOFTWARE .....10**

**14.0 ARCHIVES CONTACT INFORMATION.....10**

**A.0 APPENDIX .....12**

A.1 POLICY FORMS AND TEMPLATES ..... 12

### CHANGE AND ACCEPTANCE LOG

DATE	AUTHOR(S)	DESCRIPTION
September 2016	Nick Fry, Al McEvoy	Version 1.0 – Initial draft.
1/16/2017	D. Allen Young	Version 1.1 – Reformat to standard policy template
2/25/2017	D. Allen Young	Version 1.2 – Modified Change Log page to Change and Acceptance Log, dropped separate Acceptance (signoff) page from Appendix

## 1.0 INTRODUCTION

The Baltimore and Ohio Railroad Historical Society (“Society”) has been in existence since 1979. This policy document is designed to help it continue to exist well into the future. Our Society’s mission is to preserve the documentary and visual history of America’s first common carrier railroad, the Baltimore and Ohio, and to educate the public about this rich history. The Society will do this by maintaining an archive of material available for researchers and the public, as well as publishing a quarterly magazine and other material about the Baltimore & Ohio Railroad.

This document is intended to provide guidance to all current and future leaders of the B&O Railroad Historical Society on the operation of our Society’s archives. It is not to be considered a document written in stone, but rather a living document that can be amended and edited as times change.

In addition to practical information about how the facility operates, this document will also provide policy guidance on archival best practices as they pertain to the Society and its archives. Forms, where they are needed, are also provided for use.

The individuals who have worked and contributed to this document hope that you the reader find it useful and helpful in answering questions as you continue to carry out our mission.

Sincerely,  
The Volunteers and Members of the Baltimore and Ohio Railroad Historical Society

## 2.0 ARCHIVES MISSION

The mission of the Society Archives is to collect, preserve and make accessible the documentary and audio-visual records of the Baltimore and Ohio Railroad (1827 to 1987) and the historic property of the railroad.

The archives carries out this mission by collecting and maintaining an archive of literary, documentary, visual, audio and audio-visual material about the B&O Railroad, its affiliates, predecessors and successor railroads.

This material is accessible to Society members, researchers and the general public via reference requests or in-person visits to the archives.

## 3.0 ARCHIVES COLLECTING POLICY AND OPERATIONS

### 3.1 *Collecting Policy*

The Society Archives will seek out for acquisition or accept donations of or acquire when necessary books, serials documents, images, audio recordings, audio-visual recordings of the B&O Railroad, its affiliates, successors and predecessors. This includes material

about the historic property of those entities both in the past and as it exists in the present day.

Material relating to other railroads may be accepted at the discretion of the archivist based upon the historic value of the material, the material's relevance to the Baltimore & Ohio Railroad and the rarity of the material.

The Society Archives reserves the right and at times must review its collection and de-accession material that is not relevant to the Society's mission and the mission of the archives.

Materials may be declined if they do not meet the criteria for acquisition outlined above.

### ***3.2 Collecting Operations***

The Society Archivist has a set budget to acquire new material for the archives and, accordingly, is entrusted to spend this budget wisely. Other items are donated to the society, and proper acknowledgement is to be provided to the donor.

When donations arrive, donors should receive a Deed of Gift form (see Appendix A.2 for template) for their records. The form will provide a place to record contact information for the donor, the date the material was donated, a place for the donor to sign acknowledging that this material is given to the Society and a place for a society representative to sign acknowledging receipt of the material. The form will have space for a brief description of the donation; additional sheets can be attached providing still more descriptive information about the donation.

One copy of this entire package will be given donors for their records.

One copy of this entire package will be retained by the Society for its records.

Per current IRS regulations (as of 11/20/15) the Society CANNOT appraise the donation. That must be arranged by the donor and at the donor's expense.

## **4.0 ARCHIVES DE-ACCESSIONING POLICY AND OPERATIONS**

### ***4.1 De-accessioning Policy***

From time to time it may be necessary to de-accession material from the archives because of duplication or irrelevance to the archive's and Society's missions. Only material that has no relevance at all or is a duplicate or triplicate of material already in the archives is to be considered for de-accessioning. Media types that are no longer supported can be de-accessioned if the material is available via a currently supported media storage and playback format. The frequency and scope of this process is up to the judgement of the Society Archivist.

#### **4.2 De-accessioning Operations**

When material is de-accessioned, it should be disposed of in the following manner:

1. Review records to see if the donor forbade its deaccessioning. Check the donor deed of gifts, and if there's a restriction on the Society getting rid of it, the material must be kept.
2. Every effort should be made for the material to be given to another non-profit educational institution that would collect that material as part of its mission.
3. If no other 501(c)(3) organization wants the material, it is to be transferred to the Company Store for sale to benefit the Archives.

### **5.0 ARCHIVES STAFF ORGANIZATION**

The Archives operation is run by the Society Archivist. Nominally the Archives falls under the responsibility of the Vice President of Operations and the Society President.

The Archivist can also designate individual members in good standing who volunteer at the Society Archives to manage work sessions and other specific components of the Archives, such as the information technology aspect or reference operations. Those individuals may also be entrusted with the keys to the building and the necessary security access information after the Archivist has consulted with the VP of Operations and/or the Society President.

During a work session the Archivist or designee can assign tasks to members as required to accomplish the various goals and serve the Society's needs for a given work session. These duties can range from entering data, to handling reference requests, to scanning, to making a physical inventory of the collection, or to performing other duties that may be needed to ensure the functioning of the Society Archives.

### **6.0 ARCHIVES VOLUNTEER EXPECTATIONS**

Individuals who volunteer at the Archives are requested to abide by the following rules and guidelines. These guidelines are modeled after archival best practices and are designed to help protect the collection and make the working environment at the Archives as productive and welcoming as possible.

- No food and no drinks in an uncovered container are permitted in the document storage area or document work room.
- No archival material is to be removed from the building without permission from the Archivist, VP Operations, Society President or Archives Manager of the day.
- Archival material removed from the building must be inventoried and signed out by the responsible party and cosigned by the Archives Manager or Society officer

present. A copy of this document should be filed in the Archives until the material is returned.

- Volunteers are asked to sign in and out each day to help the Society track the number of volunteer hours contributed by our members.
- Volunteers not working on long term projects should check with the Archives Manager of the day or Archivist for direction during a work session.
- No Volunteer will work more than two hours on data entry work during a day unless they request to do so.
- Volunteers are to be compensated for the donation of their time with the ability to work on their own research requests for 2 hours a day during a work session.
- Volunteers will not be charged for scans made at the archives of historic materials, but they may be requested to provide the cataloging entry for the item in question.
- Volunteers are asked to follow the instructions and guidance of the Archivist or their designee on the proper handling of various media at the archives.
- Volunteers are encouraged to provide suggestions to improve Archives operations or the collection.
- Archives volunteers are requested to not encroach on the work space for other Society departments in the building (e.g., Company store), unless they have the approval of the Archivist, other department head or Archives Manager of the day.
- Archives volunteers are requested to take home all personal belongings that they bring with them to the archives.

## **7.0 ARCHIVES FACILITY OPERATIONS**

The Archives are to be opened by one of the Archives facility key holders. These individuals are responsible for arriving in time to open the building before the stated start time of a work session, unlocking all interior doors, setting the thermostat to the appropriate temperature, and other tasks needed to prepare the building for work.

The Archives Manager of the day will make sure that volunteers are able to do their work in the building and assist new volunteers or give volunteers who have completed existing tasks new projects to complete.

Any computer problems or work on repairing or updating hardware and software will be dealt with by the Archivist, Archives Manager of the day or their designate.

There will be a mid-day break for lunch during work sessions. Ordinarily archival workers will dine in an area like the auditorium where no archival material is to be found.

Operational needs such as processing reference requests, doing scanning and performing other work will be managed by the Archivist, Archives Manager of the day or their designate.

An Archives key holder will close down the building at the end of the work day, ensuring that any food waste is in trash cans outside of any document storage areas and that all volunteers have not left any personal items behind.

## 8.0 ARCHIVES ACCESS

- The Society Archives facility is accessible to members in good standing (as volunteers or researchers), scholars and professional researchers and members of the general public.
- Physical access to the building is currently limited to those times that the Society can staff the building to support researchers, or times when a key holder is available to open the building and support the researchers.
- Archives volunteers are requested to log their time on a sign-in sheet so we can note the contribution of their time.
- It is requested that researchers and visitors make arrangements in advance to use the Archives collection to ensure that the material they need is part of the Society's collection and that we are able to support their work with adequate staffing.
- Archives volunteers must sign the "Archives Sign-in Form and Policy Acknowledgement for Volunteers" form before they begin their work in the building. Archives visitors and researchers must sign the "Archives Sign-in Form and Policy Acknowledgement for Researchers" form before they begin their work in the building. (See Appendix A.2 for templates of these forms)
- Archives visitors and researchers may be assigned a volunteer to assist them personally with retrieving material and handling documents as needed.
- Researchers may access Archives material only in designated areas as determined by the Archives Manager of the day, Archivist, or their designate.
- If a visitor or researcher does not abide by the policies stated on the documents they may be asked to leave by the Archives Manager of the day, Archivist, or Society Officer in charge of the work session or research visit.
- If a visitor or researcher has a problem with an archives policy or a volunteer, the problem should be reported to the Society Archivist or a Society Officer. It is NOT the responsibility of the Archives Manager of the day or an individual volunteer to take the complaint. It is preferred that the complaint be made in writing to the Society via USPS or email. Email contact information for the Archivist, Officers and the Society's mailing address is to be posted in the lobby of the building for all visitors to see.



- Fees may be charged for certain operations and products generated by the archives. The price list will be posted in a public space for visitors to see.
- Exceptions to fees and policies may be granted upon request to the Society Archivist, Manager of the day or Society Officer as appropriate.

## **9.0 REFERENCE OPERATIONS**

- Reference requests can be sent to the Archives for research at a cost to the requester. These costs will be posted online, and when requests arrive, requesters will be advised that there is a charge for research.
- Reference requests that arrive via email are to be sent an acknowledgement that their question has been received and is being researched. Turn around is 30 days. Exceptions can be considered if staffing is available and the request has special merit to the benefit of the Society.
- Invoices will be sent to requesters for payment before the final material is sent.
- Requests will be tracked either electronically or by paper filing to show the amount of use the Society's Archives receives.
- Requesters will be advised that images from the collection may fall under copyright and it is their responsibility to secure the necessary permissions to publish them in a derivative work.

## **10.0 COPYRIGHT AND USE POLICY**

- Collections that are held by the Society and over which the Society has copyright, can be utilized for publications and derivative works after consultation with the B&ORRHS.
- Authors are responsible for the necessary permissions for use of copyrighted material that is in the society's archive but the Society does not have title to the copyright.
- The Society is governed by US Copyright laws.

## **11.0 INDEXING AND CATALOGING POLICIES**

- The Society will make every effort to index and catalog new collections as they arrive.
- Initial cataloging and indexing will be only detailed enough to provide the necessary information to donors regarding the tax status of their donations. Further work will be done as practicable or needed.
- Cataloging duties may be assigned to a team lead at the discretion of the Archivist. It will be the responsibility of the team lead to provide any necessary training and guidance on software, hardware and other systems used in the cataloging process.

- The team lead may also be tasked with providing rudimentary guidance on creating finding aids based on guidance and documentation provided by the archivist or the archivist may do this work in person.
- No volunteer shall be expected to work more than 2 consecutive hours at cataloging or indexing. They must be given a break either to move to another task or time to relax and decompress before resuming cataloging if they wish to continue to catalog.
- Indexing and cataloging standards to be used will be determined by the Archivist and team lead. Modifications will be made to established processes as needed to meet the Society's needs.

## 12.0 ARCHIVES EQUIPMENT

- Archives equipment will be maintained by a technical or Information Technology (IT) lead who may or may not be a direct report to the Archivist.
- Equipment acquisitions require consultation with the Society Executive Committee and may require a board vote if it exceeds appropriated funds for the purchase.
- Volunteers are asked to respect the equipment and report any problems to the Manager of the day, Team Lead, Archivist or a Society Officer for remediation.
- All archival equipment should conform to property tagging procedures currently enforced by the Society Treasurer.
- Modifications will be made to established processes as needed to meet the Society's needs.

## 13.0 ARCHIVES SOFTWARE

- At NO TIME will the Society Archives use pirated or unlicensed software. If unlicensed or pirated software is found, it is to be immediately removed.
- Software maintenance and purchasing is to be the responsibility of the Society Archivist or IT Lead.
- Any software patches or technical support issues are to be handled by the IT Lead or Society Archivist or another Society officer.

## 14.0 ARCHIVES CONTACT INFORMATION

- President \*
- VP of Operations
- Archivist.
- Archives Manager of the day 1 \*
- Archives Manager of the day 2 \*
- IT Lead \*
- Company Store Manager \*

[\* Denotes individual has key to the facility and can disarm security system]



## **A.0 APPENDIX**

### ***A.1 Policy Forms and Templates***

The following forms are to be used in conjunction with this policy document:

- Deed of Gift
- Archives Sign-in Form and Policy Acknowledgement for Researchers
- Archives Sign-in Form and Policy Acknowledgement for Volunteers