

**Daughters of Charity of Saint Vincent de Paul**  
**Archives of the Province of St. Louise (APSL)**

# *Archives Manual*

## *Policies and Procedures*

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## **POLICY 1. MISSION AND VALUES**

The Daughters of Charity Constitutions and Statutes states: "The Archives establish a link with the past and contribute to maintaining the continuity of the spirit of the Company. Their preservation is to be assured at all levels: Local, Provincial, and General." The Archives of the Province of St. Louise contributes to this mission by preserving records of enduring historical value, by promoting the life and work of the founders (St. Vincent de Paul, St. Louise de Marillac, and St. Elizabeth Ann Seton); by promoting the Community's works, past and present; and by making our collections available in traditional and digital formats for research.

The *Constitutions* (2004) highlight the value of Archives for the Company of the Daughters of Charity and mandates the collection of Archival materials and "their preservation is to be assured at all levels: Local, Provincial, and General." (S 76)

The Archives of the Province of St. Louise of the Daughters of Charity (APSL) is located on the campus of the National Shrine of St. Elizabeth Ann Seton. The collection consists of records, whatever their date, form, style, contents and supporting materials. It also contains artifacts produced by the individuals and the spiritual or temporal actions since the foundation of the Sisters of Charity of Saint Joseph's and the various stages of the Company of the Daughters of Charity in the United States:<sup>1</sup>

1809-1850	Sisters of Charity of Saint Joseph's
1850-1910	Daughters of Charity, Province of the United States
1910-1969	Daughters of Charity, Eastern Province
1910-1969	Daughters of Charity, Western/St. Louis Province
1969-2011	Daughters of Charity, Emmitsburg (Southeast) Province
1969-2011	Daughters of Charity, St. Louis (West Central) Province
1969-2011	Daughters of Charity, Albany (Northeast) Province
1969-2011	Daughters of Charity, Evansville (East Central) Province
2011-Present	Daughters of Charity, Province of St. Louise

These records include those of the corporate entities of the above-named canonical Provinces of the community, including Council and Corporate minutes, committee minutes, business correspondence, contracts, reports, publications, legal, and financial documents. It also includes these same records for related missions and ministries owned in subsidiary to the corporate entity of the Daughters of Charity at various stages of the company in the United States that have been transferred legally to the parent organization.

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<sup>1</sup> Cf. Sister Lucie Rogé D.C., Superior General, and Rev. Richard McCullen, C.M., Superior General, "Norms for the Archives of the Company of the Daughters of Charity," (Paris: 27 March 1985). Hereafter cited as Norms (1985).

Other materials within the collection scope of the organization include accounts and records of ministries in which members of the community participate and personal papers and records of community members.

All records may be in multiple formats, such as manuscripts, photographs, rare books, audio-visual recordings, artifacts, textiles, and digital files. Records are acquired through donation, repatriation, or scheduled transfer.

### **Value-based Professional Practice**

APSL is maintained and supported by a set of beliefs and core values consistent with the mission and spirit of the Company of the Daughters of Charity as part of the Roman Catholic Church. At the foundation of Daughters of Charity Ministries are these core values: Respect, Integrity, Generosity, Unity. These values and beliefs give rise to certain convictions which influence the structures, policies, and relationships of the APSL in accord with the Society of American Archivists code of ethics and Archival principles promoted by the Modern Archives Institute of the U.S. National Archives and Records Administration.

The primary purpose of the collection is to serve the Council and the Province of the Daughters of Charity. Open collections of the Archives shall be available to outside researchers on-site. Based upon staff availability and feasibility of individual requests, research may be conducted remotely at the discretion of the Archivist. The Archives maintains its right and duty to protect the privacy of individuals, lay or religious, from violations of privacy or undue harm.

### Confidentiality

Whosoever, by virtue of the needs of the collection, processing, or from any use of the Archives by the Company, becomes acquainted with the contents, is held to maintain professional secrecy in what concerns all confidential questions or any restricted document, both during the use of the materials, service in the Archives, and thereafter (Cf. §3, §1 1, §14, *Norms*). "In the most sensitive cases, a rigorous respect for professional secrecy is the best guarantee against systematic destruction. Professional secrecy covers: in general, all confidential questions relating to the Archives or their content, in the jurisdiction of the administrative unit to which the central depot is attached [e.g., Province]; likewise all documents which cannot be communicated because of their nature, content, or date" (cf. §B 1, *Norms*, 3).

### Rights

The collection at Emmitsburg belongs to the Daughters of Charity Ministries, Inc., which retains legal ownership and copyrights where applicable. Regardless of the place in which they are kept, of their nature and their mode of preservation, the Archives of the Company are, and remain imprescriptible. The Provincial Archives are inalienable and may not be alienated or sold (§6, *Norms*; cf. Canon Law, C.638.3).

### Transfer

The transfer of Archival material elsewhere is related to the life or activities of the Province and is subject to the decision of the competent authority. (Cf. §7, *Norms*).

### Review

This policy shall be reviewed every two years.

## **POLICY 2: COLLECTION POLICY**

The Daughters of Charity Constitutions (2004) state the following:

The Archives establish[es] a link with the past and contribute to maintaining the continuity of the spirit of the Company. Their preservation is to be assured at all levels: Local, Provincial, and General. (S 76)

APSL is the official repository for all records of permanent historical value created or received by the Sisters of Charity of Saint Joseph's, the Province of St. Louise of the Daughters of Charity, and all predecessor Provinces of the aforesaid Province of St. Louise in the pursuit of its ecclesiastical and legal obligations. These predecessor organizations are embodied, canonically and legally, in the Sisters of Charity of St. Joseph's, Daughters of Charity Eastern Province, Daughters of Charity Normandy Province, Daughters of Charity Southeast Province, Daughters of Charity Northeast Province, Daughters of Charity West Central Province, and Daughters of Charity East Central Province.

These records reflect the development of the congregation, the conduct of its affairs as a corporation, and the personal lives of its members and those served through its various ministries. The primary purpose of the Archives is to the community in the conduct of its ministerial, canonical, and legal business. The secondary purpose is to make the records accessible for the purpose of the wider public, unless there are restrictions placed on the records by the donor or for reasons of privacy or sensitivity of the records.

In fidelity to the Constitutions and Statutes (576), and in order to fulfill the mission of the Archives, the Provincial Archivist, in consultation with the Visitatrix or a delegate, plans and implements educational programs for the Sisters, Local communities, and ministries about the importance of timely collection, preservation, and donation of historical materials to the Provincial Archives. This includes development of retention schedules and implementation measures to ensure that appropriate materials are delivered to the Archives.

### Scope of Archival Materials

The Archives of Province of St. Louise (APSL) is the official repository of the Daughters of Charity of St. Vincent de Paul of the Province of St. Louise and the Inter-Provincial Seminary of the Daughters of Charity in the United States.

It accessions, on a regular basis, the inactive records of the Provincial administration, sponsored ministries and works, Sister Servants (Local Superiors), Local communities, and Sisters serving in various capacities as members of the Province.

The collection contains materials pertinent to the missions and ministries of the Sisters/Daughters of Charity as well as records relating to members of the community. Materials within the collections include manuscripts, books, theses, blueprints,

newspaper clippings, reports, minutes, photographs, audio-visual materials, electronic media, artifacts, and born-digital materials. These materials reflect the internal development of the community, the conduct of its affairs as a corporation, the individual and personal lives of its members, and the ministries in which the Sisters have served with a particular emphasis on ministries the Province has founded and/or sponsored.

The contents are not limited to official papers of administrative offices, but encompass those materials of enduring value that assist in preserving the history, spirit, and charism of the community. The type of records APSL collects include: Policy statements, decisions and supporting documentation, annual budget and audit reports, agenda and minutes of meetings, annual reports, committee and task force reports, subject files concerning projects, statistical summaries, documents related to construction projects of sponsored works, press releases, digital and audio-visual materials documenting the missions of the Daughters, and correspondence and memoranda and agreements/papers created in the process of the Daughters of Charity carrying out their mission.

The acquisition of Archival materials is an ongoing process. Records of historical importance to the community and the Province may also be acquired, including the personal papers of Sisters, clergy, and prominent laity associated with our mission and ministries. The Archives may acquire published works relating to the history of the community, the Province or former Provinces, Sisters living in the Province and the locale in which they serve. These works may augment the use of APSL and provide context for documentary materials in the collection.

Gifts by those outside of the company of manuscripts, pictorials, artifacts, audio-visual materials, or printed collections relating directly to the history and works of the Sisters of Charity of Saint Joseph's and the Daughters of Charity of St. Vincent de Paul are welcome. The Archives staff should arrange these agreements through a Deed of Gift agreement or similar contract outlining the responsibilities of the donor and the Provincial Archives (see "Deed of Gift Form"). Other transfer of materials within the company do not require a deed of gift agreement but should be documented as transferred material.

#### Criteria for acceptance of donation

1. Community-produced documents such as:
  - a. The internal development of the community
  - b. The conduct of its affairs as a corporation
  - c. The individual and personal lives of its members
  - d. The ministries in which the Sisters have served with emphasis on ministries the Province has founded and / or sponsored
2. Relationship to the Province and Local communities, including
  - a. Non-current administrative records of Provincial administration
  - b. Sister Servants (Local superiors)
  - c. Local communities

- d. Sisters sent to serve persons who are poor in various capacities by the Province
- 3. Relationship to Sisters/Daughters of Charity:
  - a. Created by individual Sisters/Daughters, Local communities, or sponsored or inserted ministries
  - b. Owned, used or received by individual Sisters / Daughters of Charity
- 4. Completeness or ownership by the Province or by the donating party
- 5. Rarity or whether it fills a gap in the current Archival records
- 6. Privacy concerns as related to access or accessibility of materials

Materials may come in the following formats: Manuscripts, books, theses, blueprints, newspaper clippings, reports, minutes, identified photographs, audio-visual materials, electronic media, or artifacts. This list is not all-encompassing. The Archives has the right to decline materials which are significantly damaged, of a format which would require significant financial investment to be usable with modern technology, or of a size that would be un-houseable within the current facilities.

#### What is NOT included

- Active or semi-active records of the community or an active sponsored or inserted work
- Personnel records
- Generic materials on church history, including parishes and diocese without relationship to the Sisters / Daughters of Charity
- Unidentified photographs
- Generic old books and furniture, although SOME exceptions for period furniture can be made out of necessity and agreement with the Seton Shrine
- Mass produced reproductions on generic religious themes
- Plaques or trophies
- Relics lacking certificates of authenticity

#### Deaccessions

Records which are acquired by the Archives become the permanent property of the Archives unless they are deaccessioned, based upon re-appraisal by the Provincial Archivist. Records of all accessions shall be kept by the Archives. Materials may be deaccessioned if:

- Materials do not fall under this Collections policy or the Mission Statement
- Materials are damaged and unusable or pose a threat to other materials in the Archives
- Duplicate materials
- Inaccessible mediums and formats
- Materials determined to have little research value
- Materials with excessive or unreasonable access restrictions
- Materials with questions of authenticity

Deaccessions on large scales or of materials that may be particularly valuable should be undertaken with consultation of the Visitatrix or her designee. If materials are determined to be more suited to another Archival repository, materials may be deaccessioned and donated at the discretion of the Archivist and the Visitatrix or her designee.

The Archives reserves the right to make copies of records for preservation, research, and display purposes.

## ***POLICY 3: RECORDS MANAGEMENT AND RECORDS TRANSFER POLICY***

A records management program determines what records an organization has or should have, where they are, and how long they are of value; ensures that the records may be found quickly when needed; and that records are kept as long as they have functional value to the organization and not longer. Records management supports current business needs, protects rights and provides accountability, complies with record keeping laws, supports responses to special requests for information, such as Freedom of Information Act (FOIA) or discovery request, and supports the Archives collection program.

Records have a life cycle. When records are used on a regular basis, such as employee files, they are considered active, and remain in the office where they were created, such as the Human Resources office. When records are used infrequently – for example, retired employee files – they are considered semi-active, and can either remain in the office where they were created, or put into storage. At a certain point, when records are no longer needed and do not need to be kept for legislative purposes, they are considered inactive, and may be disposed of, or transferred to the Archives. This records management policy refers to inactive records **only**.

A records management program is composed of policies and procedures, records retention schedules, training programs and awareness campaigns, inactive record storage, and compliance audits. Records retention schedules include the following and may be updated based on NARA policies for standards:

1. Name of department, office or business function that creates the records
2. Name of records series
3. Description of records
4. Disposition instructions, including date
  - a. Destroy in office after X years
  - b. Send to offsite storage for X years, then destroy
  - c. Send to Archives for permanent retention

Certain portions of the Province currently employ a records retention schedule (Business Office Record Retention Policy). The business and Provincial office has an approved retention schedule, as well as certain sponsored missions and works. Sister Servants are also given a policy on Archival materials to send to the Provincial Archives (Community Policy 1.12). It is part of the duty of the Archives staff, in communication with the Visitatrix, any of her designees, the CFO, and Director of IT (in relation to electronic documents) to arrange for their inclusion into the retention policies of the company and that these policies are followed.

## Individual Types of Transferred Records

*Visitatrix and Provincial Councillors:* The Visitatrix and the Provincial Councillors should transfer all non-current, official records of their office to the Provincial Archives upon completion of their terms in office. These records include: any correspondence, electronic communications, reports, plans and files on the missions in the Province; and the complete record of commissions (advisory and *ad hoc*) and workshops in the area of responsibility, e.g., letter of appointment, all subsequent correspondence, speakers, etc., minutes of meetings, copy of handouts, etc., up to and including any final reports.

Records of the Provincial Council including agendas, minutes, correspondence and related documents should also be transferred to the Archives at the end of the term of office of the Visitatrix according to Code 5.7 of the *Guide for the Visitatrix and Provincial Council, 2010* (58).

During their term of office, anyone in Provincial administration may ask the Archivist to review a body of material and discuss what should be retained.

*Local Communities and Sister Servants.* The Sister Servant is responsible for preserving the records of the Local community and ensuring that the permanent records and the working non-permanent files outlined in *Provincial Guidelines, 1992* (9-12) are transferred to the Archives when a Local community closes. In addition, all records and important papers of a deceased Sister should be sent to the Provincial Archives in a timely fashion. The Archivist is available for consultation on these matters.

*Ministries of the Province:* Records created by the Sisters working in non-sponsored ministries are the property of the ministry and as such are the responsibility of the agency. They should be managed and preserved according to the record-keeping standards of that institution. These records are not the property of the Daughters of Charity and do not need to be transferred to the Provincial Archives. Copies of important records may be made for Archival purposes of the Province. However, if an agency does not have sufficient resources to maintain its historic records, arrangements can be made with the Provincial Archives to add them to the Provincial collection.

If a ministry is solely sponsored by the Daughters of Charity and does not operate under the auspices of another agency, arrangements should be made with the Provincial Archives to collect and preserve the records of enduring historic value from that ministry if that ministry were to dissolve. Any closing or transfer of ownership of this ministry should take into consideration the disposition of the ministry's records. Founding documents and records created in the nineteenth century through mid-twentieth century should be housed in the Provincial Archives of all works begun by the Daughters of Charity through such time as the Province relinquished sponsorship.

*Materials of Individual Daughters of Charity.* During their lifetime the vital records of individual Daughters of Charity are retained at the Provincialate in a secure space, including certificates of baptism, medical records, community entrance documents, etc. The Archives collects a "drop file" in the main repository consisting of events in a Sister's life, such as newspaper clippings, honors and recognitions, photographs, oral histories, writings, or published materials. The drop file should not be considered complete. A Sister may also donate materials to her own drop file, either before or after her death.

When a Sister dies, the vital records are transferred to the Provincial Archives once all medical and legal issues are settled. Typically, this happens within one year of a Sister's death. The two files are processed into an Individual Sister's folder. At death the collection of individual Sisters is processed. Archival materials collected include the following:

- Cemetery register
- Vital records such as birth, baptism, conversion, etc.
- Copies of wake service/funeral liturgy
- Death card
- Death certificate
- Education records and certificates
- Entrance paperwork
- Fiche (Historical/Personal Data)
- Latest jubilee letter from the Visitatrix
- Obituaries
- Personnel Data Summary (includes list of missions)
- Significant information / important accomplishments helpful in writing Sister's Life
- Parents baptism/marriage certificates, if available

Transferred records should be kept in as close to their original format and order as possible and labelled with their place of origin and any necessary information on creator, use, or dates. Appropriate restrictions on access can be placed on records based upon contents of records or any privacy concerns therein or with consultation of the individual responsible for the transfer.

Any transferred records may be in electronic format. For further information, see Policy 9: Electronic Records.

#### **POLICY 4: REFERENCE SERVICE**

All materials within APSL are private property of the Daughters of Charity Ministries, Inc. As such, use of the Archives and access to documents is a privilege, not a right. Researchers may request admission. The Provincial Archivist has the right to limit, refuse, and set guidelines governing use and/or temporary loans of any such original materials. (Cf §C1-3, *Norms*, 4).

Archival staff may respond to requests with material that is both processed and open without restriction. As a religious community, certain materials may be restricted to community-use or leadership-use only.

Requests for Archival information and materials will be acknowledged by Archival staff in a timely manner.

Requests for Archival material are tracked and stored appropriately.

Sensitive or classified information is not provided to anyone over the telephone.

Archival materials are made available to the researcher by the Provincial Archivist or the delegated representative.

All researchers conduct their research on-site under the Archival staff while working with APSL materials.

The Archives makes use of finding aids and research guides through their blog (<https://docarchivesblog.org/>) and through their public catalog through ArchivEra (<http://7001.sydneyplus.com/final/Portal/DOC.aspx?lang=en-US>). These guides may not show materials that are not fully open to public researchers.

Priority for all reference inquiries will be given, first, to leadership, and second to community members. Researchers who are not members of the community and must conduct research in-person must book an appointment during public hours and complete a Reader Registration Form before being granted access to documents.

Material may not be removed from the Archives, and no material will be loaned, except in the cases of a loan to another heritage institution for purposes of exhibition or for conservation.

Permission to study records does not extend to publication rights. Publication of material under copyright to Daughters of Charity Ministries, Inc. should be arranged with the Communications Department through submission of a Request for Permission for Use form. Although the Archives and Communications departments can provide guidance on copyright and use, it is ultimately the responsibility of the requester to determine who owns copyright and to locate the copyright owner.

## Restricted Materials

Archives staff may NOT violate laws related to privacy, court-sealed documents, documents under restriction per legal agreement, and documents protected under medical or HIPAA laws, or which divulge personal protected information (PPI). Access to other materials restricted due to community standards, rules, or norms may be granted after consultation with the Archivist by petition to the Visitatrix.

This should not be considered a comprehensive list. Collections and individual files may be restricted for a variety of reasons.

1. Orphan records may be restricted by state law for a specified time period or to individuals associated with a named individual.
2. Living Sisters' files, except to leadership and to the Sister herself.
3. Deceased Sisters' files prior to processing; information related to medical information or PPI may remain restricted.
4. Sisters who withdrew from the community. Exception will be made for the individual herself.
5. Provincial meetings or assemblies more recent than 100 years.
6. Visitatrix, Councillor, Director, Superior, Superioreess, or Community/Business meeting collections more recent than 100 years.
7. Records related to Local community meetings of the Daughters of Charity more recent than 100 years.
8. Collections related to community standards, policies, norms, or guidelines more recent than 100 years.
9. Board of Director meeting minutes from any institution owned and operated by the Daughters of Charity more recent than 100 years.
10. Legal agreements related to the community, Province, or sponsored work or institution more recent than 100 years.
11. Privileged community documents explicitly mandated not to be transmitted to outsiders.
12. Use of images of living persons should not be approved for publication without their consent. This includes images of children for 60 years after the image was

taken. Care should also be taken with photos of individuals in medical or compromising situations.

13. Documents which may contain recent address or telephone information for living Sisters.
14. Records which contain information about named individuals which may provoke retaliation or legal repercussion from a hostile group or government, including records related to migrants or refugees.
15. Records or collections otherwise restricted by agreement or by the Visitatrix or Council.

Archives staff may ask that ANY requests be submitted in writing, particularly if they address privileged or sensitive records.

### Transcripts

The Daughters of Charity Provincial Archives contains transcripts for Marillac College, St. Louis. Inquirers about a transcript must complete a Marillac Transcript Request form. The Archives may be consulted for the location of transcripts for other institutions; however, we will not be able to complete the transcript request.

### Printing, Copying, and Fees

There is no fee to access the Archives. However, the Archives may charge a fee for printing or copying. The Archives may refuse to copy Archival materials if the materials are oversized, fragile, or fall outside the fair use provisions of copyright law. Only Archives staff may make copies of materials using either a photocopier or scanner. Researchers may make personal use copies on-site using cameras or phones without flash after completing a Rules for Digital Camera Use Form.

### Rules for In-Person Researchers

All researchers from outside of the community must complete a check-in form acknowledging their acceptance of the below rules.

- All materials are non-circulating and must be used in the Reading Room.
- No food, drink, or smoking is permitted in the Reading Room.
- Researchers must leave personal belongings in one of the free, secure lockers located opposite the information desk. This includes coats, bags, carrying cases, briefcases, and purses.
- Cell phones may be brought into the Reading Room, but we ask that they be turned off so as not to disturb other researchers. If you need to make or receive a call, please do so in the main lobby.

- Personal computers may be used for note taking. If taking notes on paper, notes must be taken in pencil. Pens and highlighters are not allowed, nor are pressure sensitive notes, such as Post-Its.
- Materials are to be viewed one box at a time. Please take care to keep documents and folders in their original order.
- Archival materials must lie flat on the tables or on appropriate supports; do not place items in your lap or hold them up. Do not rest objects or take notes on top of materials. When needed, staff will provide weights, book snakes, cradles, and other supports. Staff will provide flags for marking pages.
- If a surrogate exists for a given item or collection (photocopy, digital scan, etc.), researchers are required to use the surrogate.
- Personal copiers and scanners may not be used. All photocopying and scanning will be done by Archives staff using Archives equipment.
- Personal digital cameras or phone cameras may be used to photograph materials with the flash turned OFF. See Archives staff for appropriate forms authorizing use of cameras and copyright notice.
- Researchers may request scans or copies from Archives staff. The first twenty pages of scans/copies are free. All additional scans will cost \$0.20 per page up to the first 100 pages. All subsequent scans will cost \$0.40 per page. Payment is due before release of scans/copies.
- Researchers will receive a signed invoice from Archives staff. There is no cost for scans/copies for members or affiliates of the Daughters of Charity, other religious communities, or those affiliated with Seton Heritage Ministries.
- Permission for any type of publication of Archival materials, including text, photographs, video, or audio must be secured from the Daughters of Charity Communications Director before publication. Talk to Archives staff for appropriate forms and contact information.
- No collections will be paged within the last half-hour before the Archives closes. No Archival materials will be left in the Reading Room overnight. Researchers wishing to reserve materials for the following day may do so.

## ***POLICY 5: LOAN FOR EXHIBIT POLICY***

The Archives may make a loan of artifacts or textiles, or reproductions of published material, textual records, or photographs, for purposes of an exhibit or display. Such a loan will be for one-time use only, and for a limited duration.

In all cases, the request for exhibit must be in writing and specific:

- The purpose of the exhibit
- The name and location of gallery, museum, or public space
- The environmental controls in place for the exhibit, including temperature, relative humidity, and lighting
- The security in place for the exhibit, including display furniture, public access, and security staff
- That there is adequate insurance in place for both the transport of the loan and the exhibit venue
- Responsibility for transportation of the loan to and from the venue
- The duration of the loan.

The institution receiving the loan must complete a Loan Agreement which specifies all items to be loaned. All loans of materials off-campus must also be approved by the Visitatrix or her delegate. All loans for the purpose of public display or exhibition must also have approval from the Communications director.

The Archives will complete a Condition Report for each item on loan and provide copies to the receiving institution.

All loans related to the traditional habit of the Daughters of Charity habit must complete a Request to Borrow Traditional Daughters of Charity Attire Form.

Other than exhibit or display, the only other purpose for a loan shall be for conservation or digitization. Any request for a display/exhibit loan may be refused by the Archives, especially should there be concerns with environmental conditions, security, or the purpose of the exhibit.

## ***POLICY 6: POLICY FOR COLLECTIONS ON DEPOSIT***

The Provincial Archives also houses the collections of the Sisters of Charity Federation and the Seton Shrine Museum per special agreement. These collections are held on deposit and are not owned by the Daughters of Charity. It is the responsibility of the archivists for the Daughters to provide a designated space, environmental control, and security to these collections; the level of access, control, or ability to process and utilize for reference service is unique to each collection and is set by the owning institution.

Agreements such as these should be rare and limited, and must involve discussions with higher leadership, Archives staff, and the owning institution. These discussions and any subsequent agreements must clearly state the purpose of such a deposit; and estimate of the space, amount, and volume of the collection; the amount of labor archives staff will be expected to have for the depositing institution; any funding arrangements for the care, preservation, or conservation of the materials; and the amount of access both staff researchers will be expected to have with the deposited materials.

Collections on deposit may be returned and relocated at the request of the owner at the owner's expense, unless otherwise detailed in a written agreement, at which point all custodial responsibilities on behalf of the Provincial Archives shall end.

## ***POLICY 7: ENVIRONMENTAL CONTROL POLICY***

Preservation of Archival records employs the following discrete but related Archival functions: Preservation, conservation, and restoration. A programmatic approach to Archival preservation involves planning and implementing procedures which encompass: environmental controls, emergency preparedness, conscientious handling and use, holdings maintenance, conservation, and reprography. Prevention is the key to preservation of collections, particularly through control of the environment and handling/use of Archival records.

1. Regulate temperature and relative humidity
2. Minimize dust and airborne spores
3. Promote good air flow
4. Discourage stagnant air where spores may flourish
5. Isolate and inspect in-coming acquisitions
6. Immediately respond to the presence of moisture
7. Regarding digital files, ensure a strategy commonly called “Lots of Copies Keeps Stuff Safe.”

### **Preservation**

Preservation is the professional discipline of protecting materials by minimizing chemical and physical deterioration and damage to diminish the loss of information and to extend the life of culture property. It involves the act of keeping from harm, injury, decay, or destruction, especially through noninvasive treatment and also the legal obligation to protect records and other materials potentially relevant to litigation and subject to discovery. Preservation is sometimes distinguished from conservation, the latter describing treatments to repair damage. However, preservation activities are often considered a sub-discipline within the profession of conservation. Emergency and disaster plan procedures are outlined and maintained. See Policy 12: Security and Disaster Preparedness.

The Archival repositories and buildings are structurally sound and well maintained. The Archival repositories are locked whenever the designated staff is not present. Access is available only through the Provincial Archivist or as designated.

The power plant maintains a constant balance in the environment of the repository of 45% humidity and 65° temperature, as well as electronic records of temperature and humidity changes. These settings for the alarms at the Power House should not be altered. The ideal is to maintain the lowest end of the following acceptable range for Archives: Humidity is 45%-48% Fahrenheit temperature within  $\pm 5^\circ$  of the 65° ideal with a minimum of fluctuation.

Materials are cleaned and stored in acid free folders, boxes, mylar sleeves, etc., using acid free paper, plastic coated or stainless-steel clips, and rust proof stainless steel staples.

All members of the APSL team are expected to handle documents only in a clean and clear work space (without clutter, food, drink, or ink) and adhere to approved standards for conservation and preservation, including wearing white gloves as necessary.

There is no natural light in the main repository. Ultraviolet film protectors are placed beneath the lights.

A smoke sensor and halon fire extinguisher or other fire suppressant are installed and operational.

Copies of the emergency disaster plan manual are kept physically in the copy room and processing room, with electronic copies kept on the Archives dedicated servers. Use qualified specialists for conservation, preservation, and framing.

Records should be transferred to acid-free folders and stored in acid-free Archival boxes.

Any additional preservation or conservation actions such as humidification and flattening, document repairs, photographic preservation, microfilming, etc., should be undertaken as needed.

## ***POLICY 8: ORAL HISTORY***

Oral history collects memories and personal commentaries of significance through recorded interviews. Collecting oral histories is an acquisition activity oriented to collecting stories about and from Daughters of Charity and those they ministered to and with.

Oral History interviews are recorded, transcribed verbatim, and accessioned as an Archival record. An Oral History Form is obtained from each participant. The interview is provided to each participant for review before a final version of each transcript is deposited in the oral history collection.

Copies of interviews with alumnae of Saint Joseph College are deposited in the St. Joseph College Alumnae Office. The original of all tapes of interviews are retained in APSL.

The following principles guide the interviewer:

1. The oldest and/or frailest subjects are interviewed first.
2. Interviews are scheduled in advance.
3. The purpose of the interview is discussed with the subject.
4. The interviewer researches the topic as it pertains to the subject.
5. The interviewer becomes familiar with the person's life.

Written accounts are accepted from subjects who decline a taped interview.

## **POLICY 9: VOLUNTEERS AND INTERNS**

APSL uses a limited number of volunteers on-site. Questions of background checks, standards of conduct, and copyright issues can arise when working with volunteers, particularly in the area of liability. The Volunteer Protection Act (VPA) provides volunteers with nationwide protection from personal liability, provided that:

1. The volunteer is acting within the scope of his/her volunteer duties.
2. The volunteer is not engaged in misconduct.
3. The volunteer is not operating a motor vehicle.

APSL accepts interns from accredited college programs. They may be paid for a limited number of hours, unless their college prohibits receiving both pay and credit for internships. All arrangements with the college or university should be made by the intern and completed by the time the intern begins their volunteer work. Interns are responsible for logging their hours.

The state of Maryland may provide protections that exceed or supplement the coverage of the Volunteer Protection Act. The VPA does not protect the Daughters of Charity against damage claims of volunteers.

Works of authorship by Federal employees cannot be copyrighted, if they are created as part of the employees' duties. This is not the case for state and Local government employees, or volunteers to non-Federal institutions. Works created by volunteers may be copyrighted unless the volunteer is an "employee" under applicable copyright laws. It is recommended to establish in writing before the fact who owns works created by volunteers. At the very least, APSL should get copies of volunteer works, and a license that gives the ability to use the work to the extent needed.

Prospective interns must submit a resume and statement of interest. Interns may be subject to periodic review by their supervisor or by their program. All interns must be accepted by interview. Volunteers should also sit for an interview in order to best determine a project that will suit their skillset. All interns and volunteers must pass a background check before beginning their work.

Should the participant experience a problem, this should be discussed with the Archivist. If the participant does not feel the problem is resolved, they may discuss it with Human Resources or with the Leadership designee appointed to supervise the Archivist or decide to leave the program. If the Archivist feels the participant is not fulfilling their commitments, this will be discussed with the participant to find a solution, including more training, reassignment of tasks, or other remedies including terminating the practicum.

## ***POLICY 10: ELECTRONIC RECORDS***

All electronic records created by staff or community members in relation to the mission, activities and operations of the community are the property of the community. Staff do not have the right to retain electronic records once their employment ends.

The Archives collects and preserves electronic records, both born-digital and digitized. This includes records scheduled for permanent retention under the congregational records retention and disposal schedule. Original files should be transferred to the Archives and all copies purged according to the records retention and disposal schedule. Usually, these records will be the final copy from the office of record, and may include electronic documents, graphic design files, email, photographic images, and audio-visual recordings. This also includes the congregational website and social media. In some cases, the Archives will collect drafts of significant or important documents if they are clearly labelled with version numbers and/or comments.

The Archives does not collect duplicate copies, staff personal documents, databases, and routing materials such as to-do lists, meeting schedules and notices, calendar appointments, chat transcripts, notes, and reminders. The Archives also does not collect spam, carbon copy emails, or forwarded portions of emails.

Digital preservation actions will not be taken on electronic records created for short-term use, such as scanned copies for reference or access copies for sharing on the web. Digital preservation measures are meant to be performed on born-digital and digitized records retained in perpetuity.

Archives staff should develop and codify a workflow for digital preservation. The workflow will be updated by Archives staff to reflect current workflow practices as standards and tools adapt to technological change. Key strategies for digital preservation include keeping an inventory of records, applying checksums and validating file formats upon ingest, using open software formats and tools, adding preservation metadata to digital records, secure backup, refreshing the storage media, and running fixity checks on records in storage. Fixity checksums will be run on electronic records on a bi-annual basis.

Copyright, privacy, and ownership rights will be respected on all materials which are preserved to which access is provided.

Archives and IT staff will identify and enforce who has access to the ingest and processing systems used in digital preservation and who has read, write, and execute authorization to folders and files.

Archives staff will engage in continuous learning and networking with the digital preservation community to collaborate and address new challenges and ensure they are fully informed of best practices.

All staff and members of the community responsible for creating records scheduled for permanent retention by the Archives will have a link to a shared Archives drive set up by IT staff. Consultation should be made between a community member or official associate with the Archivist or Digital Archives specialist. Preferably, large batches of digital records with sensitive information should be transferred through a portal-to-portal service or secured and disconnected form of electronic media, such as a disc or flash drive rather than email.

Archives may reformat materials into long-term stable formats where possible, while also preserving the original file format. Preservation formats include:

MS Office: DOC, DOCX, XLS, XLSX

Spreadsheets: CSV

Plain Text: TXT

Rich Text Format: RTF

Portable Document Format: PDF, PDF/A

Graphic: TIFF, RAW, JPEG

Audio: MP3, WAV

Video: MP4, AVI

On-site access to digital records in the reading room should be through a dummy system pre-loaded with requested collections. This system should not have internet access.

### Security Management

Access to the central physical location of the on-site servers should be extremely limited to IT and those who need access to the servers for routine maintenance. These rooms should be locked at all times with keys and access monitored and restricted.

Those with remote access to the digital repository should also be limited as to reduce the potential for human error and malicious tampering with digital files. Only credentialed members of the Archives staff and necessary members of IT should have access to the digital repository. In some extremely rare cases, an experienced and dedicated volunteer may be granted access; however, this should be reserved for exceptional individuals.

For security of the records, copies should be distributed across mediums and geographically. Thus, while the central servers may constitute an on-site method of preservation, a backup hard-drive may constitute another. This should remain locked away when not in use with limited and monitored access. Other preservation methods through cloud systems should be geographically distributed from the Archives' location.

All aspects of the digital Archives are subject to the organization's outstanding disaster preparedness plan. Any suspected breaches of security should be reported to IT and security immediately.

## ***POLICY 11: CONSERVATION AND PRESERVATION POLICY***

Conservation is the repair or stabilization of materials through chemical or physical treatment to ensure that they survive in their original form as long as possible. A professional conservator is devoted to the preservation of cultural property for the future through examination, documentation, treatment, and preventive care, supported by research and education.

Conservation counters existing damage, as distinguished from preservation, which attempts to prevent damage. Conservation does not always eliminate evidence of damage. Conservation is often used to include preservation activities. Items on temporary loan to conservators for treatment must be signed out with enumerated stipulations and a Loan of Archival Materials for Conservation Form.

### Restoration

Restoration is the process of rehabilitating an item to return it as nearly as possible to its original condition. Restoration may include fabrication of missing parts with modern materials, but using processes and techniques that are similar to those originally used to create the item. Restoration projects should only be undertaken for the most high-profile records and artifacts and with input and contribution from a partner organization about its purpose and use.

### Audio-visual Material and Format Conversion

Formats of audio-visual materials most at risk of decay, or facing risk of technological obsolescence, should be determined for conversion to updated media format. Criteria for determining what should be converted include media format, demand for the material, prohibitive cost, and the state of the Archives' own equipment necessary to use the material.

### Digital Preservation

Routing and frequent fixity checks help ensure that digital materials are not degrading. Any off-site or cloud-based backup should be screened to have its own LOCKSS program in place. Files that have not maintained the fixity should be replaced. In addition to this, every effort should be made to ensure that digital files are in preservation-friendly formats – i.e. pdfs (preferable) and docs for documents, jpegs and tiffs for images, mp3s and wavs for audio, and mpegs for video.

### Appraisal

Monetary appraisal may be made on the most high-profile materials. It is a common practice in some Archival settings to defer purchases of insurance and transfer amounts which would have been paid for premiums into restricted accounts for preservation of Archival holdings.

## ***POLICY 12: FINANCIAL MANAGEMENT***

APSL is accountable to handle all cash transactions, payments, and monetary donations in the following manner. For financial matters, the Provincial Archivist is the authorized signatory.

### **Check Requests**

The Archives Manager (or delegate) prepares a check request for signature by the Provincial Archivist and indicates the correct account number for the expense. Extraordinary expenses not included in the approved budget must be approved in advance by the Archival liaison to the Provincial Council. The finance department issues checks on Fridays twice a month; if an emergency arises, submit a special request. If APSL wishes to mail the check directly, indicate on the request form that the check is to be returned to APSL for mailing.

Monetary donations or cash and checks are acknowledged by APSL staff. After copying the check and noting the amount of the donation on the donor's letter, APSL staff routes the contribution to the Finance Department in a marked envelope.

### **Payments Received**

Minimal service fees are charged to recoup expenses incurred for searches and Archival services requested by the general public, such as Civil War enthusiasts, genealogists, etc. Following the current fee structure for professional services, reproduction costs, supplies, postage, and handling, the party is informed of the current rate at the time of his/her request and that checks are payable, Archives, Daughters of Charity. The balance due is stated in the cover letter transmitting the information/materials to the requestor. When payment is received, Archives staff copies the check and notes the amount of the donation on the requestor's correspondence. Archive staff will give the payment to the Finance Department in a marked envelope.

### ***POLICY 13: SECURITY AND DISASTER PREPAREDNESS***

Archival materials removed for more than one night should have a corresponding call slip, filled out by the archivist who removed the material.

The Archives Security and Disaster Preparedness Plan shall be found separately in the most recent edition of the Archives' "Records Disaster Response Plan."

Physical copies of the Security and Disaster Preparedness Plan will be physically kept in two prominent locations in the Archives, as well as in digital form on Archival servers. A physical copy should be sent to the head of Safety and Security.

## ***GLOSSARY OF TERMS***

ACCESS	The availability of or the permission to consult records, Archives, or manuscripts (some documents may be restricted)
ARCHIVES	<ol style="list-style-type: none"><li>1. The noncurrent records of an organization or institution preserved because of their continuing value.</li><li>2. The building of part of one where documents are housed.</li><li>3. The agency is responsible for selecting, preserving, and making available Archival materials.</li></ol>
ARCHIVIST	A person responsible for managing and directing various activities related to the Archives. The basic qualifications are: a historical perspective, organizational skills, enthusiasm, willingness to work with others, commitment to the task of acquisition, appraisal, accession, arrangement, description, and reference service. Continuous professional growth is inherent to the role of the Archivist. Membership in national and Local organizations is recommended.
ARTIFACTS	An object of historical, evidential, legal, and/or informational value for memorability preservation.
AUDIO-VISUAL	Having sound and pictorial attributes, especially when combined.
BORN-DIGITAL	Originating in a computer environment.
COLLECTION	<ol style="list-style-type: none"><li>1. An accumulation of manuscripts or documents devoted to a single person, event, or type of record.</li><li>2. A body of manuscripts or papers having a common source.</li><li>3. The total holdings of a repository.</li></ol>
CONSERVATION	The repair or stabilization of materials through chemical or physical treatment to ensure that they survive in their original form as long as possible.
COPYRIGHT	A legal right protecting the interests of creators or their assignees by granting them control over the reproduction, publication, adaptation, exhibition, or performance of their works in fixed media.
DEACCESSION	The process by which an Archives, museum, or library permanently removes accessioned materials from its holdings; to remove Archival resources from intellectual and physical custody.
DEPOSIT	An archival resource placed in a repository without transfer of title; to transfer physical custody, but not title, of an archival resource

DIGITAL	Involving or making use of computer devices, data, or media.
DIGITIZE	To transform analog information into digital form.
DOCUMENT	An original or official paper relied on as the basis, proof, or support of something.
EVIDENTIAL VALUE	Historical value or proof of existence.
FINDING AIDS	The descriptive media, published and unpublished, created by an originating office, an Archival agency, or manuscript repository, to establish physical and intellectual control over records and other holdings.
FREEDOM OF INFORMATION ACT (FOIA)	A law that describes an individual's rights to access information held by a government agency, as well as the agency's legal authority to refuse access to such information.
HERITAGE	Artifacts, documents, legacies, and traditions passed from one generation to the next.
HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT OF 1996 (HIPAA)	The Health Insurance Portability and Accountability Act of 1996 (HIPAA) is a federal law that required the creation of national standards to protect sensitive patient health information from being disclosed without the patient's consent or knowledge.
INSERTED WORK	Work of a Sister in a ministry operated separately and independently of the Province.
INVENTORY	An itemized list of materials on hand.
LOAN	The temporary transfer of materials from one party to another.
LOCAL COMMUNITY	The canonical house is the Sisters' residence. A patent lawfully constitutes a Local community under the responsibility of a Sister Servant (Local Superior).
MANUSCRIPTS	Handwritten or typed documents, including a letterpress or carbon copy. Mechanically produced forms completed in handwriting or typescript are also considered manuscripts. Strictly speaking, manuscripts denote all unpublished written material, including the institutional records.

MINISTRIES	The various apostolic works in the fields of education, health, pastoral, or social ministries. A work in which a Sister serves, but one which may not be sponsored by the Daughters of Charity. May also be referred to as an apostolic work or simply work.
MISSION	Canonical houses where the Sisters live. It may happen that some Sisters, because of the distance of their ministries from the canonical houses, may live in separate residences. However, they are officially assigned to the Canonical House and return at regular times and for specified occasions. A mission and Local community are synonymous.
ORAL HISTORY	An oral record, or a transcript of an oral record.
PAPERS	A term used to denote all unpublished material created in the natural course of the life of individual members of the congregation.
PRESERVATION	The act of keeping from harm, injury, decay, or destruction, especially through noninvasive treatment.
PROTECTED PERSONALLY IDENTIFIABLE INFORMATION (PROTECTED PII)	Protected Personally Identifiable Information (Protected PII) means an individual's first name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, or educational transcripts. This does not include PII that is required by law to be disclosed. See also the definition of Personally Identifiable Information (PII) in this section.
PROVENANCE	History, origin, or source.
REAPPRAISAL	The process of identifying materials that no longer merit inclusion in an Archives and that are candidates for deaccessioning.
RECORD	A major body of related records established on the basis of history, origin group, and source.
RECORDS MANAGEMENT	The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition.
REPOSITORY	A space used to store items of continuing value, particularly records; a storehouse.

RESEARCH ROOM	The area in a repository where Archival materials are consulted by researchers under the supervision of the Archivist or delegated representatives.
RESTRICTED	The limited use of a body of Archival materials restricted by the Archivist or the originator of the material or by law. The restriction may limit the use for a time to particular persons or may exclude all potential users.
SERIES	File units of 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.
SISTER SERVANT	The superioress of a Local community
SPONSORED WORK	A ministry canonically and legally under the direct control of a religious community.
STACKS	Area of the Archives where records are stored under climate control.
SUBGROUP	A body of related records within a record group. Subgroups may be established in terms of persons, or of functional, geographical, or chronological relationships.
SUBSERIES	A group of file units within a record series readily separable in terms of physical class, type, form, subject or filing arrangement.
TRANSFER	The process of moving records as part of their scheduled disposition, especially from an office to a records center, or from a records center to an Archives.

See also the official website of the Society of American Archivists and its searchable Glossary. <https://dictionary.archivists.org/>.

Much of the theory and practice contained therein has been adapted from *The Introduction to Modern Archives Administration* (National Archives and Records Administration, 2004).

## ***ARCHIVES FORMS***

Deed of Gift Form

Reader Registration Form

Request for Permission to Publish Form

Marillac Transcript Request Form

Rules for Digital Camera Use Form

Call Slip

Condition Report

Loan Agreement Form

Loan for Conservation Form

Request to Borrow Traditional Daughter of Charity Attire Form