

# An Archival Primer

## 档案入门

### 设置与保管档案计划

### 指引

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耶鲁大学神学系图书馆

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## 华文版序

新加坡三一神学院亚洲基督教研究中心欣然把耶鲁大学司马伦女士（Martha Lund Smalley）所著 *An Archival Primer* 之华译本『档案入门』献给普世的华人教会。这手册乃本中心今年继翻译司马伦与冼茹清合编的『挽救人类的记忆：档案管理手册』与魏史特著的『集成口述历史：帮助基督徒讲述自己的故事』之第三本电子工具书。

原著的目录收集耶鲁大学神学系档案管理的文件，为保留原貌，未加翻译。

得蒙司马伦女士允许把档案入门翻译华文，仅此致谢。本册子的电子版欢迎免费下载，惟不准出售。请在公开使用前声明版权的拥有者乃『新加坡三一神学院亚洲基督教研究中心』。

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## 前言

这本小册子，当然不能包括所有档案的理论和实践的程序，只是这课题的总览，旨在提供有关档案计划的要素，基本的运作指引，和进一步的研究基础。

这本小册子的重点在预备耶鲁大学神学系图书馆的特别藏书部门的新职员和学生助理在工作上的适应。虽然在档案和手稿的处理要求统一的标准不断加强，其方针和程序却仍按各个储存库的环境而改变，这里所提供的是耶鲁大学神学系图书馆所实施的，虽然我们认为这些指引有用，也令使用的人满意，但并不是最后的解决办法，只是一个个案，或多或少会适合其他的特别情况。

创立和保管档案计划是相当困难的事，我们盼望这指引是进行这项工作的“入门”，提供初步的资讯和动力。

# 第一章 建立架构

## 宗旨， 收藏发展与使用政策

在一间机构设置档案计划需要长期的投入， 整理和描述收藏是艰巨的工作;储藏真实的资料与妥善的保存记录也是相当昂贵的， 需要确保储藏的空间， 调整适当的温度和湿度。机构的行政部门需要确认有员工和财政上的支持。

在收集， 处理和描述档案和手稿收藏之前， 机构必需先设立指引的基础， 定下这档案计划的参项， 提供长远优良的品质。

### 宗旨

档案计划最好的基础， 就是与机构的领导一同构思的宗旨， 虽然不用刻在石头上， 但需要写下来——在记录里， 有必要时可以分发给有兴趣的人士。

*参阅附录 A 耶鲁大学神学系图书馆(以下简称 YDSL)的档案和手稿的宗旨。*

YDSL 的档案计划的宗旨相当直接了当， 因为我们没有保管我们的母机构的官方记录的责任， 我们的使命是为学术研究， 收集， 描述， 提供应用特别科目的档案和手稿的资料。

档案计划如果是母机构的官方， 法律和财政记录的储藏库， 则必需在宗旨内清楚的说明储藏库和母机构的关系， 宗旨内需说明记录保管的政策， 储藏库所提供的索取资料服务的范围。

在一些情况下， YDSL 接受保管与我们所收集的课题有关的机构的档案， (例如 亚洲神学高等教育的联合会)这此情况下， 这机构负责选择他想要存放在档案馆内的记录， (虽然我们也给些意见)。机构也在自己的办公室保存每天运作所需的记录， 为着机构的目的， YDSL 与机构协意有关保存其档案与我们从记录索取资讯的范围。这协意因机构而异， 也会因时日改变。

### 收藏发展政策

档案计划中的收藏发展的政策是完全与其宗旨联系着， YDSL 没有另一份文件申明我们的收藏发展的政策， 收藏的决定完全由特别收藏的馆长和神学院图书馆馆长判断， 虽是根据以下的指引:

- 我们会积极的征求宗旨中第一，二项的课题，对接受第三和四的范围的资料将较慎重处理。
- 我们不是耶鲁大学神学系的记录的官方储存库，但将尝试收集记载学院生活的非官方的记录和出版。
- 我们主要是通过捐赠收集手稿，但会考虑购买特别有历史价值的资料。
- 对于所捐赠的难以确定的资料，我们会请教教授们。
- 空间是很重要的，但是在弃绝有价值的收藏之前，我们会寻找新的空间。

有些储藏库或许要清楚书明收藏发展的指引，特别是有关他们的母机构的官方档案，指引应包括以下事项:

- 储藏库是否只收集该机构的记录
- 储藏库是否收集与机构有关的个人文件
- 如果档案馆得悉一些有关的机构或个人的有趣的记录，在一个地窟中腐蚀，在保存自己原有的记录时，是否也会尝试保存这些记录。
- 档案馆是否永久保存他的母机构所收集的资料，虽然这些资料并非由该机构所制作的(其他有关机构的出版物和科目案卷)
- 档案馆是否尝试制造文献去填补缺少的资料(例如通过口述历史的计划)
- 如果档案计划的重点不是机构的档案，而是科目的范围或资料的类型，如何更精确的定下这些范围。
- 是否有其他机构的档案计划尝试收集同样范围的资料
- 档案计划如何彼此合作，避免竞争。
- 有什么途径可以使其他机构与个人认识到储藏库的收藏发展的兴趣?

## 使用政策

应用的政策应说明三个基本的问题: **谁**可以用这资料材料， **如何**控制资料的应用， **什么**资料可以被准许应用。

**谁**可以使用资料:

在 YDSL 我们不允许初中或高中生用我们的收藏，我们让耶鲁校内或校外的大学生，研究院学生，教授，学者或作家使用，捐赠私人的文件个图书馆的家人也欢迎使用。

## 如何控制使用

在 YDSL，我们要求研究员填写申请表格，包括他们的家和当地的地址，电话号码，所属机构，以及他们同意遵守我们所定的规则。

*参阅附录 B 的申请表格样本，附录 C 的使用手稿的规则。*

我们保留向研究员索取身份证明与相片的权利，(其实，我们很少要求相片因为我们的收藏内容特别，储藏库的地点也相当偏僻，所以“随意上门”的人几乎不存在，一般上我们信任职员们能认得“可疑”人物，其他环境的储藏库，或需有必要采取较严格的戒备，譬如当研究员在使用资料时，要求保留他们的大学的身卡或架车执照)

研究员在要求资料时需填写借阅便条，这借阅便条可用来对证归还的资料，也可与研究员的申请表格一起保留，做为资料使用的记录。

*参阅附录 D， 借阅便条的样本*

在很多的储藏库，研究员在使用手稿是都在监视下，预防误用记录和偷盗。在 YDSL，我们用判断来决定当职员在寻找资料或有其他工作时，研究员是否独自在场。我们备有每日记录册，记录在特别收藏阅览室内的研究员。

遥距的使用手稿和档案是另一个需要说明的问题。在 YDSL，我们经常收到邮件或电话要求在我们的收藏内的资讯，我们相当开放的回复这些要求，但是需要限定每个咨询的时间，我们的政策是给予每个资讯要求免费的一个半小时研究的时间，之后，以每小时\$25 为顾客做研究。耶鲁大学的图书馆的手稿和档案部门，为了补偿职员的时间和邮费，连简单的询问也收费，一个储藏库对遥距使用的政策与收费的处理，反应出两方面的平衡，一方面是希望收藏能被使用和引证，另一方面又得兼顾到可以提供服务的职员和时间。

复印手稿资料也是使用时常会出现的问题，不同的储藏库对复印的政策有很大的差异，在 YDSL 我们认为最好是让特别收藏的职员用他们的判断来决定是否可以复印，这要看文件的实际的条件，编排，研究员是否可靠，我们或是禁止复印，在有要求时由职员复印，或是让研究员自己进行。

## 什么资料可以被使用:

储藏库中肯定有一些记录是有限制，不能给一般人使用，在 YDSL，我们尽量避免收集有很显著的限制的资料，捐赠者要求特别的限制或我们认为资料有某种敏感，有必要限制时，就要给予有时间性的限制，而不是永久的，收藏检索需注明这限制，案卷被封密，未被批准不得查阅。

如果储藏库是负责他的母机构的官方档案，就得与制作和熟悉这些记录的人小心定下限制使用记录的策略。

## 保存使用的记录

储藏库保存其收藏如何被使用的记录是非常重要的，有关收藏在怎样的情况下被引用的资讯，可以帮助档案员知道有关的收藏，可以作为参考或采购。收藏被使用的证明可以用来做宣传或筹款。

应提供指引表格给研究员有关引述收藏品的应有格式。

*参阅附录 E YDSL 的引述格式*

在 YDSL，研究员需申请才能在出版物里引用手稿收藏。

*参阅附录 F YDSL 的批准出版申请表*

研究员也要申请出版文件或照片的摹真本，如果这摹真本是被盈利出版商出版，耶鲁会按每个影像收费。

*参阅附录 G YDSL 的复制摹真本申请表。*

## 第二章 索取什么与保存什么

### 鉴定，采购与登记

#### 鉴定

一般上“鉴定”常是将某些东西定以金钱的价值，但是在档案的范围里，鉴定是指评价记录的历史价值。这评价历史的价值就决定了是否要接受一组的记录，也决定是否要保留在这组记录内的所有的记录。

如果一个储藏库发展的策略是以某个课题或类型为中心，就会在征求，接受或拒绝记录时产生很多特别的问题。空间，职员，资金与能否会得到，都会给这问题一些规范，但是，主要的决定还是在于档案员或储藏库的主任，决定索取什么与保存什么是档案员的专业最大的挑战。

在资金，职员，与空间都有限制的理想世界里，YDSL 能很积极的征求所有宣教士的私人文件，没有宗派也没有地理区域，任何参与过学生基督徒事工的机构的官方记录，耶鲁大学神学系的教授们的私人文件，等等，在现实世界里，我们的资金，职员，空间都有限，常常要决定什么类型的资料对研究员在现在和将来对会有用。

当有人要给我们一组的私人的文件或档案记录时，有时，很明显的这些资料适合我们的收藏，也对我们的顾客有很重要的价值，有时，我们需要先去研究所讨论的人，或机构，或与认识这资料的教授或专家交谈，才能评估他们的意义。

把你想要的列出，有时会有助于在事先就定下储藏库所接收的资料的特征。

*参阅附录 H 在耶鲁大学神学系分发给大学教员文档清单*

一间想要收集当地教会记录的储藏库，若能书明和分发清单给予有关的教会作为指引，是明智之举，这清单列出储藏库希望保存的资料类型，譬如：

1. 会众的法规和附则，注明改变的日期
2. 洗礼，坚信礼，婚礼的记录
3. 管理这会众的机构的会议记录
4. 教会/会众的历史
5. 相片
6. 每周崇拜的次序单 (定下要适当保留什么与多少)

#### 采购与登记

当档案员决定接收一组记录后，要采取一系列的步骤以满足法律的要求，确保安全保存储藏库收到的资料。

- 要登记保存的记录  
*参阅附录 I YDSL 所用的登记记录的样本*  
在 YDSL，我们只把这些文件，按照登记入册的日期，登记在记事本里其他的储藏库用市场上可购得的电脑规划来处理档案系统管理。
- 要有捐赠契约，清楚的登记储藏库与捐赠者之间的交易事。  
*参阅附录 J YDSL 所用的捐赠契约的样本和说明，参阅附录 K，与一间把档案储藏在 YDSL，仍在运作的机构的协意书。*
- 必需准备所接收的资料的初步的清单，且需附有捐赠契约

## 其他考虑

当一组的记录被接收后，有各种的考虑会影响如何去决定是否要保留这组里所有的记录。档案理论中的“起源”建议要把一个特别的个人或机构所制作的记录保留在一起，不可与另一个人或机构参杂，也不要完全重新整理。在这理论背后，是相信个人或机构设置案卷的方式，显示出个人和机构的一些事。如果案卷不完整，有关那人或机构的资讯也会消失。

理论上，需要保留由个人或机构所制作的记录，才能维持案卷的完整，在 YDSL，一旦我们决定接收一组的记录，我们通常保留完整的一组，这样处理是基于理论，一方面也是因为决定保留或丢弃一组中的部分需要很多时间，最好是让有知识的档案员做这决定，而不是让学生或办公室助理，他们是负责处理整组的记录，当储藏空间不是问题时，保存完整一组的记录或许更值得。

然而，有时收藏的量也要受到限制，当考虑到空间和妥善的安置巨大的收藏所需的箱子和文件夹，就会很快有很实际的理由去清除或限制收藏量。也有充足的观念上的原因需要限制收藏量，研究员可能很难使用完全没有“被编辑”过的记录，收藏中有太多的谷壳，就很难辨明麦子。

有人曾说，案卷整理员和档案员的不同是，档案员有透视的能力，在鉴定评估一组的记录时，档案员要考虑到使用文献的两个阶段---目前的使用与可能有的历史价值。档案理论认定记录的三种价值 — 主要价值，次要价值，档案价值。

记录的**主要价值**是给予制作他们的人或机构，行政和运作的用途，若有可能，在做鉴定的决定时，需参考记录制作者的意见。

记录的**次要价值**是在目前与将来的研究价值，记录有研究的价值，是因为他们的实证的特性，他们提供有关他们的创造者的生命和运作的实证，记录所提供资讯的内容，也可能超过记载他们的创造者的功用和成就，制作记录的个人或机构可能有计划的收集资讯，或研究员间接的取得许多课题的资讯。

一套记录的**档案价值**是一间储藏库的档案员的裁判，所有的记录对某些人都会有些研究的用途，档案员的角色是决定那些记录有足够的价值，值得去处理，描述，保存。

### 丢弃资料的准则

按照文献的内容来做鉴定时，很少是以每一件来做决定，这是很浪费时间，所以也不经济，然而有些丢弃资料的指引，可以当着处理的程序中的部分，以下是些例子：

- 任何文献只保留两份。丢弃其余的
- 可能不需要保留文字资料的多份草稿，或已出版的打字副件
- 在印刷资料中，譬如是在另一间机构的会议记录和报告，若很容易从寄发者取得，也可丢弃。
- 一间仍在运作的机构的财政记录常有重复，那间机构或许可以告诉你可以丢弃那些记录。一般上，在完成税务报告后，只需保留摘要记录。
- 剪报或在其他地方可以很容易取得的印刷资料，可以丢弃，只要在原有的案卷中记录他们的存在。
- 例常的通告与办公室用品的采购单或旅行计划也没有必要保留。

### 取样检验技巧

有些储藏库在处理巨大的收藏时，选择取样检验的技巧，有多种的取样检验，各有千秋，在 YDSL 我们很少用到取样检验的技巧，但是面对有庞大的一组的记录的储藏库就有必要执行，取样检验有以下几类：

**系统的**——按某种标准选择，不用考虑本质或案卷的内容，譬如，保留所有双数年份的案卷

**样板的**——按个案选择，记载特别的活动或时段，譬如，保留一区内所有的案卷，说明典型的宣教工场的办公室的运作。

**特例的**——选择特别重要的案卷——与重要人物，争论，主要事件有关的。

## 第三章 记录管理

### 档案员最佳良伴

#### 记录管理的策划

如果一间档案储藏库主要在处理机构的官方记录，鉴定的决定完全联系着机构的记录保管策划，档案馆可以帮助设置记录保管的策划，但是是机构的责任去实行这策划。

成功的记录保管策划有以下的作用：

- 提供给机构的职员有关不同类型的记录是否需要保留与保留期限
- 提供方法和时限，有程序的废除没有永久价值的记录。
- 提供方法和时限，有程序的转移有永久价值的记录到档案馆

机构可能需要被说服值得去开始和长期的维持记录保管的策划，档案员若能证明有必要有记录保管的策划，不但对机构有利，也节省自己的时间。

证明要点如下：

- 记录常占据机构办公室内很有价值和宝贵的空间
- 堆积在储藏地方的记录需要职员宝贵的时间去发现和索取。
- 有历史价值的记录，或许在储藏库中更安全，特别是有设备来保护他们的。

#### 第一步：记录清单

开始记录保管策划的第一步就是清理出机构有什么类型的记录与其所在，初步的检查可能显出不是所有重要的记录都在机构目前的办公试内，若不在此，在那里——在机构领导的家？在某建筑的地窟里？可能需要一些侦查的工作，才能找到记录的线索，这包括联络机构前领导。

当现有的记录都确定后，做个简单的清单，例出以下资讯：

1. 记录的类型
2. 记录的日期
3. 数量
4. 目前所在
5. 格式

*参阅附录 L 清单的样本*

记录的类型是指他的作用，机构制造很多不同类型的记录。有些记录比其他的较有长远的价值。这里有些典型的记录：

常年报告	委员会会议记录
法律文献(例如:公司的)	委员会或特别工作组报告
产业记录	预算与审计
人事案卷	通信录
支出报告	银行结单
相片	小册子
购物收据	通讯
财政总帐	例常信件
事件的节目表	行程表
其他机构的资料	手册

记录的清单要由熟悉机构运作的人来担任，他们才能认得记录的类型，知道制作这些记录的原因。

列出每种记录的日期就会显示出文献中是否有遗缺，资料的数量常以尺长来衡量--就能知道需要用多少架子的空间来储藏，清单也需指明是否有很多的重复本。记录的格式是指他的实体的形式—纸张，录音带，电影胶片，电子案卷等等。

## 第二步: 保留的时间表

当完成记录的清单后，档案员与机构要一起决定每个类型的记录应保留多久，有些记录只需暂时保留，有些要永久保留。每一种的记录期限是根据他能完成法律或财务的需要，运作的需要，和历史的需要等的价值，某种的财政的记录，需要保留若干年，是因为财务的需要，虽然对机构的运作毫无价值，有些类型的行政的记录，例如旅行的安排，在事后就不再有需要，有些类型的记录要永久保留，因为他们对记载机构的历史很重要。

以下是记录需要保留多久的例子

会议记录	永久
常年记录	永久
附则，宪章	永久
常年预算	永久
小册子/宣传	永久
通讯/报告	永久
主要委员会的会议记录	永久
相片	永久
产业记录	暂时---保留至售出后 20 年
人事记录	暂时-保留雇佣的条件
税务记录	暂时-保留 7 年
银行结单	暂时-保留 7 年
支出报告	暂时-保留 7 年

需要付款的发票	暂时-保留 3 年
例常信件	暂时-只在有需要时保留
旅行安排	暂时-只在有需要时保留

参阅附录 M YDSL 制作的记录需保留时间表

### 第三步;设立程序以实行这时间表

机构的领袖，需规定机构内的某些人去实行保存的时间。这记录经理应被正式指派，授予权力去实行。

很多时候，记录需按以下方式处理:

1. 每天或每周要用的记录要在机构办公室内容易拿到的地方。
2. 不常用的记录 (每个月或一年几次) 或需要保留几年的时间 可以放在较远的储藏地方 (办公室内的储藏室)
3. 有历史价值但不常用的的记录，需要储藏在机构的档案室，一个安全的地方。
4. 没有永久的法律或历史的价值，不再有需要了，也不需做为 税务或历史的目的，需要丢弃。

很多机构认为每一年要有一天的时间评估记录，在这档案的一天，上述类目 2 的记录应从目前办公室案卷取出，放在清楚标注着内容和需要保留的期限的盒子里，类目 3 的记录应送到档案室。类目 4 的记录需丢弃或再循环，在这一天，记录经理应检查储藏地方，把所有要除去的记录除掉。

## 第四章 使记录能被使用

### 编排与描述

#### 制定标准

在一组的记录被储藏库接收后，就需要完成法律的文件与初步的清单，下一步就是编排和描述记录，内部或其他的研究员才能知道在这组的记录里，有些什么，也才能够索取他有兴趣的记录。

在档案的范围里，编排和描述方法的标准在增进中，为了把档案专业化和发展成一个巩固的专业学会，美国档案学会曾收集了有关适当的方法的讨论，资讯，和出版，电脑的时代更给予分享记录的资讯最佳的机会，而标准化则是必然的。

过去，每间机构有他们自己的检索，用来描述记录，研究员就要学习诠释和配合各个机构的方法和格式，如今，国际的电脑网络用来分享机构的收藏的资讯，MARC (machine-readable-catalogue 机器阅读编目) 的格式是把资讯输入电脑的网络的标准，美国档案员学会出版的编目，提供有关 MARC 格式的资讯。

*参阅 附录 N 是 MARC 格式的记录编目的样本。附录 O 是公开的记录编目。*

个别的机构仍旧有他们自己内部的检索，提供较详细的记录的描述，但是这些检索越来越多提供制造 MARC 格式记录的编目所需的资讯，也越多遵照档案的专业社体所建议的标准。

#### 档案或是私人的文件？

编排与描述的技巧的不同，在于所考虑的记录是机构的官方档案，或私人的文件，或是个人或一组所收集的一组资料，机构的档案记录被送到储藏库时往往已有各组织的系统，档案员的责任只需去找出这系统，保持他的完整。私人的文件交到储藏库时是比较没有组织的，档案员就要分析其中的单元，制造一个组织的规划，才能帮助研究员寻获记录，档案员/记录经理在处理机构的记录时是较注意维持原来的次序，档案员/手稿管理员在处理私人的文件时，需要把没有次序的收藏整理出条理来。

#### 处理手稿与档案的指南

以下的篇幅是耶鲁大学神学系图书馆特别收藏所用的处理指南。

处理手稿与档案指南  
特别收藏  
耶鲁大学神学系图书馆

## A 初步分类

- **第一步 初步清单**

在分类之前先检查收藏，从收藏内或其他地方阅读有关在处理的个人或机构的背景与意义。查阅每一盒，准备文件中有那些类型的资料的初步清单，在这阶段，先保留收藏的原来的次序，用旧的文件夹或纸张当“旗号”或标记，指明资料的种类和编排。

在这初步的清单里注明，如果收藏的原来的次序混乱，有什么资讯会流失。

- **第二步 最初分类**

取出或整理资料，除掉表面的灰尘，把摺叠的手稿弄平，(严重的问题，例如，发霉，过度脆损，需在处理之前解决)

在初步的分类时，要把资料分成不同的叠或盒，注明类型或格式:行政记录 通信，相片，著作，印刷品等等。要谨慎，因为有些资料虽然有各种的类型或格式，仍需放在一起，例如，某个人制造了一个特别的科目案卷，包括信件，相片，笔记，为特别课题或事件所收集的资料，这样的情形，无论什么格式，保持个人所制造的组合。

机构的档案记录通常是保留接收时原来的次序，如果机构的案卷参有通信，会议记录和收集的资料，不要按这文体或格式把这些资料分开，如果机构的资料被送到图书馆时是杂乱无章，把他们按某种逻辑的安排是许可的。

## B 修整初步的处理

- **第一步 分“辑”**

初步分类所成的组别是建立**辑**的基础，在收藏中建立**辑**，是允许有某种的结构，可以更容易描述与索取收藏。一个**辑**是在一个较大的收藏里，同类的资料的组合;可以是相同的格式或目的。**辑**可以用任何清楚的方式来定义，一些辑的题目包括:

通信

笔记与笔记本

作品

相片

收集资料

科目案卷  
传记文献  
组织与政策记录  
行政记录  
私人物件与大事记

收藏中辑的数目，题目，编排是按着资料的种类与数量，有的收藏有 10 辑，另一个同样数量的收藏只有 3 辑，有一组的私人的文件只有通信的单辑，另一个分成家庭通信与普通通信 2 辑。而另一组的私人文件中可能分开不同的，家庭通信，普通通信，与“中国年代”通信，反应出文件中所强调的。一间机构的档案可以有普通办公室案卷，包括通信和科目案卷，按字母排列，成为一辑，另一间机构可能选择把通信与科目案卷分开，就分成 2 辑。

辑的名称需准确的反应出其中的资料，大多数的项目都能适当的分配在所定下的辑里，那些不能安置在已定的辑，可以放在另一个注明“杂物”的文件夹或盒子，当处理的人较熟悉收藏后，可再修整。

- **第二步** 组织每辑内的资料

先处理最重要或最显著的资料(通常是通信，但不一定是)把每辑分成适当的次序—按字母，年份，科目，种类，或其他。没有经验的处理的人，往往会对收藏内的所有的资料都小心翼翼的处理，无论是重要的信件或购物单，有经验的处理的人的标志是知道什么资料需要注意，那些只需粗略处理，那些可以丢弃，只保留样本。在做这样的决定时，对科目的知识很重要，普通常识也重要，很多时候，一般的描述(如“计划资料”或“课堂上分发的”)已达到作为确定和寻索的目的。处理的人也需要决定资料的重要的程度是否需要消耗时间精力按字母或年代排列，一般上的危险是在于过度的精密，而不是处理不足。

- 在这初步的安排里可以用旧的文件夹.这时,可将硬物除去，如纸夹，绳子橡胶圈，旧的包装纸，装钉，书钉，等等。以不锈钢的书钉取代旧的硬物，或把项目放在无酸性白纸的文件夹内。若用书钉，务必斜钉在左上角。
- 任何项目只保留两份
- 没有注释的书本，小册子，不是代表这收藏的人所写的记事，都可取出，放在图书馆普通收藏里。决定是否保留印刷资料在手稿的收藏内的准则是，看他们对这收藏有多重要，以及是否在其他地方可以取得。剪报的资料只需保留较特别的报纸(通常是保留影印副本，丢弃原来的)，丢弃那些容易找到的报纸，(如果对收藏有意义，就要记录报名称与日期)

- **第三步** 登记并提供资讯

- 当你在分类时，记录人物或机构所参与的活动，有历史意义的科目，重要的通信，收藏的强与弱与任何值得注意特点，这些笔记在撰写检索，描述收藏的简介时很有帮助。
- 当你分类时，也要小心保留偶然发现的资讯
- **信封:**把所有能确定项目的资讯(邮戳日期，地点)用铅笔写在项目的右上，才把信封丢弃，如果信封上有笔记或很多资讯，就要把信封与该项目钉在一起，或把两者放在无酸纸的文件夹内。
- **附件:**通常附件与他有关的项目同在，如有必要，用另一张相互参照的纸，注明在他处的附件
- **注释:**如果你可以从项目的上下文，提供确认或重要的资料，在右上角加以注释，用铅笔书写在方形的括号内，按个人的知识或假设所提供的资讯需加上问号在括号内:[马杰申?]  
*参阅附录P 有关更特别的编排与描述*

### C 资料的描述，藏夹，装盒

- **第一步** 注明文件夹
- 把收藏分类，成辑后，项目就可放在无酸纸的文件夹内(文件夹有信纸与法定的尺码，选择适合收藏中多数的项目的尺码，如果你用信纸尺码的文件夹和文献盒储藏一辑，突然有一些法定尺码的文献出现，不可对折法定尺码的文献以配合信件尺码的文件夹，用法定尺码的文件夹来装满法定尺码的盒子，然后用信件尺码的文件夹，有必要时，法定尺码的盒子，可以散布在信件尺码的顺序里，有些储藏库只用法定的尺码的文件夹，来避免此问题)
- 描述每个文件夹的内容是用铅笔写明在文件夹标题范围的右上角
- 每个文件夹应印有或注明收藏的名字，记录组别的号码，每辑的题目。每个文件夹的资讯能帮助研究员适应，当文件夹与他所属的盒子分开时，也依此资讯把文件夹重新整理。
- **第二步** 把文件夹编号/装入盒子
- 文件夹的描述工作完成后，书写文件夹的编号在标题范围的左上角，然后放入无酸纸的文献盒内，每个文献盒子要紧密的装载，以免资料在盒内卷曲，但是也不可太满，以至很难取出文件夹。无酸的文献盒可以在许多公司购得包括:  
The Hollinger Corporation  
3810 South Four Mile Run Drive  
Arlington, VA 22206
- 要在盒子的前面注明记录组的名字和盒子的编号

### D 准备注册簿或检索

注册簿或检索提供研究员所需的资讯去检查与索取一组的文件，通常包含有关所记载的机构或个人的历史和传记的注释，整个收藏的简介，以及每辑内文件夹的列表，(有时是盒子的列表)，之前先简单描述每辑的内容。历史与传记的注释越精确越好，年代的格式是对研究员最有用的，简介中需描述收藏资料的种类，数量，一般的编排(就是被分成不同的辑)，也需注明资料所包含的日期，以及重要的通信中的人名字。档案员要利用在处理时所记录的分析和对收藏的强弱的评语。要注明完整的记载的题目，以及没有被好好的记载，但是可能找得到资料的课题。

*参阅附录 Q 检索中的一页样本*

## **E 收藏的编目**

预备了检索后，档案员输入记录编目到耶鲁的连线电脑编目 (ORBIS)，有关收藏的资讯可以从耶鲁的系统中得到，然后再用磁盘下载到全国的文献目录的数据库里。

不能使用连线编目的图书馆中的储藏库，需预备一套编目卡，描述记录组，把卡片归入在图书馆的编目卡内。这卡片会引导研究员查看较详细的检索。

## 第五章 确保记录被使用

### 实体的保管

#### 文献储藏

作为处理的步骤，所有的硬物(纸夹，生锈的书钉，等)，橡胶圈，都要以不锈钢的书钉，或无酸纸取代，文献应存于无酸的文件夹里。放在无酸的盒子，以防灰尘。这些盒子要清楚的注明在不会掉落的标纸上，需备有特大的架，用以安放应平放的地图，海报，以及其他大型的项目，有很多不同大小的无酸的盒子。可以容纳不同尺码的资料，无酸的文件夹可从市场购得，或用较小的文件夹制成。

理想的储藏档案和手稿的房间是没有水通过，微量或无自然的光，能保持固定的环境条件。

#### 环境的因素

在 19 世纪中期制造的纸，除非是指定为永久/能耐的种类或无酸的。预期的使用的年限都是少过 50 年，很有价值的项目可以经过去酸的程序，来延长他们的寿命，但是对很多的储藏库，这处理行不通，其他保存易脆的项目的方法包括压缩，以及由受过训练的保存员修补。

控制环境是预防酸性纸腐蚀的最好的戒备，酸性纸中产生化学作用，高温和高湿度加速这作用，理想的储藏档案的温度是华氏 55-60 度，理想的相对湿度是越近百分之五十越好，这个条件可以藉着湿度温度计来调整。

要维持理想的温度和湿度是**很困难**的，尤其是不是用来做储藏用途的古老的建筑，很多区域，在冬天要用潮湿机，夏天要用除湿机来维持可以被接受的湿度。如果不可能维持理想的温度和湿度，另一个最好的办法就是维持**固定**度数，周期性的温度和湿度的改变使纸张脆弱。

如果温度和湿度不被控制，就会有霉菌的袭击的危险，若乘早查验到，霉菌很容易控制，出现在纸张或装订本的发霉的痕迹，可以用特别处理过的布刷清，如果霉菌已长的很久，就需要把记录烟熏。在 YDSL，我们曾经几次用过大学图书馆里的保存工作室里的烟熏室。常常要注意霉菌，一出现问题，就得把温度和湿度降低，预防容易过修改。

#### 保存的工具和建议

保存的工具种类之多可以从 Gaylord, Light Impressions, University Products 所出版的商品目录中购得，这些公司还备有免费的服务，回答保存的问题，如果储藏库不能获得当地的专家的指示和意见，这种服务是很有帮助的。

## 保存复印与显微影片

有些记录是很有价值的实体的制品，有些的价值是他们所包含的资讯，当决定是否要保存时，先实际考虑记录的价值，有些腐蚀的项目，用无酸纸复印，丢弃原来的，比花钱去酸，修补，或压缩更切实。另外，储藏库可能要影印或制作显微影片，为要保存以及保护原有的被曝光。

为保存而制造显微影片或许是保存数量很大的收藏最好也是长远的办法，扫描和数码化是未来的解决办法。

## 相片与胶卷

相片的印刷品，底片和胶卷，通常都可以与其他档案记录储藏在同样的地方，虽然相片资料最理想是储藏在湿度很低的地方，有相当分量的相片收藏的储藏库，值得去研究有关处理和保存相片的作品。

所有的储藏库都要注意到有硝酸盐的胶卷可能有的危险，在 1950 年之前制造的硝酸盐的胶卷最显著的是特别的酸味，特别是储藏在封密的容器里，硝酸盐的胶卷，无论是底片或是电影胶卷，都是易燃物，应与其他记录分开，储藏在最好(非常低的温度)的条件里，或是复制，用醋酸盐的胶卷取代。

## 机器阅读记录

机器阅读记录是档案员在未来更为关怀的事，机构与个人现在用电脑制作信件，会议记录，备忘录，他们可能不保留纸(硬)的版本在他们的案卷里，最后，这些电子的记录，会以各种格式来到档案储藏库里，需要许多不同的软件和硬件才能索取资讯，储藏库若采取较稳当态度，就是在这时候储藏所有记录的硬件，当机构与个人完全进入电子时代时，这种态度会越来越不可能，就算现在，要求收藏记录的硬件也会有危险，选择和印刷要保存的记录所需的步骤，肯定会限制要保存的数量和种类，没被保存的记录，却可能有很重要的书面证据。

档案员在此刻所能做的，就是与制作记录的人合作，提高他们意识到所面对的问题，如果记录是电子的格式，储藏库可能需要在不同的间隔时制作成新的格式，避免过期的格式，需要过时的硬件

## 预防灾难

预防火灾或水灾的计划是任何储藏库的计划中不可少的，重要的是要有文字书写的计划，因为在紧急时是会产生混乱和困扰，要备有楼面图，需包括电灯的总开关，电插头，排水系统，珍藏资料，其他可能的水源，把这些楼面图分发给职员们，也要保留一份在别处。预防水的破损最好的办法是避免把记录储藏在水管，

蒸汽管，厕所，冷气机的下面，资料应储藏在离地面 4 寸以上，如果收藏一定要储藏在很容易引起水灾的地方，就需安置测水警铃。若有水患，最好是先抢救相片，显微影片，和任何有涂层纸的资料，有些人应负责确保有吸水器，风扇，塑胶箱，纸巾，海绵，布，画笔，冷藏纸，绳等。如果有大量的很湿的资料，要把他们装在塑胶箱里，送到冷藏库或干的冷藏库，要保留注明什么物件从这建筑被取出的清单，如果资料不冰冻，在 48 到 72 小时内就会发霉，要想尽办法尽快把资料摊开和弄干。

湿的书要用以下方法处理:

- 若只有一部分湿      — 把书竖立，把书页打开，用风扇吹
- 全然湿透             — 用纸巾插夹在每十页中
- 非常湿                — 竖立，斜向书脊骨，先用纸巾插夹，用风扇吹
- 如果书有涂层纸      — 务必在纸仍就湿的时候把每一页打开

## 第六章 增进记录的使用

### 参考与推展

#### 储藏库指南

宣传使用记录的最重要的步骤是预备一份储藏库的指南，YDSL的指南简略的解释储藏库的收藏的焦点，还附有记录组的完整的名单，包括处理好和未经处理的记录。这指南被复印成较小的册子，分发给研究员。

#### 宣传小册子

在YDSL我们预备小册子，描述较大的收藏中的某些部分，或是针对有潜能的捐赠者，分发小册子和单张，帮助宣传储藏库内的收藏，吸引其他的收藏。

#### 电脑时代的优越

文字处理和万维网的产生，以及电子的数据库，对有关档案与手稿收藏的资讯的散播有很大的影响，在电脑时代之前，储藏库内的收藏是靠口传，靠出版物中的引证，当地图书馆的目录卡，或是从笨重的National Union Catalog of Manuscript Collection(国家联合手稿收藏编目)。如今，有关很多储藏库的收藏，可以通过RLN，OCLC的网络，在全国各地都能得到。

在储藏库的层面，把收藏的目录包含在图书馆的连线书目，可以引导使用者去找到原始资料，这往往是被忽略的，应用电脑让研究员有效的寻获特别的资讯，可以用主词在用文字处理的格式的检索中找到有关特别的地理区域，课题，人物等等的资料。在YDSL，我们的检索都可以在互联网找到，而且是被输入到一个索引的数据库，可以同时用主词找所有的检索，而不是单独的文字处理的案卷。

#### 展览与推展的节目

包括从储藏库的收藏的文件，相片和制作品的展览，是上乘的宣传工具，尤其是可以分发描述展览的小册子，书目，好的展览需很多时间去准备，但是是值得的，如果展览让人看到有价值的收藏也提供档案员有机会去探究收藏。

展览物需牢牢的安放在没有灰尘的地方，不可保留多过2-3个月，因为周围的光会破坏文献。就如档案计划很多方面，有关准备展览的文章和手册也很多，提供丰富的实际的资讯。

储藏库也可藉着参观，研讨会，出版期刊等，让人注意到他们的手稿和档案收藏，在YDSL，我们通知教授们重要的新的项目，应用神学系的刊物，宣传我们的收藏。其他的储藏库，用小册子，或通讯出版登记入册的清单。

## Appendix A

### **YALE UNIVERSITY DIVINITY SCHOOL LIBRARY Special Collections**

#### **Statement of Goals**

The Special Collections department of the Yale University Divinity School Library will collect, organize, and make accessible manuscript and archival records, for the purposes of scholarly research. The head of the Special Collections department will oversee the library's rare book and pamphlet collections. Special Collections staff will assist patrons in formulating research strategies that bring to light relevant materials in the Library's manuscript, archival, pamphlet, periodical, and monograph collections.

The Special Collections department historically has focused its collecting of archival and manuscript resources on the following categories:

1. Records of Protestant Christian missionary activities overseas.
2. Records of Protestant Christian religious work among college and university students.
3. Personal papers of American clergy, evangelists, and religious leaders, particularly those involved in missions, ecumenical work, or student work, those from the New England area, and those of Congregational background.
4. Personal papers of Yale Divinity School faculty, deans, and prominent alumni.

The department will continue to focus on these categories while remaining open to their redefinition according to the evolving needs of researchers and the availability of resources.

The Special Collections department will attempt to supplement its holdings of original manuscripts and records in these areas by the acquisition of microform copies of holdings in other repositories.

The Special Collections department will make information about its holdings accessible through participation in a nationwide information network, interactions with Yale faculty members and with scholarly societies, the preparation of exhibits, and the publication of broadsides and articles.

Appendix B

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY  
Special Collections**

**Application to Examine Material**

Date \_\_\_\_\_

Name (please print) \_\_\_\_\_

I hereby request permission to examine manuscript material in the Yale Divinity School Library. If permission is granted I agree to comply with the Library's rules governing the use of such materials, including the requirement that Yale University Library manuscripts may not be published in whole or in part unless such publication is specifically authorized.

The subject, scope and purpose of my research: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Applicant's signature \_\_\_\_\_

Institutional affiliation and academic status: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Permanent address and telephone number: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

New Haven address and telephone number: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

\*\*\*\*\*

Permission to examine approved: \_\_\_\_\_

Date: \_\_\_\_\_

## Appendix C

### YALE UNIVERSITY DIVINITY SCHOOL LIBRARY Special Collections

#### Rules Governing the Use of Manuscripts

- 1. Permission to examine.** Permission to examine manuscripts will be granted to qualified scholars upon completion of the application form provided for that purpose. Such permissions are granted subject to whatever restrictions may have been placed on the manuscripts by their donors or depositors. In certain cases, scholars may be required to use microfilm or printed copies of manuscripts when such copies are available.
- 2. Protection of manuscripts.** All briefcases, envelopes, notebooks, and other items except materials needed for research purposes must be left in a designated area. Scholar are responsible for safeguarding any materials made available to them in a reading room. **Researchers may not remove materials from the reading room for any purpose** or rearrange the order in which the materials are delivered to them. The use of any kind of pen is prohibited. Manuscripts may not be leaned on, written on, folded anew, traced, fastened with rubber bands, or handled in any way likely to damage them. Eating and smoking are prohibited in manuscript reading rooms.
- 3. Permission to publish.** Permission to examine manuscripts is **not** an authorization to publish them. To the extent that it may properly do so, the library will ordinarily grant the usual publication rights to qualified applicants. **A special fee is charged for permission to publish facsimile copies.** Scholars who plan eventual publication of their work are urged to enquire about overall restrictions on publication before beginning their research. Separate written requests for the right to publish or for permission to publish facsimile copies must be made on forms provided for that purpose when the applicant's research and writing have reached the stage where it is possible for him or her to identify the precise texts he or she wishes to publish. If permission to publish is granted, the location of the cited manuscripts shall be indicated in the published work. A dissertation is to be considered a published work. A free copy of all publications that rely heavily on the library's manuscript holdings (except dissertations) should be presented to the library as soon as the work is published.
- 4. Copyright.** On giving permission to publish a manuscript, the Yale Divinity School Library does not surrender its own right thereafter to publish the manuscript or to grant permission to others to publish it; nor does the library assume any responsibility for infringement of copyright or of publication rights in the manuscript held by others.
- 5. Exclusive rights.** Exclusive rights to examine or publish manuscripts will not ordinarily be granted, although in exceptional circumstances such rights may be granted for a limited period of time.
- 6. Photoduplication.** The library will consider requests for the photoduplication of manuscript material when such duplication can be done without injury to the manuscripts. The Library reserves the right to request the return of photocopies and to prohibit the making of duplicate

photocopies from those furnished by the library.

Appendix D

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY  
Special Collections**

**CALL SLIP**

Reader's name \_\_\_\_\_

*STAFF USE:*

<i>Record Group</i>	<i>Box</i>	<i>Folders</i>	<i>Location</i>	<i>Ready</i>	<i>Returned</i>	<i>Hold until</i>	

(Maximum 6 boxes)

Appendix E

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY  
Special Collections**

**Format for Citing Archival Materials**

\_\_\_\_\_ Papers,  
[ or ]  
Archives of \_\_\_\_\_,  
Record Group No. \_\_\_\_ (Box \_\_\_\_\_ Folder \_\_\_\_\_) Special Collections,  
Yale University Divinity School Library.

**Please note our policies on:**

**PHOTOCOPYING.** Researchers may photocopy manuscript material at the discretion of the Special Collections staff. Permission to copy will depend on the physical condition of each item. In certain cases, staff may make photocopies for researchers at a fee of 20¢ per page. Books from the Old Day Missions collection may not be photocopied due to their fragile condition.

**COPYRIGHT RESTRICTIONS.** Fair use photocopies may be made for the purposes of private study, scholarship and research. A more detailed warning concerning copyright restrictions is available from Special Collections staff. It is the responsibility of the researcher to determine the holder of literary rights for a manuscript collection.

**FACSIMILE REPRODUCTIONS.** Special Collections staff can provide you with an application and fee schedule if you wish to publish facsimile reproductions of archival materials. Permission must be granted by the Curator of Special Collections.

**PERMISSION TO PUBLISH.** You must fill out a request form if you wish to publish manuscript material. Permission must be granted by the Curator of Special Collections.

Appendix F

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY  
Special Collections**

**Application to Publish Manuscript Material**

Name (please print) \_\_\_\_\_ Date \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_ Phone \_\_\_\_\_

In accordance with the requirements of the Yale Divinity School Library, I hereby request authorization to publish the following manuscript material in the Yale Divinity School Library collection. (Identify the collection or collections and describe the material precisely.)

Bibliographical information on planned publication:

\*\*\*\*\***DO NOT WRITE BELOW HERE**\*\*\*\*\*

In authorizing publication of this material Yale Divinity School Library does not remove the author's and publisher's responsibility to guard against the infringement of rights that may be held by others.

Request approved \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

Appendix G

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY  
Special Collections**

**Application to Publish Facsimile Reproductions**

Name (please print) \_\_\_\_\_ Date \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_ Phone \_\_\_\_\_

In accordance with the requirements of the Yale Divinity School Library, I hereby request authorization to publish in facsimile reproduction the following material in the Library collection. (Identify the collection or collections and separately describe each item to be reproduced.)

Bibliographical information on planned publication:

Signature \_\_\_\_\_ Fee enclosed\* \$ \_\_\_\_\_

\* See following page for fees and terms

*Send this request together with the fee to:       Special Collections  
  Yale Divinity School Library  
  409 Prospect Street  
  New Haven, CT 06511*

\*\*\*\*\*DO NOT WRITE BELOW HERE\*\*\*\*\*

The Yale Divinity School Library hereby authorizes you to publish in facsimile reproduction the material identified above. In authorizing the publication of this material, Yale University does not surrender its own right to publish it, or to grant permission to others to do so. Nor does this authorization by Yale University remove the author's and publisher's responsibility to guard against the infringement of rights that may be held by others.

**\*\* Each facsimile reproduction must carry the following credit line: \*\***

"Special Collections, Yale Divinity School Library. \_\_\_\_\_ Papers, Record Group No. \_\_\_\_"

Signature \_\_\_\_\_ Date \_\_\_\_\_

## Appendix H

### YALE UNIVERSITY DIVINITY SCHOOL LIBRARY Special Collections

#### Faculty Papers Checklist

1. Correspondence:

We welcome correspondence which sheds light on a faculty member's academic career, development of thought, participation in noteworthy projects, committees, and conferences. General and family correspondence of primarily biographical interest will also be welcomed in certain circumstances. Letters of reference for students and colleagues present particular problems but are sometimes of value in documenting a faculty member's activities. Please consult with the Curator of Special Collections regarding these borderline materials.

2. Writings:

We welcome any published or unpublished writings of a faculty member.

3. Course-related material:

We welcome lecture notes, syllabi, handouts, etc. which document courses taught at Yale. Representative noteworthy student papers are acceptable.

4. Collected material:

a. Offprints of articles by colleagues are generally not needed. Exceptions would be articles from periodicals not held at Yale.

b. Reports, minutes, and other documentation from noteworthy projects, committees, and conferences in which a faculty member has participated are welcomed. We are particularly interested in materials relating to the Yale Divinity School, the ecumenical movement, student Christian work, and world Christianity.

c. Any documentation of life at the Divinity School is welcomed, including photographs.

5. Biographical documentation, including *curriculum vitae*, journals, diaries, documentation of honors and awards, special lectureships, etc. is welcomed.

Appendix I

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY**  
**Special Collections**

**ACCESSION RECORD**

Accession date \_\_\_\_\_

Name of collection \_\_\_\_\_

Record group number \_\_\_\_\_

Quantity \_\_\_\_\_

Method of acquisition \_\_\_\_\_

If purchased - price: \_\_\_\_\_

Donor information:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Acknowledged? \_\_\_\_\_

Deed of Gift? \_\_\_\_\_

Preliminary inventory? \_\_\_\_\_

Status of literary rights \_\_\_\_\_

Completion date indicated to donor? \_\_\_\_\_

COMMENTS:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Location of material \_\_\_\_\_

Appendix J

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY  
Special Collections**

**GIFT OF PAPERS**

**OF**

\_\_\_\_\_  
**TO THE  
YALE DIVINITY SCHOOL LIBRARY  
NEW HAVEN, CONNECTICUT**

I, \_\_\_\_\_, (hereinafter referred to as the Donor), hereby give, donate, and convey to the Yale Divinity School Library at Yale University for administration therein by the authorities thereof, material as listed and described in the appendix thereunto attached. The gift of these papers and other materials and of papers and materials that I may from time to time send to the Yale Divinity School Library in the future is made subject to the following terms and conditions:

1. Title to the papers and other materials transferred hereunder will pass to Yale University as of the date of signing of this instrument.
2. It is the Donor's wish that the papers and other materials donated to the Yale Divinity School Library by the terms of this instrument be made available for research in the Yale Divinity School Library as soon as they have been received, arranged, and cataloged. The papers shall be made available for research purposes in accordance with the regulations and policies of the Yale Divinity School Library governing the use of manuscript materials for research purposes.

3. Select one:

\_\_\_\_\_ The Donor retains to her/himself during her/his lifetime all literary and other property rights to the unpublished writings in the papers (including letters) and other materials donated to the Yale Divinity School Library by the terms of this instrument, following which these literary rights will become the property of the Yale Divinity School Library.

OR

\_\_\_\_\_ The Donor transfers all literary and other property rights to the unpublished writings in the papers (including letters) and other materials donated to the Yale Divinity School Library by the terms of this instrument

Signed \_\_\_\_\_ Date \_\_\_\_\_

Accepted \_\_\_\_\_ Date \_\_\_\_\_  
Appendix K

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY**  
**Special Collections**

AGREEMENT WITH ORGANIZATION

In consideration for the gifts of others, \_\_ (the organization) \_\_\_\_\_ grants to Yale University, a corporation existing under the laws of the State of Connecticut and located in the Town and County of New Haven and State of Connecticut and hereinafter called the "University," both ownership and possession of such of its archives as \_\_\_\_\_ transfers to the "University."

The "University" agrees to hold these materials intact in the Divinity School Library except for items in these archives that are duplicates of items in the "University" collections. The "University" agrees to deposit with \_\_\_\_\_ such registers and finding guides to the material as it prepares and will provide document-retrieval service for officers and staff members of \_\_\_\_\_ and to other persons recommended by \_\_\_\_\_.

\_\_\_\_\_ agrees to send to the "University" from time to time such reports and documents as will augment the archives.

The "University" agrees to grant access to these archives, including limited copying permission, to qualified scholars and researchers. The "University" agrees to seek approval from \_\_\_\_\_ for proposals to publish in extenso materials from the archive.

The "University" agrees that in the event it decides that it is unwilling or unable to hold these archives for any reason, it will first offer them to \_\_\_\_\_. Should \_\_\_\_\_ decline to accept these archives, the "University" will be free to dispose of them in any manner it chooses.

YALE UNIVERSITY

(the organization)

\_\_\_\_\_

( \_\_\_\_\_ )  
Librarian of Yale Divinity School

( \_\_\_\_\_ )  
(president)

Date: \_\_\_\_\_

Date: \_\_\_\_\_

Appendix L

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY  
Special Collections**

**Checklist of Records**

<i>Type of record</i>	<i>Current location</i>	<i>Dates covered</i>
Legal documents (e.g., of incorporation)		
Annual reports		
Board minutes		
Minutes of committee meetings		
Committee or task force reports		
Property records		
Budgets and audits		
Financial ledgers		
Routine correspondence		
Newsletters		
Programs from events		
Personnel files		
Publicity brochures		
Photographs		
Material from other organizations		
Other materials.....		

Appendix M

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY**  
Records Management Policy

<u>Type of record</u>	<u>Retention schedule</u>	<u>Location</u>
<b><i>Financial records:</i></b>		
6 "Rainbow Reports" (monthly fund summaries)	1. Keep entire set for three years.	Rm. 141
	2. Keep transaction records (yellow sheets) for five years.	Rm 141
	3. Keep third balance (green sheets) permanently	Archives
6 Invoices/ purchase orders/ order forms	Keep only for fiscal year	Rm. 141
6 Records related to purchase of major equipment	Keep while equipment is operational	Rm. 141
<b><i>Personnel records:</i></b>		
6 Backup student payroll records	Keep only for fiscal year	Rm. 141
6 Backup Clerical & Technical payroll records (yellow sheets)	Keep only for fiscal year	Rm. 141
6 Student personnel files	Keep while student is employed; administrative assistant to put list of students employed each year in annual report file	Rm. 141
6 Permanent employee personnel files	Keep for current employees.	Librarian's office
	Librarian will review files of noncurrent employees and convey appropriate materials to Archives for	Archives

storage.

Appendix N  
MARC format catalog record for archival collection

,FKU1605  
,ORBIS CATALOGING DV25

,YL,FMT,U,RT,p,BL,m,T/C,a,DT,11/15/96,R/DT,02/23/99,STAT,nn,E/L, ,DCF,a,D/S,D,  
,SRC,d,PLACE,cc ,LANG,eng,MOD, ,REPRO, ,D/CODE,i,DT/1,1939,DT/2,1950,

,035/1: : |a (CtY-D)Missions  
,040: : |a CtY-D |c CtY-D |e appm  
,110:2 : |a Chung-hua chi tu chiao hui. |b Border Service Dept.  
,245:10: |a Papers of the Border Service Department of the Church of Christ in  
China, |f 1939-1949 (inclusive)  
,300/1: : |a 1.5 linear ft. |f (3 boxes)  
,351/1: : |a Arranged in four series: I. Reports and official documents; II.  
Correspondence; III. Writings/Publications; IV. Slides.  
,555/1:0 : |a Unpublished finding aid in repository.  
,545/2: : |a In 1939, the church of Christ in China requested permission from  
the government to educational and medical work among certian ethnic groups on  
China's western border. The government agreed to provide certain equipment and  
the Church would provide the staff. The Border Service Department was the  
first missionary outreach effort of the Chinese Church. The peoples among whom  
the Border Service Department worked were knownKiang or Ch'iang, Chiarong or  
Gia-rung, Lolos or Nosus, and Miaos. Fields of work were western Szechuan  
(Lifan), Sikong and Yunnan. By 1949, neary 100 staff members were at work  
among the border ethnic groups, in primary schools, medical centers,  
agricultural stations, hostels for travelers, and industry projects.  
,520/3: : |a The records provide valuable documentation of an indigenous  
program of the church in China during the years 1939 to 1950. The  
correspondence and writings of Archie R. Crouch, English-language secretary of  
the Department, 1944-1946, provide interesting insight into the experiences of  
a Western missionary serving under Chinese leadership. Reports and official  
documents provide a thorough overview of the Department's work from 1940-1949.  
Also of interest are 60 black and white slides which portray scenes and customs  
of China's western borders.  
,524/1: : |a Papers of the Border Service Department of the Church of Christ  
in China, Manuscript No. 17. Special Collections, Yale Divinity School Library.  
,610/1:20: |a Church of Christ in China. |b Border Service Department.  
,600/2:10: |a Crouch, Archie R.  
,600/3:10: |a Djang, Po-huai.  
,650/4: 0: |a Missions |z China.  
,852/1: : |a Special Collections, |b Yale Divinity School Library, |e 409  
Prospect St., New Haven, CT 06511.  
,856/1:42: |3 SGML finding aid |u  
<http://webtext.library.yale.edu/sgml/df/divinity.017.sgm>  
,856/2:42: |3 HTML finding aid |u  
<http://webtext.library.yale.edu/sgml2/html/divinity.017.sgm.html>  
,909/1: : |a 9903RO  
,928: : |a AC042498  
,940/1: : |a lsf,divr

## Appendix O

### Public view of catalog record for archival collection

Author: Chung-hua chi tu chiao hui. Border Service Dept.  
Title: Papers of the Border Service Department of the Church of Christ in China,  
1939-1949 (inclusive)  
Quantity: 1.5 linear ft. (3 boxes)  
Arrangement: Arranged in four series: I. Reports and official documents; II. Correspondence; III.  
Writings/Publications; IV. Slides.  
Biography: In 1939, the Church of Christ in China requested permission from the government  
to do educational and medical work among certain ethnic groups on China's  
western border. The government agreed to provide certain equipment and the Church would  
provide the staff. The Border Service Department was the first missionary outreach effort of the  
Chinese Church. The peoples among whom the Border Service Department worked were  
known as the Kiang or Ch'iang, Chiarong or Gia-rung, Lolos or Nosus, and Miaos. Fields of  
work were western Szechuan (Lifan), Sikong and Yunnan. By 1949, nearly 100 staff members  
were at work among the border ethnic groups, in primary schools, medical centers, agricultural  
stations, hostels for travelers, and industry projects.  
Summary: The records provide valuable documentation of an indigenous program of the church in  
China during the years 1939 to 1950. The correspondence and writings of Archie R. Crouch,  
English-language secretary of the Department, 1944-1946, provide interesting insight into the  
experiences of a Western missionary serving under Chinese leadership. Reports and official documents  
provide a thorough overview of the Department's work from 1940-1949. Also of interest are 60 black  
and white slides which portray scenes and customs of China's western borders.  
Finding aids: Unpublished finding aid in repository.  
Cite as: Papers of the Border Service Department of the Church of Christ in China,  
Manuscript No. 17. Special Collections, Yale Divinity School Library.  
Subjects (Library of Congress):  
Crouch, Archie R.  
Djang, Po-huai.  
Church of Christ in China. Border Service Department.  
Missions--China.  
Electronic version:  
SGML finding aid  
<http://webtext.library.yale.edu/sgml2html/divinity.017.sgm>  
HTML finding aid  
<http://webtext.library.yale.edu/sgml2html/divinity.017.sgm.html>

LOCATION:  
LSF-Request for Use  
at Divinity Libr  
(Non-Circulating)

CALL NUMBER:  
RG 17

STATUS:

## Appendix P

### Further guidelines on arrangement and description

**Thickness of folders:** Contents should generally be no more than 1/4 to 1/2 inch thick, depending on the kinds of material. A good rule of thumb is to include no more material in a folder than can be reasonably handled by a researcher without disturbing the original order of the folder. When there is a sufficient quantity of materials one should "square" the bottom of the folder along the foldlines so that it will stand flat in the box and not bend.

**Oversize materials:** Folders come in "letter" and "legal" sizes. If a few legal-size items occur in the midst of a letter-size section, these may be accommodated by switching to legal-size folders enough to fill a half-size legal container. **Do not fold** any long items to fit them into a letter-size folder. If an item is too large for the normal folders, a portfolio-size folder can be created by stapling together smaller folders. Oversize document cases in a variety of sizes are available from Hollinger Corp. and other vendors. A dummy folder (empty labeled folder) should be made for oversize items filed out of the normal-sized sequence.

**Items to be repaired:** Important items should be laminated or repaired by someone skilled in the process. Less important items, not worth the cost of repair, should be enclosed in bond paper. Deteriorating items that are valuable only for their content can be replaced by photocopies made on acid-free paper. Transparent (e.g., Scotch) tape should never be used because it deteriorates rapidly and may permanently damage the manuscript.

**Abbreviations:** The months of the year generally are abbreviated as follows:

Jan	Apr	Jul	Oct
Feb	May	Aug	Nov
Mar	Jun	Sep	Dec

Dates written: 1991 Sep 10

Some additional abbreviations:

n.d. no date  
n.y. no year  
n.m. no month  
n.p. no place

**Alphabetical arrangement:** The most important and significant part of a name should appear first in the folder description. Examples:

New Haven, Mayor of	Not: Mayor of New Haven
Missionary Society of Connecticut	Not: Connecticut, Missionary Society of
Yale University, Religious Studies Dept.	Not: Religious Studies Department, Yale
University	

Names beginning with "Mc" (e.g., McLean) are filed alphabetically under "Mac"; names beginning with "St." (e.g., Susan St. John) are filed under "Saint."

**Dating folders:** Dates are printed in the upper right hand corner of each folder. For a folder containing materials representing only a few years, each year may be listed. If a span of years is represented, the inclusive dates may be used. One may also use parentheses to indicate the years of greatest concentration in a long span of material. Examples:

Gray, Vincent J. 1913,1923,1930, n.d.  
Morgan, Andrew 1920-1933  
Rodgers, John 1858-(1880-1900)-1903

**Cross-references and corporate entries:** A recurring problem is whether to file correspondence under the author's name or under a corporate name (institution, company, organization, etc.). Generally, in cases where the author is obviously writing as a low-level representative of an organization, you may file under the corporate name without any reference to the personal name. But if the low-level representative later becomes executive director of the organization, the personal name should take precedence. Quite frequently, personal letters are written on stationery bearing an organization's letterhead. Generally, these letters should be filed under the author's name, perhaps with a notation about the organization and the author's position in it. Example:

Collins, Stephen, secretary of the United Bible Society

If, however, the author writes as an official of an organization, you may decide to file the letters under the corporate name and make a cross-reference from the author's name to the corporate entry. Example:

Wilder, Robert P. See: Near East Christian Council

Such cross-references should be noted on "cross-reference sheets" in the appropriate place in the box. The cross-reference sheets will be removed when the folder description is entered into the computer in preparing the register or finding aid. Cross-references can be used liberally to alert researchers to connections between individuals and organizations.

If a letter is signed by two individuals it may be most appropriate to make a photocopy of the letter and file the original under the first author and the copy under the second.

**Family relationships, nicknames, and identical names:** Family relationships may be delineated whenever such information may be helpful to the researcher. Example:

Johnson, Carolyn (cousin)

Nicknames, especially those used among members of a family, should be noted in the series description or introduction to the collection.

In cases in which two persons have identical names, include birth and death dates to order to distinguish them. Always file the elder person first.

**Names of married women:** Generally the correspondence of married women, even the letters they received before they were married, is filed under their married name, with their maiden name in parentheses. Example:

Graham, Katherine (Walker)

If it seems more appropriate to file materials under both the married name and the maiden name, a cross-reference is in order. Example:

Walker, Katherine See also: Katherine Graham.

If a woman has gained fame or notoriety using a particular name, whether her maiden name, a pen name, or a former married name, use the famous name. Example:

Koch, Adrienne (Mrs. Lawrence Keegan)

Eliot, George (née Mary Ann Evans)

Appendix Q  
Sample Finding Aid

**YALE UNIVERSITY DIVINITY SCHOOL LIBRARY**  
**Special Collections**

RECORD GROUP NO. 17

PAPERS OF THE BORDER SERVICE DEPARTMENT  
OF THE CHURCH OF CHRIST IN CHINA

Register compiled by  
Martha Lund Smalley  
June, 1993

TABLE OF CONTENTS

<u>Series</u>		<u>Page</u>	<u>Quantity</u>
	HISTORICAL NOTE	1	
	INTRODUCTION	3	
I	REPORTS AND OFFICIAL DOCUMENTS	5	12 folders
II	CORRESPONDENCE	7	27 folders
III	WRITINGS/ PUBLICATIONS	10	15 folders
IV	SLIDES	12	1 box
	Total archival boxes		<hr/> 3
	Total linear feet		1.5'

## HISTORICAL NOTE

In 1939, the Church of Christ in China requested permission from the government to do educational and medical work among certain ethnic groups on China's western border. There was a growing tendency to view ethnic groups as a threat to national unity in China during the 1930s, so the government eagerly accepted the Church's proposal. An agreement was made that the government would provide certain equipment and the Church would provide the staff. The Border Service Department was the first missionary outreach effort of the Chinese Church.

Cheng Ching Yi, General Secretary of the Church of Christ in China, conceived the plan for a Border Service Department but died before the Department was established. William B. Djang (Djang Po-huai), former Dean at Cheeloo University, served as General Secretary of the Department from 1939 to 1949. Some Western missionaries served under the Border Service Department, but the staff was primarily Chinese. Archie R. Crouch, missionary of the Board of Foreign Missions of the Presbyterian Church in the U.S.A., spent two years (1944-1946) as English-language secretary on the staff of the Border Service Department. It is through him that these papers of the Border Service Department have been gathered and preserved. Crouch remained in contact with Chinese leaders of the Border Service Department for many years after his return to the United States. The Department was disbanded following the Communist liberation of China.

The peoples among whom the Border Service Department worked were known as the Kiang or Ch'iang, Chiarong or Gia-rung, Lolos or Nosus, and Miaos. Fields of work were western Szechuan (Lifan), Sikong and Yunnan. The Department cooperated with other agencies in carrying out educational, medical and agricultural work. During World War II, a project was carried out in conjunction with the United States Army to educate Lolo people regarding the treatment of airmen who were forced to bail out of their planes into Lolo territory.

By 1949, nearly one hundred staff members of the Border Service Department were at work among the border ethnic groups, in primary schools, medical centers, agricultural stations, hostels for travelers, and industry projects.

## INTRODUCTION

The Papers of the Border Service Department of the Church of Christ in China consist of one and one half linear feet of material divided into four series:

I. REPORTS AND OFFICIAL DOCUMENTS

II. CORRESPONDENCE

III. WRITINGS/PUBLICATIONS

IV. SLIDES.

These records provide valuable documentation of an indigenous program of the church in China during the years 1939 to 1950. The correspondence and writings of Archie R. Crouch also provide interesting insight into the experiences of a Western missionary serving under Chinese leadership. Crouch was English-language secretary of the Department in China 1944-1946; he continued to promote the Department and correspond with its leaders after his return to the United States.

Series I, REPORTS AND OFFICIAL DOCUMENTS, contains administrative memos, reports, records of the Board of Directors, budget information, and other material documenting the program and operations of the Border Service Department. Arranged chronologically, these records provide a thorough overview of the work of the Department during the years 1940 to 1949.

Series II, CORRESPONDENCE, contains primarily the correspondence of Archie R. Crouch and William B. Djang (Djang Po-huai). Crouch served as a liaison between the Chinese leaders of the Border Service Department and its Western supporters. His regular, detailed report letters and other correspondence provide important documentation of the work of the Department. Particularly valuable are the substantive letters exchanged between Crouch and William B. Djang.

Series III, WRITINGS/PUBLICATIONS, includes typescript and published materials on a variety of topics relating to the work of the Border Service Department. Some of the writings specifically describe programs of the Department while others provide background regarding the ethnic groups served by the Department.

Series IV, SLIDES, includes approximately sixty well-labeled black and white slides which portray scenes and customs of China's western borders.

SERIES I		REPORTS AND OFFICIAL DOCUMENTS	1940-1949,n.d.
<u>Box</u>	<u>Folder</u>		<u>Dates</u>
1	1	"C.C.C. Border Missions Budget"	1940
		"Some News Items of Border Mission"	ca. 1942
		"1942 - The Eventful Year in Border Evangelism" by W.B. Djang	ca. 1943
2		"The 1943 Summer Missionary Work of the Border Mission"	ca. 1943
		"Project for Research of Lolo Religion"	ca. 1943
		"An Address of Dr. H.H. Kung to the Border Mission Committee at its Fifth Annual Meeting"	1943 Oct 20
		"Remarks of Mr. Huang Yen Pei on the Border Mission - Fifth Annual Meeting, Chungking"	1943 Oct 20
3		"Social Rehabilitation in the Sungpan-Lifan Area under the Auspices of the Border Mission"	ca. 1944
		"Extracts from a letter of Mr. H.D. Tsui, Field Director of the Lifan Mission"	1944 Jun 6
		"With God Nothing is Impossible" - report of W.B. Djang	1944 Dec 31
4		"A Report of the Border Service Work - 1944" - by W.B. Djang	ca. 1945
		"An Experiment in Close Cooperation between the Government Public Health Administration and the Border Service Hospital in Sichang"	1945 Jun 1
5		"A Memorandum on the Work of the Border Service Department"	1945 Sep 20
		"Memorandum on the War Service Projects in the Estimate budget for 1946"	ca. 1945 1945 (?)
		"Report on the Work of the Border Mission"	1946
6		Minutes - Committee on Aid to Social Workers, International Relief Committee, Chungking	1946 Feb 6
		"A Memorandum of the Border Service Department"	1946 May 7
		Conference between Drs. Tsui, Fisher and Mr. W. B. Djang	1946 Jul
		Minutes - Standing Committee of the CCC	1946 Nov 8
		"A Memo on Border Mission"	ca. 1946
		"Project Requests from the Border Mission of the Church of Christ in China - Submitted to United China Relief for 1946"	1946 (?)
1	7	List of Board of Directors of B.S.D.	1946

SERIES I		REPORTS AND OFFICIAL DOCUMENTS	1940-1949,n.d.
<u>Box</u>	<u>Folder</u>		<u>Dates</u>
	Summary B.S.D. 1947 Budget	1946	
	"A Memo on the Border Mission" by W.B. Djang		1947 Apr 20
8	"Minutes of a Special Meeting of the General Committee of the Border Mission of the Church of Christ in China (The Nanking Section)"		1948 Jun 10
	Circular letter from C.T. Tsai, Secretary for National Missions, Church of Christ in China		1949 Nov 18
9	"Constitution of the Border Missions Commission" n.d.	n.d.	
	"Evangelistic Work of the Border Mission of the G.A. of the C.C.C."	n.d.	
	"Report on a Visit to the Border Mission" [by Archie R. Crouch]	n.d.	
10	"Tengchung Report"	n.d.	
	"Project for a Survey of Christian Work among Yunnan Tribes People"	n.d.	
	"War Service Project for the Lolos of the Liangshan Region"	n.d.	
11	"A List of Audio-visual Education Equipment for the B.S.D. of the C.C.C."	n.d.	
	"The Medical Staff of the Border Mission"	n.d.	
	"Staff of the Sikong Hospital of the B.S.D."	n.d.	
12	"Suggestions for an Institute of Cultural Research"	n.d.	
	"The Border Research Institute"	n.d.	
	"Books and Magazines Wanted by the B.S.D."	n.d.	
	"Special Program"	n.d.	
	Financial statement form	n.d.	
	Chinese language report of Border Mission actions re. budget and personnel	n.d.	

SERIES I		REPORTS AND OFFICIAL DOCUMENTS	1940-1949,n.d.
<u>Box</u>	<u>Folder</u>		<u>Dates</u>
<b>CORRESPONDENCE OF ARCHIE R. CROUCH</b>			
1	13	British Information Services	1946
		British Ministry of Information	1946
		- re. missing photographs of Lolo life and culture	
		Broomhall, A. J. (China Inland Mission)	1948
14		Clarke, Hal	1946-1947
		Connibear, A.A.	1945
		Coonradt, Ralph	1946
		Copland, E. Bruce	1946-1950
		Cranstoun, Margaret	1946
		Crouch report letters to supporters in U.S.	
15			1943-1945 Jul
16			1945 Sep-1947
17		Crouch circular letter	1946
		Crouch letters of acknowledgement for financial support of Border Service Department and re. speaking engagements in U.S.	
17			1945-1946 Aug
18			1946 Sep-1947
19			1948
20			1949,1950
		Djang, William B. (Djang Po-huai)	
21			1946 Jan-Mar
22			1946 Apr-Aug
23			1946 Nov-Dec
24			1947 Jan-Sep
25			1947 Oct-Dec
26			1948-1950
27		Dye, Daniel S.	1950
		Henderson-Smith, J.	1945-1946
		Ho Chao-fan	1949
		Hsu, C.L.	1946
28		Jiang Wen-Han (Kiang Wen Han)	1983-1984
		and letter re. his death from wife, Yao Hsien-Hwei	
		Lautenschlager, Stanton	1947
		Ling, Frank	1946
		Liu, Grace	1946

SERIES I

**REPORTS AND OFFICIAL DOCUMENTS**

1940-1949,n.d.

Box    Folder  
Liu Lin-Chiu

Dates  
1949

SERIES I  
Box   Folder

**REPORTS AND OFFICIAL DOCUMENTS**

1940-1949,n.d.  
Dates

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