Archival Issues

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PUBLICATION REVIEWS

EDITORIAL POLICY

Archival Issues, a semiannual journal published by the Midwest Archives Conference since 1975, is concerned with the issues and problems confronting the contemporary archivist. The Editorial Board welcomes submissions related to current archival practice and theory, to archival history, and to aspects of related professions of interest to archivists (such as records management and conservation management). We encourage diversity among topics and points of view. We will consider for publication submissions of a wide range of materials, including research articles, case studies, review essays, proceedings of seminars, and opinion pieces.

Manuscripts are blind reviewed by the Editorial Board; its decisions concerning submissions are final. Decisions on manuscripts will generally be made within 10 weeks of submission, and will include a summary of reviewers' comments. The Editorial Board uses the current edition of *The Chicago Manual of Style* as the standard for style, including endnote format.

Please send manuscripts (and inquiries) to Board Chair Todd Daniels-Howell. Submissions are accepted as hard copy (double spaced, including endnotes; 1-inch margins; 10-point or larger type), or electronically (Microsoft Word, WordPerfect, or .rtf files) via 3 ½" diskette or as an E-mail attachment.

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Archival Issues reviews books, proceedings, Web publications, and other materials of direct relevance or interest to archival practitioners. Publishers should send review copies to Publication Reviews Editor Jennifer Thomas. Please direct suggestions for books, proceedings, Web publications, other materials for review, and offers to review publications to the Publication Reviews Editor.

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Subscriptions to *Archival Issues* are a part of membership in the Midwest Archives Conference; there is no separate subscription-only rate. Membership, which also includes four issues of *MAC Newsletter* and reduced registration fees for MAC's two yearly meetings, is $30 per year for individuals and $60 per year for institutions. See http://www.midwestarchives.org/membershiptypes.asp for more information about memberships. Members outside of North America may elect to have the journal and newsletter mailed first class rather than bulk mail, at additional cost.

Single issues of the journal are available at $15, plus $1 shipping and handling.

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A panel of three archivists independent of the journal's Editorial Board presents the Margaret Cross Norton and New Author Awards for articles appearing in a two-year (four-issue) cycle. The Norton Award was established in 1985 to honor Margaret Cross Norton, a legendary pioneer in the American archival profession and the first state archivist of Illinois. The award recognizes the author of what is judged to be the best article in the previous two years of *Archival Issues* and consists of a certificate and $250. The New Author award was instituted in 1993 to recognize superior writing by previously unpublished archivists, and may be awarded to practicing archivists who have not had article-length writings published in professional journals, or to students in an archival education program. Up to two awards may be presented in a single cycle.

Margaret Cross Norton Award

The Margaret Cross Norton Award for the best article published in *Archival Issues*, Volumes 25 and 26, went to Randall Jimerson for his article, "Margaret C. Norton Reconsidered." According to the award citation, "Randall Jimerson's article reviews the legacy of one of the most influential American archivists and, in the process, contributes significantly to the meager body of our own historiography. By examining not only her published writings but her professional reports, personal correspondence, and conversations, Jimerson traces Norton's influence on American pragmatism and, by doing so, provides a reinterpretation of Norton's legacy that is more complex and nuanced than either her advocates or detractors have recognized. But perhaps more significantly, Jimerson's article contributes to the ongoing debate about our professional identity. ... It is fitting that Randall Jimerson's article receive MAC's Margaret Cross Norton Award. Like Norton's writings, Jimerson's article is insightful, well written, and contributes to the archival profession's body of knowledge."

New Author Award

The New Author Award for the best article by a previously unpublished author (also in Volumes 25 and 26) went to Matthew Brown for "The First Nixon Papers Controversy: Richard Nixon's 1969 Prepresidential Papers Tax Deduction." The award citation for Matthew Brown describes his article as "an outstanding example of how to use primary sources to recreate a historical event. Brown not only tells a good story, but he does an excellent job of identifying the consequences and implications of this event. ... His article is very well organized and readable; it provides ample evidence of original research; and it presents new information and insights into issues of concern to the profession. In short, it can truly be said that Brown's article contributes to the profession's body of archival theory and knowledge."

THE EDITORIAL BOARD

PERSONAL FACULTY WEB SITES: EXPLORING ARCHIVAL ISSUES AND THE DIGITAL CONVERGENCE

BY NANCY DEROMEDI

ABSTRACT: "Wired Faculty: Research to Assess the Archival Value of Faculty Web-sites to Document Their Functions and Activities at the University of Michigan" was a one-year study that involved looking at 30 personal faculty Web sites at the UM. The purpose of the study was to discover how faculty uses the World Wide Web for teaching and research and to ask whether faculty Web sites have value as an archival documentation form. And if so, what are the challenges of this particular digital form for archival institutions.

Introduction

This paper looks at the use of on-line technologies, specifically personal Web sites created by university faculty members at one major research university, the University of Michigan (UM).[1] The purpose of this paper is to discuss how faculty are using personal Web sites[2] and to highlight some of the challenges and opportunities Web sites pose as an archival documentation form. The work that was the foundation for this paper was the result of an archival research fellowship project, "Wired Faculty," sponsored by the National Historic Publications and Records Commission (NHPRC).[3]

The University Archives Program at the University of Michigan

At about the time universities were being shaped as modern institutions of higher education, the first president of the University of Michigan noted, "'where you collect the treasures of learning and learned men, you cannot fail of a University.'"[4] It is the mission of the Bentley Historical Library (Bentley Library) to collect these "treasures of learning and learned men." The Bentley Library, established in 1935, has three divisions: the Michigan Historical Collections (MHC), the University Archives and Records Program (UARP), and Access and References Services.[5] The University

Archives and Records Program, mandated by the board of regents, serves as the official archives for the University of Michigan. UARP selects, describes, and makes available records created by university administrative offices, 19 schools and colleges that compose the university, numerous associated centers and institutes, special committees, and student and faculty organizations. UARP is also charged with collecting personal papers of university faculty. The main objective of UARP is to document the careers of faculty members who have "been valued teachers; have defined significant ideas; have undertaken important research and have carried out exemplary service to the university or larger community."[6]

At the University of Michigan, faculty papers are considered personal and are not official university records. Policy on faculty works at the university states that "consistent with academic freedom and tradition, all faculty (including full-time, part-time, adjunct and emeritus faculty) own and control instructional materials and scholarly works created at their own initiatives with usual University resources."[7] Therefore, faculty who do transfer their records to the archives have the choice to either sign their copyrights over to the board of regents or retain copyright.

As a part of this project, an analysis of the library's collections showed that the Bentley Library holds more than four hundred individual manuscript collections from University of Michigan faculty. This analysis showed which academic disciplines were better represented than others, the average size of the collections, and the overall representation of faculty by gender. The analysis also showed that most faculty "papers" were, in fact, paper. In an environment that has become increasingly digital since the early 1990s, this article looks beyond the traditional paper formats that have generally formed the basis for faculty collections.

Personal Faculty Web Sites and the Digital Convergence

Institutions of higher education are already showing signs of a digital future. Possibly, the future is here. Walking through the campus "diag,"[8] students and faculty alike are visibly outfitted with digital tools—cell phones, laptops, iPods. Digital tools are being used in "traditional" settings, such as the classroom, the library, and other common areas, and they are changing the nature of these traditional settings. For example, students now attend lectures with their laptops to take notes—or students may not attend the lecture, opting instead to download the podcast version ("podcasting" is the publication of multimedia files on-line). This paper considers the challenge of the digital convergence as it relates to appraising and collecting faculty papers.

What is the challenge of the digital convergence when thinking of faculty Web sites? The challenges seem to be twofold. The first part is knowing what pieces of the archivist's traditional practice can be applied to Web sites as a documentation form. The second part, one can argue, is working with the challenges presented by newer documentation forms. A key question that the study of faculty Web sites included was whether traditional appraisal values apply to personal faculty Web sites. Drawing on Theodore Schellenberg's taxonomy of primary and secondary values, Gerald Ham describes the primary values as those records essential to the "ongoing, day-to-day

administrative affairs of the creator, to document legal obligations, and/or to establish fiscal responsibility and accountability."[9] Typically, primary values are temporary in nature. The records are created to serve a function, and once the function is complete there is a defined time period in which the record needs to be kept. Records with secondary values are those that have numerous uses beyond their original primary administrative, legal, or fiscal use. The secondary value is the "value of the information as evidence of the organization, functions, policies, decisions, procedures, operations and other activities of the person or corporate body that produced the record."[10] It is this secondary value that is inherent in the documentation UARP has traditionally collected from faculty to ensure institutional accountability and memory. Traditional record types with secondary value include correspondence, lecture notes, course materials, speeches, research-related records, bibliographies, curricula vitae, photographs, films, and audio- and videocassettes. To see how traditional record types converge with faculty Web sites, the first step in the analysis was to look at how a small subset of faculty use their personal Web sites.

Personal Faculty Web Sites at the University of Michigan

The "Wired Faculty" study showed that at the University of Michigan faculty create and use personal Web sites to support two main activities: to present and promote their academic identity and achievements, and to convey knowledge through the distribution of teaching and research materials. Faculty present their academic identity by posting biographical materials on their personal Web site. As Catherine O'Sullivan also found in "Diaries, On-line Diaries, and the Future Loss to Archives; or, Blogs and the Blogging Bloggers Who Blog Them," the "About Me" section is a standard component.[11] "About Me" most often includes a photograph of the faculty member, contact information and a curriculum vitae (c.v.). What makes the on-line c.v. different from a printed one is that the on-line document is expandable. If the faculty member decides the document needs updating, the c.v. need not remain static on the Web. The "Wired Faculty" analysis of Web sites found that faculty provide hypertext links to their dissertations, graduate school mentors, press releases announcing awards they have received, and, more often than not, the on-line bookseller, like Amazon.com, that sells their academic publications. In a sense, the Internet promotes the faculty's expertise by placing the "About Me" information front, center, and open to the public. On the Web, faculty knowledge is shared both locally and globally.

Faculty as Public Intellectual, Faculty as Bloggers

The globalization of faculty knowledge is evidenced in what a recent university reporter described as the "public intellectual."[12] This new status was recently bestowed upon a University of Michigan faculty member, Juan Cole, based solely on his personal blog.[13] Professor Cole, a specialist in Middle Eastern and South Asian history, uses his blog to publish "informed" commentary based on his academic knowledge of events in

Iraq. An average of twenty thousand viewers access the blog each day. The importance of Cole's blog can be measured by its high number of viewers, and also by Cole's invitation to appear before the United States Senate Committee on Foreign Relations in the spring of 2006, in order to present his views on the Iraq war. When Professor Cole was asked why the committee invited him to speak, he stated that "it grew out of my increasing role as a public intellectual and commentator on Iraq affairs, and my Web log."[14] How the academic institution views the blog will, in part, inform its appraisal value. This issue is currently being debated in academic circles—are blogs a new form of community service? Does blogging reflect a new form of scholarly communication? Does it further academic discourse?[15]

The University of Michigan provided evidence of the importance of faculty blogs as channels for intellectual discourse. The University Library, in collaboration with the Bentley Library, launched a blogging service in February 2006.[16] The service, called mBlog, is open to current students, faculty, and staff.[17] The system is designed to include the option for archiving the blog along with the initial "use agreement" statement. That is, the user can opt in to have his or her blog appraised by UARP staff once it is considered inactive. In a recent survey of users of the system, the reaction to the option of having blog content archived at the Bentley Library was very positive. Comments from users (faculty and students) included: "I think it is awesome. Though later the content will/should be filtered it provides a very interesting institutional time capsule," "I hugely appreciate the Bentley's participation. I am planning to create a blog for my UM work, and plan to select the Bentley archiving option for that," and "excellent to preserve information in a growing online world."[18] Being part of the system design and policy formation better affords UARP the opportunity to select and preserve this new digital content.

Digital Convergence: Personal Web Sites as a Portal for Other Systems

Helen Samuels states in *Varsity Letters: Documenting Modern Colleges and Universities* that to understand the teaching process requires "a knowledge of who teaches, what is taught, and how it is taught."[19] The "Wired Faculty" study found that personal faculty Web sites do contain evidence of what is taught and how it is taught. These core functions are represented in the inclusion of course syllabi, lecture notes, and course home pages.

Course syllabi are typically related to a faculty Web site in one of three ways. The syllabi can be stored within the faculty member's personal Web space (note that personal Web space refers to the standard computing package allotted to all current faculty, students, and staff) and are most often linked as a Microsoft Word (.doc) or PDF (.pdf) document. Second, syllabi can be part of a "course home page." A course home page is usually a Web site designed for one specific course. The course Web site is also most often located within the faculty member's personal Web space and is linked from the faculty member's home page. The course home page typically contains all the information students used to receive in paper announcements and in a printed syllabus. For example, the course home page will include contact information, course

policies, a reading list, and the course assignments and due dates. Finally, syllabi can be found linked from the faculty member's personal Web site but stored in a course management system that is external to the personal Web space. Many universities now have course management systems (CMS). These systems initially provided an integrated E-mail, announcement, and resources interface for faculty. Over the past few years, the systems have grown to include a grading interface and threaded discussion and chat rooms.[20] Thus, teaching materials are dispersed across systems and across formats. The creation and dissemination of teaching materials can now be accomplished through the personal faculty Web site, in the course management system, and in paper-based systems.

At the University of Michigan, no university policy mandates or suggests the use of any of the systems. Faculty are encouraged to be entrepreneurs and they are responding. Professors are exploring the new features offered in the various on-line systems, including personal Web sites, course management systems, and the mBlog service. The challenges here are clear. To obtain a complete record of a faculty member's teaching activities, the archivist may need to obtain documentation from several discrete systems. The question will be whether these systems are designed to capture materials at a specific point in time. A second challenge will be relating material from the separate systems to other materials created by the faculty member that have been appraised for retention.

In addition to providing evidence of teaching, personal faculty Web sites also contain evidence of a second vital university function: conducting research. Helen Samuels writes that "documenting research poses several documentation problems," including the need to document the process (not just the administration and final products), the dispersal of the record, the multiformat nature of the documentation, and the intangible aspects of the research process.[21] The "Wired Faculty" study found that personal faculty Web sites can serve as a gateway to a faculty member's associated research project or lab Web sites. That is, faculty are creating or contribute to work that is documented on separate but related Web sites. As with the course home page, faculty are creating Web sites beyond their personal Web site for research and laboratory projects. These sites are linked to the faculty member's personal Web site, but might be stored in server locations external to the faculty member's space in the University of Michigan network.[22]

The faculty research Web sites tell us another part of the research story through descriptions of research projects, timelines, and photographs of graduate assistants and facilities. The Web sites also provide reference links to project reports and conference presentations. These associated research sites are unique in that, as a part of the faculty Web site, they provide a snapshot of research in process. This study found that research Web sites hold the potential to fill a gap Helen Samuels found in documenting the research process. Samuels found that the dispersal of research-related documentation has been one of the problems in documenting research. The research or project Web site provides in some sense a central portal for specific research projects. The dispersal of the information, however, may still pose an issue depending on whether the documents are stored on one faculty member's server space or dispersed among project members.

Revising the Documentation Universe

Faculty Web sites are complex because the Web sites themselves are a documentation form that integrates, embeds, and distributes information. Web sites integrate information from other systems (e.g., blogs, "Wikis"—Wikipedia entries—and databases). Objects can be embedded in a Web site (e.g., objects can range from a Word document [.doc] to an executable, or program, file [.exe]). Lastly, the very nature of Web sites distributes information through hypertext links. The information can reside within the directory structure of the root Web site, or it can be linked to a domain internal to the university (e.g., to academic program information located on the Web site of a school or college in which the faculty member teaches) or external to the university (e.g., to the site of a university faculty member outside of the UM). There are no limits to the number of links used within a Web site.

Traditional appraisal values can apply to newer digital forms like personal Web sites; however, the complexity of the Web site needs to be considered when appraising for long-term use and preservation. This aspect of the appraisal process extends beyond the evidence found in the content of the record to judgments on determining how the record is structured, the extent of the record, privacy or confidentiality concerns, ownership, how and when to capture a dynamic virtual object as a record, the frequency with which the Web site should be fixed as a record, and how to best manage the record over time to ensure long-term preservation and use. This aspect of the appraisal process will address whether applications or scripting languages that provide a component of the look and feel of a Web site are essential to the record. It will also, for example, address the depth and breadth of the Web site that should be part of the capture, or "snapshot," and whether the absence of external links and associated content will decrease the value of the Web site itself.

Applying Traditional Archival Processes to Newer Digital Forms

While traditional appraisal values can apply to newer digital forms, one can argue that it is our traditional professional practice that does not correspond as neatly to the acquisition of personal faculty Web sites. The relationship between the faculty Web site and related systems (course management and blogging systems) highlight this fact. A collection policy that specifically addresses new digital formats and other systems is key to establishing a proactive program for faculty papers in this complex technological environment.

In North America, the practice of soliciting and collecting faculty papers is a "low priority" for many university archival programs.[23] But in *The Management of College and University Archives*, William Maher advises archivists to be aggressive in collecting faculty papers within their institution. Likewise, a shift toward this more proactive approach is seen in a paper presented by Christine Weideman and Thomas Hyry, "American Appraisal Theories and Practice—A View from a Private Archives."[24]

A proactive approach is necessary in this new digital environment. Challenges abound on how to best manage an approach to collecting faculty "papers"—especially

with faculty who are exploring new technologies like blogs, Web sites, and podcasts to support their core functions. How does the University Archives guide close to three thousand individual record creators in diverse academic fields on best practices? Can guidance be generalized enough to form a high-level best practice, or would a more proactive approach include selecting and consulting only a small subset of faculty on their various intellectual outputs across formats and systems? Is there an institutional repository in place that works as an archival digital repository or should the archives program build its own system? These issues need to be explored and researched.

Conclusion

The digital convergence in the faculty documentary record is evidenced by the use of Web sites, podcasts, blogs, and Wikis. It is clear that faculty are creating documentation that is not bound to a single format or to a single system. Faculty have incorporated the World Wide Web and other digital systems into their core teaching activities. An excellent example of such a Web site is one completed by a University of Michigan postdoctoral fellow, Kent Kleinman, as part of the University's Public Good Council fellowship program in 2002/2003.[25] However, while faculty have embraced new technologies, many questions remain concerning the most effective strategy for the collection, management, and preservation of complex digital objects like personal faculty Web sites.

ABOUT THE AUTHOR: Nancy Deromedi is an associate archivist at the Bentley Historical Library, University of Michigan, where she began her career in archives working on the personal digital collection of former university president James J. Duderstadt. She consults with university offices and individuals on digital records and also takes an active role in university committees charged with implementing a campuswide institutional repository and blogging service.

She would like to thank Amy Cooper Cary for her assistance in editing this paper, and her Bentley Library colleagues, Nancy Bartlett and Brian Williams, for their support on this project.

Selected Sources and Sites

1. Juan Cole, *Informed Comment*, blog, http://www.juancole.com.
2. Frances Fournier, "'For They Would Gladly Learn and Gladly Teach'—University Faculty and Their Papers: A Challenge for Archivists," *Archivaria* 34 (1992): 58–74.
3. Robert Haug, "An Informed Commentator," *Michigan Today* 36:2 (summer 2004).
4. Kent Kleinman, *The William Muschenheim Digital Archive and Timeline*, http://www.umich.edu/~bhl/bhl/exhibits/musch/.
5. William Maher, *The Management of College and University Archives* (Metuchen, NJ: Society of American Archivists and Scarecrow Press, 1992).
6. Catherine O'Sullivan, "Diaries, On-line Diaries, and the Future Loss to Archives; or, Blogs and the Blogging Bloggers Who Blog Them," *American Archivist* 68:1 (2005): 53–73.
7. Panel on the Impact of Information Technology on the Future of the Research University, *Preparing for the Revolution: Information Technology and the Future of the Research University* (National Academies Press, 2002).
8. Howard Peckham, *The Making of the University of Michigan, 1817–1967* (University of Michigan Press, 1967), and *The Making of the University of Michigan, 1817–1992*, 175th anniversary edition, ed. Nicholas and Margaret Steneck (University of Michigan Bentley Library, 1992).
9. Helen Samuels, *Varsity Letters: Documenting Modern Colleges and Universities* (Metuchen, NJ: Society of American Archivists and Scarecrow Press, 1992).
10. Wilfred Shaw, *A Short History of the University of Michigan* (Ann Arbor: G. Wahr, 1934).
11. University of Michigan, Office of Budget and Planning, Electronic Fact Pages, http://www.umich.edu/~oapainfo/contents.html#SectionI.
12. University of Michigan, University Archives and Records Program, Web site, http://www.umich.edu/~bhl/uarphome.htm.
13. Christine Weideman and Thomas Hyry, "American Appraisal Theories and Practice—A View from a Private Archives," presentation, International Congress on Archives, Vienna, Austria, August 23, 2004, http://www.wien2004.ica.org/imagesUpload/pres_274_Weideman_Hyry_BEN01.pdf.

NOTES

1. The University of Michigan, founded in 1817, comprises three campuses. Ann Arbor is the main campus and is the focus of this paper. The Ann Arbor campus has more than three hundred major buildings. The University manages a budget of more than three billion dollars and receives more than seven hundred million dollars in research funding. Annual enrollment is more than thirty-eight thousand undergraduate and graduate students and total instructional faculty is near three thousand. Further information about the university can be found within the University of Michigan, Common Data Set, http://sitemaker.umich.edu/obpinfo/files/umaa_cds2005.pdf.
2. Web space at the university is organized by the Andrew File System (AFS). The AFS is based on a hierarchy of one root administrative cell assigned to the University of Michigan and five directories within the root cell. The five directories are class, group, system, UM, and user. It is within the user directory that faculty, staff, and students have an allocated amount of space for their personal use. In this paper, "personal Web sites" and "personal Web space" refer to this type of Web site. Currently, faculty, staff, and students have as part of the standard computing package one gigabyte of space.
3. The National Historic Publications and Records Commission (NHPRC) archival fellowship was awarded in 2002/2003. The title of the study was "Wired Faculty: Research to Assess the Archival Value of Faculty Websites to Document their Functions and Activities at the University of Michigan." Further information on the program can be found at http://www.masshist.org/fellowships/fellows.cfm?fellowship=nhprc.
4. Henry Phillip Tappan, 1858, quoted in Henry Howard Peckham, *The Making of the University of Michigan, 1817–1967*, (University of Michigan Press, 1967): frontispiece.
5. For further information on the Bentley Historical Library and its activities, see http://www.umich.edu/~bhl.
6. For this and further information on faculty papers at the Bentley Historical Library, see University Archives and Records Program, "Faculty Papers," July 2006, http://www.umich.edu/~bhl/bhl/uarphome/facpapers.htm.
7. Office of the Provost and Executive Vice President for Academic Affairs, University of Michigan, "Ownership of Copyrighted Works Created at or in Affiliation with the University of Michigan," June 6, 2002, approved by the regents November 14, 2002, http://www.copyright.umich.edu/official-policy.html (22 April 2006).
8. The UM diag is a large grassy area on central campus bounded by State and East University streets.
9. Gerald Ham, *Selecting and Appraising Archives and Manuscripts* (Society of American Archivists, 1993): 8.
10. Ibid.
11. Catherine O'Sullivan, "Diaries, On-line Diaries, and the Future Loss to Archives; or, Blogs and the Blogging Bloggers Who Blog Them," *American Archivist* 68:1 (2005): 53–73.
12. Robert Haug, "An Informed Commentator," *Michigan Today*, 36:2 (summer 2004): 2.
13. Juan Cole's blog is available at http://www.juancole.com.
14. Haug, "An Informed Commentator," 2.
15. Jeffrey Young, "Profs with Blogs," *The Chronicle of Higher Education*, June 4, 2003.
16. Further information about the system can be found in "Diaries of the 21st Century: U–M Offers Free Blogs for Students/Employees," *University Record*, February 9, 2006, http://www.umich.edu/news/index.html?Releases/2006/Feb06/r020906a.
17. The system was officially turned on February 16, 2006, and currently has approximately two thousand users. The interface to the system can be viewed at http://mblog.lib.umich.edu/. The Bentley Historical Library's statement on collecting blogs can be found at http://mblog.lib.umich.edu/.
18. University of Michigan mBlog advisory team, unpublished data. The survey netted a response by 277 users. The purpose of the survey was to gather information about the system for the next phase of development. The quotes used in this paper are a sample from the answers to the on-line survey.
19. Helen Samuels, *Varsity Letters: Documenting Modern Colleges and Universities* (Metuchen, NJ: Society of American Archivists and Scarecrow Press, 1992): 58.
20. The University of Michigan's system is referred to as CTools. See https://ctools.umich.edu/portal/site/!gateway/page/1091327577209-1420515.
21. Samuels, *Varsity Letters*, 110.

22. Other locations for this type of information include departmental servers and another Web-based publishing system called Sitemaker. As with the CTools system, Sitemaker is supported across the university.
23. Frances Fournier, "'For They Would Gladly Learn and Gladly Teach'—University Faculty and Their Papers: A Challenge for Archivists," *Archivaria* 34 (1992): 71.
24. William Maher, *The Management of College and University Archives* (Metuchen, NJ: Society of American Archivists and Scarecrow Press, 1992). Christine Weideman and Thomas Hyry, "American Appraisal Theories and Practice—A View from a Private Archives," presented at the International Congress on Archives, Vienna, Austria, August 23, 2004, http://www.wien2004.ica.org/imagesUpload/pres_274_Weideman_Hyry_BEN01.pdf.
25. This Web-based teaching tool using primary sources was completed as part of a fellowship program under the direction of the Public Goods Council at the University of Michigan. Kent Kleinman designed the Web site during his fellowship at the university during the 2002/2003 academic year. The Web site is accessible at http://www.umich.edu/~bhl/bhl/exhibits/musch/.

DOCUMENTING TEACHING AND LEARNING: PRACTICES, ATTITUDES, AND OPPORTUNITIES IN COLLEGE AND UNIVERSITY ARCHIVES

BY COLLEEN MCFARLAND

ABSTRACT: Although colleges and universities generate abundant records, postsecondary teaching and learning have been difficult to document. Recent trends in postsecondary education are providing increased access to classroom activities and are creating a climate in which the documentation of teaching and learning is desirable. These trends have the potential to enable archivists to preserve more evidence of teaching and learning than ever before, while also contributing to the teaching missions of their institutions. This article reviews the literature on the documentation of teaching and learning in college and university archives and introduces the scholarship of teaching and learning to the archival community. The article then presents the results of a pilot survey on (1) current collecting practices related to the documentation of teaching and learning, and (2) college and university archivists' awareness of postsecondary educational trends and involvement in campuswide activities surrounding educational assessment and pedagogical effectiveness. The author argues that increased engagement of college and university archivists in postsecondary educational reform could significantly benefit both the archives and the larger institutions they serve.

> If ye do truly believe, go ye into all the colleges and universities and labor to bring forth the harvest. For ye nonbelievers, no amount of personal testimony, reported miracles, or warmed over archival experience will cause the Word to dwell among you.
>
> —Maynard J. Brichford[1]

Modern American institutions of higher learning generate abundant records. It is the task of the college or university archivist to appraise, process, preserve, and provide access to those records of enduring value. William Maher has noted that this is no easy feat. Shaped by the peculiarities of each institution, the diverse roles assigned to college and university archivists, ranging from publicity agent to teacher, often overshadow the collection and preservation of institutional records.[2] As suggested by

Maynard Brichford's pronouncement, the administration of higher education records requires an ardent devotion to, or, at least, a clear understanding of the mission of the institutional archives.

Complicating the college or university archivist's mission further, some of the core activities of colleges and universities are better documented than others. As in any institution, the reams of formal records generated by administrative offices capture significant information about some institutional activities, while thoroughly neglecting others. To assist archivists in documenting the day-to-day activities of colleges and universities, Helen Samuels conducted a functional analysis of higher educational institutions. In *Varsity Letters: Documenting Modern Colleges and Universities,* Samuels identifies seven functions of colleges and universities: conferring credentials, promoting culture, conveying knowledge, fostering socialization, providing public service, conducting research, and sustaining the institution. The first four, she notes, encompass various aspects of teaching, some of which are easier to document than others.[3]

Samuels' definition of the third function, conveying knowledge, reads as follows: "Conveying knowledge describes the roles of teachers, students, and administrators in the teaching and learning process; the method by which knowledge is conveyed and its substance; and how the process is evaluated."[4] Administrative roles in conveying knowledge, she notes, are generally well documented in formal institutional records: minutes of curriculum committees, correspondence from administrative offices, and records of the registrar's office provide ample evidence of campus administrators' activities in this area. Official institutional publications, such as the course catalog and semester class schedules, complement these records, supplying information about the classes taught by faculty. Yet teaching and learning, or what actually happens inside the classroom, the laboratory, and the study carrel, are not captured in any of the aforementioned records. In fact, as Samuels asserts, the documentation of teaching is very difficult, for "few records exist that capture the information conveyed and the style of delivery" in the classroom.[5] The documentation of learning, she maintains, also presents a challenge for college and university archivists. Despite the wealth of papers, exams, and final projects that document student learning on American campuses, college and university archives have typically collected few records that reflect students' participation in and reflection on the educational process.[6]

Several factors contribute to the paucity in college and university archives of records documenting teaching and learning. Above all, some of the most informative documentation is sensitive in nature, and therefore likely to be restricted or never accessioned in the first place. Teaching evaluations, for example, may constitute part of a faculty member's confidential personnel file. Similarly, exams, papers, and other student projects that commonly arrive with a faculty member's papers present privacy issues. Because, in most cases, faculty members, not students, donate the materials, archivists must carefully consider how to handle them.[7] Additionally, many faculty have been reluctant to open their classrooms to archivists. Citing the hallowed privilege of academic freedom, faculty have traditionally guarded their classrooms closely, rendering the lecture hall one of the most private of public spaces.[8]

Recent reforms in postsecondary teaching, however, have fundamentally altered the status of pedagogical activities on American college and university campuses. A

number of interested parties, including accrediting bodies and grant agencies, now require institutions of higher education to regularly assess their effect on the intellectual and social development of their students. In the current climate of evaluation and 'accountability,' faculty teaching is subjected to external scrutiny, and student learning is measured with rubrics and questionnaires. Faculty and administrators, in response, have broached campuswide discussions of pedagogy, learning styles, and outcomes assessment. At its most informal, the dialogue about teaching and learning occurs at brown-bag lunches or casual reading groups convened to address pedagogical issues. More formal deliberation occurs under the auspices of a new field of academic study—the scholarship of teaching and learning, or SoTL. Through scholarly journals and campus-based resource centers (often called centers for teaching and learning), practitioners of SoTL report the results of classroom-based research and reflect on pedagogical technique and performance measures in order to further postsecondary learning.

Given the new openness surrounding higher educational activities, it would seem that archivists would be better positioned than ever to document teaching and learning. Also, by participating in the documentation of teaching and learning, college and university archivists would strengthen their relationship to the core institutional mission. Yet obtaining access to the documentation of teaching and learning would require a fundamental shift in the role of the college or university archivist—one in which the archivist actively participates in the culture of teaching, assessment, and institutional research. While this falls outside of the traditional role of the archives profession, it is reasonable to think that archivists might offer their expertise in appraising records of teaching and learning and in developing documentation strategies to serve the needs of faculty and administrators engaged in assessment and SoTL.

Before considering this possibility, however, one must examine the current climate surrounding the documentation of teaching and learning in college and university archives. A review of archival literature reveals that no survey of archival practices surrounding the documentation of postsecondary pedagogy has ever been conducted. Additionally, no information on archivists' awareness of postsecondary teaching reform has been collected. The purposes of this pilot study, therefore, are to investigate archivists' current collecting practices for and interest in materials documenting teaching and learning and to gauge their knowledge of assessment and SoTL. From the data collected, provisional recommendations may be formulated regarding the future of the documentation of teaching and learning and the changes required among college and university archivists to accommodate that future.

Collecting and the Classroom

Remarkably little has been written about college and university archival practices and collections relating to the documentation of teaching and learning. In 1996, Helen Samuels published a case study that describes her experiences documenting an engineering course at MIT.[9] As her first attempt to deliberately document a class, this project had several goals: to determine what critical information is not recorded in

the process of teaching, to capture this information through nontraditional archival processes, and to ascertain the value of this information to members of the university community. The faculty specifically sought information to help them assess the success of the course—information about the intellectual development of students, the efficacy of teaching methods, and faculty and student assessments of teaching and learning. Working closely with the professors teaching the course, Samuels developed a documentation strategy to meet their objectives. Samuels' documentation plan included videotapes of selected lectures, photographs of laboratory activities, notes taken by herself and a librarian during each lecture and teaching staff meeting, and interviews with two professors and three students. In addition, Samuels included the written records created during the term, such as the syllabus, class handouts, and the students' final projects.[10]

It is interesting to note that Samuels did not speculate whether she collected the "right" information about teaching and learning. Instead, she evaluated her efforts by the reactions of the faculty involved in the project and selected campus administrators. Both groups deemed her work important in assisting individual and campuswide assessment efforts. Faculty saw the project's use in evaluating current and developing new teaching methods, while administrators emphasized its potential in establishing evaluative criteria for identifying and assessing effective teaching campuswide. Samuels also argues that her project reaped benefits for the archives. Not only did it raise the profile of the archives among faculty and administrators, but it also provided another means, besides archival instruction for students, by which the MIT archivists could further their institution's educational mission.[11]

Apart from Samuels' publication, no other work directly addresses the role of the archivist in documenting teaching and learning. There are, however, two bodies of archival literature that touch upon it and its surrounding issues. First, the literature on the appraisal of faculty papers addresses the archival value of teaching materials and student projects found within the personal papers collected by professors during their tenure at a college or university. Part official record and part manuscript, faculty papers may reside in either the institutional archives or the manuscript collection.[12] Therefore, archivists' assessment of the value of materials relating to teaching and learning found in faculty papers depends to some degree on the location of the collection. In formulating an appraisal methodology for Yale University's Archives and Manuscripts Department, Thomas Hyry and his colleagues judged teaching materials, particularly lecture notes, found in faculty papers to have little value, since they merely summarize published literature.[13] They acknowledged, however, that as manuscript archivists, they were not interested in the value such materials might have for documenting teaching and learning: "We concluded that the criteria for determining how to document 'teaching' per se needed to be set by university archives representatives."[14]

Most who have written on the subject of faculty papers, however, have recognized the importance of faculty papers in documenting teaching and learning. Mary E. Janzen argues that teaching materials and student work found in faculty papers offer important sources for the study of intellectual history and the history of pedagogy.[15] She warns archivists, however, to be cautious when accessioning such materials, as their volume and legibility can be problematic. She also advises archivists to avoid the "[e]ssential

duplication of content," noting that "[a] university archives scarcely needs to retain six different sets of course materials for Introductory Economics."[16]

Others have emphasized the value of all teaching materials in faculty papers as evidence of teaching activities. Similar to Samuels' argument in *Varsity Letters,* Francis Fournier's work on faculty papers underscores the importance of lecture notes and other teaching material in documenting the educational function of colleges and universities by "reflect[ing] course content and the learning climate of the lecture hall or seminar room far better than the calendar description."[17] Based on their collecting practices, many archivists agree with Fournier. According to Tara Zachary Laver's recent survey of archivists at American Research Library institutions, teaching materials, particularly lecture notes and syllabi, are generally retained among newly acquired or newly processed faculty papers. Of all her respondents, 87.5 percent make a practice of keeping lecture notes that arrive in faculty papers, while 79.2 percent retain the syllabi found in faculty papers.[18] Other teaching-related materials retained by a handful of institutions surveyed include reading lists, letters of recommendation, correspondence with and about current and former students, audiotapes of classroom activities, student projects and research proposals, and notes made in designing new courses. In explaining why they kept these materials, archivists cite very general reasons: the need to document teaching, faculty-student relations and student life, and the importance of such material in tracing the history of pedagogy and academic disciplines.[19]

The second related body of literature that mentions archivists' role in documenting teaching and learning is that which addresses the documentation of student life on college and university campuses. Because it is seldom captured by official records, yet is important in American social and political culture, student life has piqued the interest of college and university archivists. The definition of student life is both broad and vague. John Straw defines student life in the following manner: "[s]tudent life encompasses social, recreational, cultural, political, religious, and all other aspects of the student experience beyond the classroom."[20] Often called the "out-of-classroom experience," student life is manifested in a variety of documents; college and university archivists collect athletic memorabilia, student letters, diaries, snapshots, scrapbooks, and the records and publications of student organizations.[21] Because such documents can be difficult to collect and may over-represent student organizations, some archivists supplement the written and photographic records of student culture with oral history interviews.[22]

There is no question that the deliberate documentation of student life fills a significant void in the official record of any college or university. One must ask, however, whether archivists have adequately conceptualized student life. The "out-of-classroom experience," it seems, may all too easily be interpreted as the antithesis of academic activity. It is critical to remember that many academic activities take place outside of the classroom—class-related learning occurs individually, in study groups, or in "real world" settings provided by service learning and internships. Furthermore, a student's academic experiences may significantly shape his or her extracurricular experiences. Participation in a performing arts group, foreign language house, preprofessional club, or service organization may be motivated by a student's choice of major.

The dichotomy of student life inside and outside of the classroom appears to be a relatively recent archival creation. In a 1979 article, Nicholas Burckel advocates documenting student life by not only collecting oral histories and the "ephemera" created by student activities and organizations, but also by seeking out students' "term papers, exams, and notes on all courses, or classes in their major."[23] Additionally, he suggests that the classroom can serve as a bridge between students and archivists. By collaborating with faculty to design autobiographical or genealogical assignments, archivists can arrange for the transfer of student course work to the archives.[24] More recent articles, however, give little or no mention of the inclusion of students' academic experiences in the documentation of student life.

Postsecondary Pedagogical Reform and the Scholarship of Teaching and Learning

In sharp contrast to the dearth of archival literature on documenting teaching and learning, information on the topic has burgeoned forth from academicians and administrators examining postsecondary teaching and the assessment of college and university student learning. In his seminal book of 1990, *Scholarship Reconsidered: Priorities of the Professorate,* Ernest L. Boyer calls for a reconceptualization of the work of American college and university faculty. Troubled by the overwhelming emphasis on scholarly research in faculty promotion and tenure decisions, Boyer puts forward four areas of faculty activity that, he believes, "reflect more realistically the full range of academic and civic mandates."[25] These areas include: the scholarship of discovery (scholarly research), the scholarship of integration (interdisciplinary research and the education of lay people), the scholarship of application (use of research findings in broader contexts), and the scholarship of teaching (education of postsecondary students).[26] Over the past 15 years, SoTL has not only achieved the status of a legitimate field of scholarly pursuit, but it has begun to be institutionalized at colleges and universities throughout the United States.

While an exact definition of SoTL remains elusive, those who practice it agree on several of its core elements.[27] Pat Hutchings and Lee S. Shulman write that those who engage in SoTL endeavor to "(1) foster significant, long-lasting learning for all students, (2) advance the practice and profession of teaching, and (3) bring to teaching the recognition afforded to other forms of scholarly work."[28] SoTL is gaining wide acceptance in American colleges and universities. Though some faculty dislike the phrase itself, most are receptive to the principles behind it.[29]

Practitioners of SoTL insist on opening postsecondary classrooms to observation by fellow faculty members and campus administrators. Lee Shulman points out that remarkably little is known about the practice of postsecondary teaching, for it is "conducted without an audience of peers."[30] Faculty and campus administrators must observe postsecondary teaching systematically to identify best teaching practices and create assessment standards for teaching.[31] In addition, faculty practicing SoTL recognize the need to approach pedagogical reform not at the individual level, but rather at the institutional and disciplinary level. By sharing their teaching practices

and classroom research findings with faculty both on and off of their campus, they seek to build the lasting "communities across disciplines" and "communities within disciplines" necessary to effect positive changes in student learning.[32]

To many college and university archivists, SoTL and assessment may appear to be of little relevance to their positions. I would argue, however, that archivists should not only be aware of pedagogical research and reform efforts on their campuses, but also be active participants in them. Shared concerns surrounding the documentation of teaching and learning form the basis of a mutually beneficial relationship among archivists, faculty, and administrators. By offering assistance in documenting teaching and learning, archivists could simultaneously further the local mission of the archives and the broader mission of the larger institution. In other words, archivists attentive to the changing culture of postsecondary teaching can construct themselves a new niche—providing services to faculty and administrators interested in studying and improving pedagogy and educational outcomes—while also preserving an unprecedented documentary record of teaching and learning.

Methodology

While teaching and learning occur at all postsecondary educational institutions, these activities are particularly important to institutions that do not sustain large research programs. Several kinds of colleges and universities, particularly community colleges, private liberal arts colleges, and small state universities, emphasize faculty accomplishments in teaching as much as their scholarship. The study discussed here is best described as a pilot project, intended to examine practices at public and private educational institutions within two specific Carnegie Classifications, within a defined region of the United States. Despite the small size of the sample population, the response rates are more than adequate and the findings valid. The results shown here, however, should not be applied collectively to college and university archives.

For the study, two Midwestern college and university consortia were chosen. Fourteen private liberal arts colleges in Colorado, Illinois, Iowa, Minnesota, and Wisconsin compose the Associated Colleges of the Midwest (ACM). With the exception of the University of Chicago, each of these institutions is designated a Baccalaureate College-Liberal Arts under the Carnegie Classification.[33] ACM institutions pride themselves on the "innovative education" they provide their students, including active participation in learning. Citing their "challenging curricula, close contact with faculty, undergraduate research opportunities, off-campus study, community service, internships and a wealth of co-curricular activities," ACM institutions clearly share not only a commitment to liberal arts education, but also to creative and effective teaching.[34]

The other consortium chosen for the study, the University of Wisconsin System, consists of 25 public colleges and universities. Twelve of these institutions offer baccalaureate degrees.[35] Two campuses, the University of Wisconsin–Madison and the University of Wisconsin–Milwaukee, have a Carnegie Classification of Doctoral/Research Universities. The remaining 10 are considered Master's Colleges and Universities.[36] The UW System's commitment to teaching and learning is reflected in its affiliation

with the Carnegie Academy for the Scholarship of Teaching and Learning (CASTL) and the now-defunct American Association for Higher Education (AAHE). In 2003, the UW System embarked on a CASTL-AAHE Campus Program, which required a "public commitment to foster and support the scholarship of teaching and learning."[37] Entitled "Creating a Multi-Institutional Framework to Advance the Practice of Teaching through Scholarly Inquiry into Student Learning," the program sought "to raise the level of understanding of SoTL work on individual campuses, create and nurture connections among campuses with similar interests and needs, support individual and campus SoTL work and disseminate it. ..."[38]

Once it was determined that each school maintained an archives, an invitation to participate in the survey (see appendix I) was E-mailed to 12 archivists/archivist-librarians employed by ACM colleges and 10 archivists/archivist-librarians employed by the UW System. One ACM college was excluded from the survey, since the college archivist had recently passed away. The survey was posted on the Internet using surveymonkey.com, a Web-based subscription survey service. Of the 22 archivists invited to participate in the study, 14 completed the survey, yielding a response rate of 64 percent. Of the respondents who completed the entire survey, 57 percent represented the ACM schools, while 43 percent were employees of the UW System. The response rates for ACM and UW System archivists and archivist-librarians who completed the entire survey were 67 percent and 60 percent, respectively, representing a majority of the institutions in this sample.

The 23-question survey was divided into two sections (see appendix II). The first section probed archivists' collecting practices for materials related to teaching and learning. Survey participants were asked to assess the adequacy of the documentation of teaching and learning on their campuses, identify materials collected, and discuss any perceived barriers to the collection of materials relating to teaching and learning. The second section focused on archivists' familiarity with innovations in postsecondary teaching and learning, gauging their perceptions of the scholarship of teaching and learning and their level of interaction with administrative bodies associated with teaching reform and improvement. It also aimed to ascertain whether archivists' awareness of and activity in postsecondary pedagogical reform bears any relationship to current practices and priorities in the documentation of teaching and learning.

Survey Results

The What, How, and Why of Documenting Teaching and Learning

Of the 14 archives represented in the survey, nine had a written collecting policy. While only 50 percent of responding archivists employed by ACM institutions reported that they had a written collecting policy, 83 percent of responding UW archivists had a written collecting policy in place. The documentation of teaching and learning, however, is not specifically addressed in most collecting policies. The collecting policy of only one archives, that of a UW System school, mentions the collection of such materials, and it does so rather hesitantly: "In addition to collecting materials related

to Southeastern Wisconsin, archives and special collections will consider adding materials relating to current faculty teaching and research."[39]

Eight of the 14 responding archivists did not actively solicit materials relating to teaching and learning. Over 80 percent of the UW System archivists stated they did not seek out such materials, but only one-third of the ACM archivists placed themselves in this category. The reasons for not actively soliciting teaching and learning materials included the lack of adequate archives staff to maintain an active collecting program, lack of space to store such materials, concern about faculty and student willingness to donate materials related to teaching and learning, and an active collecting program of a narrow scope that does not include teaching and learning. Additionally, two respondents did not seek out such materials because they already arrive in the archives through the records management program or "as a matter of course with other collections." Finally, one UW System archivist indicated that, although materials related to teaching and learning are not currently solicited, the archives "will probably be doing this in the near future, as it has become an issue on campus." It is interesting to note that no archivist specifically cited privacy or copyright issues as reasons not to actively collect materials related to teaching and learning, though a concern about the willingness of donors to contribute such materials may reflect these concerns.

Half of the archivists who claimed to actively solicit teaching and learning documentation provided no clear reason for doing so. Of the three that responded positively, two appealed to the mission of their institution. One archivist at an ACM institution stated that " ... teaching and learning is the core of the college's mission, so it seems rather natural to seek material related to these functions," while another ACM archivist wrote, "We see ourselves first and foremost as an institution of competent, creative, and caring teachers—and so since teaching (and learning!) is central to our mission, we solicit materials to document this." The final respondent, a third ACM archivist, cited archives users' interest in the history of the college and its departments as the impetus behind the solicitation of materials relating to teaching and learning. No UW System archivist offered comment on the impetus behind collecting such materials.

When asked whether teaching and learning are adequately documented at their institutions, nearly two-thirds of the survey respondents answered no. Half of the UW System archivists and 75 percent of the ACM archivists identified barriers to the desired level of collecting in this area. Staffing shortages, inadequate space, and the lack of a records management program were the most frequently mentioned problems preventing archivists from collecting in this field. Other factors mentioned include a lack of time for active collecting, the difficulty in obtaining materials from faculty and students, and the need for a "collection development strategy." One archivist reported that teaching and learning have been somewhat neglected because the archives staff has no pronounced commitment to collecting such materials. Two archivists characterized their collections not as "inadequate" per se, but rather as more "uneven" and less complete than they would prefer. Again, the issues surrounding privacy and copyright were not specifically mentioned by any archivist.

When comparing archivists' opinions about the adequacy of their collections to their collecting practices, a striking pattern emerged. Archivists who deliberately collected materials relating to teaching and learning tended not to believe that their archives

held adequate documentation in this area. Only one-third of the archivists who actively sought out materials relating to teaching and learning stated that their repository held adequate documentation in this field. Among the archivists who believed teaching and learning were well documented at their institutions, a similar pattern emerged—just over 40 percent solicited materials relating to teaching and learning. A number of explanations may account for these data. Most likely, those who solicited teaching and learning materials were more interested in documenting pedagogy and were therefore more aware of the materials they were not able to collect.

Next, archivists were asked to report the kinds of documents relating to teaching and learning that they accession. In *Varsity Letters*, Helen Samuels identifies a plethora of materials that archivists may collect or create in order to document pedagogy and its effects on students.[40]As Samuels' work is a standard text for any college or university archivist, her list of documents capturing teaching and learning formed the basis for this portion of the survey. The materials Samuels describes were divided into two categories—course-related and non-course-related material—and the archivists surveyed were asked to indicate whether or not they collected them. For materials related to specific courses, survey participants could choose three levels of collecting: all courses, over 50 percent of courses, and under 50 percent of courses. Archivists could also choose "not applicable" to describe documents that may not be generated by every institution (student writing portfolios, for example).

The survey data revealed that archivists collect very little material generated by or relating to specific courses. Materials most likely to be accessioned by college and university archives are syllabi, student papers and projects, and videotapes of classroom activities. Of these three documentation types, only syllabi were identified as being collected for more than 50 percent of the classes. On the opposite end of the spectrum, no archivist reported collecting student research logs. Only one UW System archivist collected student notes taken during class and interviews with students about their experiences learning in particular courses. The most diversity in practice emerged in the treatment of student and peer teaching evaluations. While the majority of archivists reported not collecting these materials, two archivists indicated they collect evaluations for 50 to 100 percent of all courses.

Turning to materials not associated with specific courses, the survey data suggested that formal publications about teaching and learning and photographs of learning environments and pedagogical activities were widely collected. Not surprisingly, all of the archivists surveyed reported collecting the course catalog and institutional publications on teaching and learning. Ninety-three percent of the archivists surveyed also collected the semester course schedule issued by their institution, and 86 percent maintained photographic collections that included images relating to teaching and learning. Student honors theses and faculty papers that include materials relating to teaching and learning were also widely held. Portfolios, a newer genre of pedagogical assessment tool, were unlikely to be accessioned by college and university archives. While not every institution has adopted the use of portfolios, the data showed that of those institutions that endorsed or required portfolios, few archivists collected them—seven percent of archives surveyed collected student writing portfolios, and 21 percent collected faculty teaching portfolios.

In comparing the documentation of faculty versus student perspectives on teaching and learning, it appears that faculty views captured in course-related materials are slightly better represented in both course-specific and non-course-specific materials. Archivists are more likely to save faculty class notes over those of students; 29 percent of archivists surveyed reported collecting faculty notes, while only seven percent reported collecting student notes. Similarly, 21 percent stated their collections contained interviews with faculty regarding educational experiences, but just seven percent had similar interviews with students. The sound and video recordings of classroom activities collected by about half of the archivists surveyed undoubtedly shed more light on teaching rather than learning.

To conclude the first portion of the survey, a space was provided for participants to list any other materials related to teaching and learning that they collected. Only three responded, two mentioning various forms of institutional records, including the records of the dean's office, the president's office, academic departments, committees and faculty governing bodies that consider academic issues, the teaching and learning center, and the institutional research office. Student papers written using archival resources, announcements of academic activities (poster sessions, student-directed plays, and honors presentations), and general oral history collections were also mentioned. It is interesting to note that none of the surveyed archivists mentioned collecting electronic documents, such as course Web pages or electronic discussion logs. Although Helen Samuels anticipated that students' increasing use of computers might translate into improved documentation of learning, this does not appear to be the case.[41] In fact, as Anne Gilliland-Swetland and Greg Kinney discovered in their study of the archival value of electronic communication logs on a university campus, both faculty and students harbor great reservations about the archiving of such course-related records.[42] These concerns, combined with the preservation difficulties inherent in collecting digital records, may discourage many college and university archivists from pursuing this kind of documentation.

When examining these data according to the kind of institution for which each surveyed archivist worked, no discernable patterns emerged. While a substantially larger sample size might have yielded different results, the information gathered from this small sample suggests that resources and interests of individual archivists largely shape collecting practices in this area. A larger follow-up study might address whether and how the institution type affects archival collecting practices for materials related to teaching and learning.

Archivists' Awareness of Pedagogical Reform, Assessment, and the Scholarship of Teaching and Learning

The second portion of the survey probed archivists' understanding of postsecondary pedagogical reform and the scholarship of teaching and learning to determine archivists' sense of these factors' potential to change curricular documentation. Additionally, it inquired into archivists' interactions with faculty and administrators interested in improving teaching, in documenting classroom activities for research or administrative purposes, and in assessing student learning. First, survey respondents were provided with a brief definition of the scholarship of teaching and learning, and

then they were asked to rate their familiarity with it. On a scale of one (never heard of SoTL before) to seven (very knowledgeable), most archivists rated themselves at three. Seventy-nine percent of the archivists surveyed indicated that an office or program existed on their campus to support faculty interested in improving their teaching or engaging in SoTL. One ACM archivist reported there was no such office at his or her institution, and two archivists, one from ACM and the other from UW, did not know whether such an office existed on campus at all. These data imply that while college and university archivists do not consider themselves well versed in the scholarship of teaching and learning, they are generally aware of its institutional manifestation. Furthermore, the archivists surveyed are quite active as teachers themselves. All reported teaching instructional sessions on archives use for undergraduate students during the past academic year. While six archivists indicated they taught only one or two classes, four archivists taught six or more sessions.

The archivists surveyed were asked to estimate the importance of SoTL and pedagogical reform to faculty and administrators on their campuses. Rating the importance of SoTL to faculty and administrators on a scale of one (not at all important) to seven (very important), archivists provided average responses of 5.30 and 5.40, respectively. No archivist scored faculty or administrative interest below four, though nearly one-third of respondents acknowledged that they did not know the level of interest on their campuses. Archivists also rated on the same scale faculty and administrative interest in improving teaching and learning at their institutions. The average responses were slightly higher, both at 5.92, and only 14 percent of archivists responded that they did not know. Although archivists are less certain about the status of the scholarship of teaching and learning, no survey respondent identified a strong lack of interest in it on his or her campus.

In the next portion of the survey, archivists were asked to rate eight statements about SoTL on a scale of one (strongly disagree) to seven (strongly agree). The statements were excerpted from Carolin Kreber's recent study of consensus and unresolved issues in the scholarship of teaching, in which she asked experts in the field to rate statements characterizing their discipline of study on a seven-point Likert scale.[43] Figure 1 compares the median answers of Kreber's experts to those of the archivists surveyed. This comparison aims to evaluate how well archivists understand fundamental practices and concerns of those engaged in the scholarship of teaching and learning, particularly those relating to the documentation of pedagogy and the increased openness of the classroom.

Figure 1: The Scholarship of Teaching and Learning: Experts vs. Archivists

Statements About SoTL	Median Rating by Experts in SoTL	Median Rating by Archivists
Faculty who practice the scholarship of teaching are curious about the ways in which students learn and the effects of certain practices on that learning.	7	6
People practicing the scholarship of teaching need to have assessment, evaluation, and research skills. They need to be able to conduct classroom research and document the process of teaching and learning and student progress.	6	6
People practicing the scholarship of teaching make a deliberate effort to share their experience with others.	6	5
People practicing the scholarship of teaching succeed at winning grants.	3	4
Every faculty member who teaches is a scholar of teaching.	1	2
The assessment, recognition, and reward of the scholarship of teaching remain a primary challenge.	7	5
Faculty must be educated in how to think of teaching as scholarship.	6	5
Faculty must be educated in developing the needed documentation in order to assess the scholarship of teaching.	6	5

It seems that experts in SoTL and academic archivists are generally in agreement about the nature of the discipline, but some differences in degree are present. The greatest disparity in their ratings occurred for the following statement: "The assessment, recognition, and reward of the scholarship of teaching remain a primary challenge." While experts in the field strongly agreed with this statement, giving it a median rating of seven, archivists provided a median rating of five. If archivists were more aware of the struggle SoTL practitioners face for legitimacy and reaching assessment standards, they might be more likely to approach faculty and administrators as allies in building archival collections that document teaching and learning. Similarly, archivists were less aware of the commitment of practitioners of SoTL to share their work, including classroom experiences, with others. Heightened awareness of the new openness of the classroom might encourage archivists to broach discussions about the documentation

of pedagogy and to view practitioners of SoTL as potential allies in building archival collections on teaching and learning. Finally, archivists underestimated the importance of documentation issues to those who practice the scholarship of teaching and learning. Knowing that faculty engaged in this field are eager to document classroom experiences for research purposes and tenure reviews, archivists could cultivate mutually beneficial relationships with faculty that would result in improved documentation of teaching and learning on campus.

The final questions on the survey delved into archivists' contacts with faculty and administrators involved in assessment of SoTL. Only two archivists, one from the ACM and the other from the UW System, reported that they had discussed the documentation of teaching and learning with the director of the office devoted to supporting pedagogical reform and SoTL. Similarly, only one UW System archivist had met with the director of the institutional research office to discuss the documentation of teaching and learning. Archivists' collaboration with individual faculty members for the purpose of documenting specific courses for assessment purposes was somewhat more common. Three archivists indicated that they had acted as a consultant to a faculty member in order to document a specific course. None of the archivists surveyed had ever consulted with a faculty member on the creation of a teaching portfolio.

The survey concluded with a section for archivists to send comments to the researcher. While most respondents did not provide any additional feedback, three contributed very illuminating comments. The first expressed a lack of opinion about several of the questions asked in the second part of the survey. In a separate E-mail, a second archivist, who only completed the first part of the survey, stated that she did not feel "qualified" to answer the questions about SoTL. She also wrote: " ... I don't see any easy way to differentiate between official 'teaching and learning' materials in the archives as compared to other materials on the history and day to day activities of the college." Both of these comments suggest that their authors do not see the opportunities that the development of SoTL presents for documenting a particularly elusive area of college and university life.

On the opposite end of the spectrum, another archivist wrote: "The documentation of the scholarship of teaching seems to flow naturally with the information literacy efforts of academic librarians. Allying with the library, then, as well as scholarship of teaching centers on campus would be a good idea. We haven't thought of this, even though we have many of the pieces in place." It seems that this archivist recognized that others on campus were documenting teaching and learning in the course of their regular job duties. By building collaborative relationships with the library and teaching center staff, archivists could easily accession such materials into the institutional archives.

Conclusions

Many college and university archivists concur that the documentation of teaching and learning could be improved. Collecting practices center on those materials easily obtained—official publications of the college or university and documentation generated in the course of teaching (syllabi, exams, final projects, etc.)—not necessarily those materials that illuminate pedagogical practice and learning outcomes. The most informative records of teaching and learning are often those that are deliberately created, particularly interviews with faculty and students and assessment tools measuring the relative success of teaching and learning. Unfortunately, as the survey revealed, most college and university archivists lack the staff and time to build the necessary relationships and then to create, accession, and process such materials. Finally, completing documentation projects, such as that of Helen Samuels at MIT, also requires storage space that many of the surveyed archivists do not have.

It is, however, more important than ever that college and university archivists collect teaching and learning materials. As both Jan Riley and Dorothy Frye point out, academic archives must be relevant to the institutions they serve. Too often, Riley argues, archivists marginalize themselves by showing little interest in the central mission and "business" of educational institutions—the education of students.[44] Similarly, Dorothy Frye suggests that academic archivists might include the language and goals of their parent institutions in archival policy statements: "Incorporating institutional goals into the language of the archives' own policies may unify the goals of the archives with those of the institution."[45] Given the importance of educational assessment, pedagogical reform, and accountability in the classroom in modern American colleges and universities, it would behoove archivists to turn their attention to the documentation of teaching and learning.

The survey results suggested that many archivists had not sought out the deliberate documentation of pedagogical styles and learning outcomes already created at their institutions. Broaching discussions about the documentation of teaching and learning with appropriate administrators, namely those directing teaching centers and institutional research offices, would require little staff time and perhaps result in significant improvements in the quality of archival holdings relating to teaching and learning. Similarly, serving as a consultant to faculty interested in assessing their courses, creating a teaching portfolio, or conducting classroom research need not place a large burden on the archivist's time. The resulting access to concise collections documenting pedagogy and learning outcomes, however, would be unprecedented. Once a critical mass of teaching and learning materials had been collected and made accessible, archivists could find themselves better equipped to meet the needs of administrators and faculty practicing SoTL.[46] And, with a clear relationship to the institution's core mission, college and university archivists could find more assistance and interest forthcoming from the administration in resolving weighing issues, such as the long-term maintenance of electronic records.

When accessioning records documenting pedagogical products and experiences, there will naturally be issues that require careful consideration and negotiation. Samuels, for example, acknowledges that careful access policies for materials docu-

menting teaching and learning must be drafted in consultation with both faculty and administrators, so neither party feels that faculty or student privacy and confidentiality are violated.[47] In developing such policies, an archivist would be well advised to work with the Institutional Review Board (IRB) on his or her campus. The IRB, a body that monitors all research on campus dealing with human subjects, reviews research proposals and determines when informed consent is necessary. Faculty conducting research in SoTL, for example, would submit their research proposals to their local IRB and receive students' consent to have their academic work used for research purposes. IRBs can advise the archivist on how to craft a restriction statement that meets the school's standards for both internal, unpublished research and external, published research. By working with the IRB, an archivist can ensure that his or her efforts to balance the interests of researchers and the privacy of records creators conform to the larger standards of the school that are applied to both faculty and institutional research. Additionally, working with the IRB will bring some of the same benefits to archives as working with faculty—heightened awareness of archives and archival issues.[48]

Copyright, too, is a matter of concern, particularly regarding the rights of third-party donors. Again, archivists should seek clarity on these issues from their institution's administration. Does the school consider any or all of a students' academic work to be the intellectual property of the institution? If it is considered the property of the institution, how is this information communicated to the student? If it is not, how are copyright issues handled in assessment and SoTL on campus? While there are no universal answers to these questions, each institution should have its own answer in place. Bringing the archives into conformity with larger institutional policy will assist the archivist in negotiating the problematic issue of copyright in the documentation of teaching and learning.

Finally, archivists engaging in a collaborative documentation project of this nature will want to monitor the use of teaching and learning materials carefully. Since no guidelines regarding the appraisal of teaching and learning documentation exist, archivists might look to use patterns to assess the value of these collections. If the collections receive less use than expected, archivists may want to reconsider the materials they are accessioning.

Aside from these three qualifications about privacy, copyright, and appraisal, the current potential for documenting teaching and learning holds great promise for college and university archivists to improve their services to their institutions, raise campus awareness of the value of archives, and vastly improve their collections relating to a fundamental mission of postsecondary educational institutions. If archivists are willing to translate their already-extant skills into the language of assessment and the scholarship of teaching and learning, they may well find themselves with a bountiful harvest of new collection materials.

Appendix I

Good Morning:

I am conducting a survey of archivists at University of Wisconsin and ACM (Associated Colleges of the Midwest) schools to learn about current practices in the documentation of teaching and learning and archivists' awareness of post-secondary pedagogical reform. The results from this survey will be incorporated into a research paper I am writing for the Seminar in Modern Archives Administration at the University of Wisconsin-Milwaukee.

If you are not the most appropriate person at your institution to respond to this survey, please forward this message to the person who is. All responses will be kept anonymous. You will not be required to identify your institution by name in the survey; you will only be asked to indicate the type of institution for which you work (private liberal arts college or state university). If you would like a copy of the survey results, please email me at mcfarla3@uwm.edu.

To access the survey, follow the link provided below. The survey will take no more than 15 minutes to complete. Please respond by May 3.

[Survey Link]

Many thanks for your cooperation.

Sincerely,

Colleen McFarland

Appendix II

Part I: Documenting Teaching and Learning

(1) For what kind of institution do you work?
Private Liberal Arts College
State University

(2) Does the archives at your institution have a written collecting policy?
Yes
No

(3) If yes, does the collecting policy include a statement on the collection of materials related to teaching and learning?
Yes
No

(4) If so, please quote it here:
Free response

(5) Do you actively solicit materials related to teaching and learning?
Yes
No

(6) Why or why not?
Free response

(7) Do you believe teaching and learning are adequately documented at your institution?
Yes
No

(8) If no, please identify the barriers that prevent you from documenting teaching and learning adequately.
Free response

(9) Please place a check mark in the appropriate box to indicate your current collecting practices for the following materials **related to specific courses:**

	Collected for all courses	Collected for over 50% of Courses	Collected for under 50% of Courses	Collected for no Courses	N/A at my institution
Syllabi					
Course handouts and assignments					
Faculty class notes					
Student notes taken during class					
Exams					
Student papers/projects					
Student research logs					
Student course evaluations					
Faculty (peer) teaching evaluations					
Video tapes of classroom activities					
Audio tapes of classroom activities					
Interviews with faculty about their experiences teaching a particular course					
Interviews with students about their experiences learning in a particular course					

(10) Please place a check mark in the appropriate box to indicate your current collecting practices for the following non-course-specific materials:

	Collected	Not Collected	N/A at my institution
College/course catalog			
Semester/term schedule of classes			
Student honors theses			
Student writing portfolios			
Faculty teaching portfolios			
Institutional publications on teaching and learning			
Faculty papers with materials relating to teaching			
Interviews with faculty about general teaching philosophy and methods			
Interviews with students about their learning preferences and processes			
Photographs of learning environments			
Photographs of faculty and/or students engaged in teaching and learning			

(11) If other materials related to teaching and learning are collected, please elaborate below:
free response

Part II: Innovations in Teaching and Learning

This portion of the survey addresses innovations in teaching and learning, ranging from increased attention to post-secondary teaching to the scholarship of teaching and learning. Pioneered in the late 1980s and early 1990s, the scholarship of teaching and learning elevates teaching to an academic pursuit worthy of systematic study and research. Faculty engaged with the scholarship of teaching and learning combine disciplinary knowledge with pedagogical knowledge and strive to improve teaching and learning in post-secondary education.

(12) Please rate your familiarity with the scholarship of teaching and learning from 1 (Never heard of it before) to 7 (Very knowledgeable).

(13) Is there an office or program on your campus that supports faculty interested in improving their teaching and/or engaging in the scholarship of teaching and learning? *Please answer this question without consulting the campus directory or Web page!*

Yes
No
Not sure

(14) Rate the following from 1 (not at all important) to 7 (very important); 8 = don't know

How important do you think the scholarship of teaching and learning is to faculty on your campus?	1 2 3 4 5 6 7	8
How important do you think the scholarship of teaching and learning is to administrators on your campus?	1 2 3 4 5 6 7	8

(15) Rate the following from 1 (not at all important) to 7 (very important); 8 = don't know

How much interest do you think faculty on your campus have in improving their teaching and student learning?	1 2 3 4 5 6 7	8
How much interest do you think administrators on your campus have in improving faculty teaching and student learning?	1 2 3 4 5 6 7	8

(16) Rate from 1 (strongly disagree) to 7 (strongly agree) whether you consider the following to be key features or components of the scholarship of teaching:

Faculty who practice the scholarship of teaching are curious about the ways in which students learn and the effects of certain practices on that learning.	1 2 3 4 5 6 7
People practicing the scholarship of teaching need to have assessment, evaluation, and research skills. They need to be able to conduct classroom research and document the process of teaching and learning and student progress.	1 2 3 4 5 6 7
People practicing the scholarship of teaching make a deliberate effort to share their experience with others.	1 2 3 4 5 6 7
People practicing the scholarship of teaching succeed in winning grants.	1 2 3 4 5 6 7

[*Adapted from Carolin Kreber's Scholarship of Teaching Questionnaire, 2001*]

(17) For each of the items listed below, please indicate the extent to which you disagree or agree with the statement about the scholarship of teaching by assigning a rating between 1 (strongly disagree) and 7 (strongly agree).

Every faculty member who teaches is a scholar of teaching.	1 2 3 4 5 6 7
The assessment, recognition, and reward of the scholarship of teaching remain a primary challenge.	1 2 3 4 5 6 7
Faculty must be educated in how to think of teaching as scholarship.	1 2 3 4 5 6 7
Faculty must be educated in developing the needed documentation in order to assess the scholarship of teaching.	1 2 3 4 5 6 7

[*Adapted from Carolin Kreber's Scholarship of Teaching Questionnaire, 2001*]

(18) If your campus has an office or organization to support faculty interested in improving their teaching or engaging in the scholarship of teaching and learning, have you ever met with its director to discuss the documentation of teaching and learning?
Yes
No
To my knowledge, my campus does not have such an office or organization

(19) If your campus has an institutional research or assessment office, have you ever met with its director to discuss the documentation of teaching and learning?
Yes
No
To my knowledge, my campus does not have an institutional research or assessment office

(20) Have you ever consulted with a faculty member on the creation of a teaching portfolio?
Yes
No

(21) Have you ever consulted with a faculty member on the documentation of specific courses for assessment or evaluation purposes?
Yes
No

(22) How many instructional sessions on archives use for undergraduate students have you provided during the 2003-2004 academic year?
None
1-2
3-4
5-6
More than 6

(23) Additional Comments
Free response

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BUILDING AN ARCHIVES: A CASE STUDY IN SOUTH CAROLINA

BY PATRICIA MORRIS

ABSTRACT: The process of planning and construction of the South Carolina Archives and History Center (SCAHC) is examined in light of current literature. This article outlines lessons learned and makes suggestions for further research and analysis. Because purpose-built archival facilities are a rarity, architects must work closely with the archives staff. A new building presents many opportunities and challenges to upgrade the institution's functionality. It must be designed with flexibility for future upgrades and expansions. Based on recent experience the author recommends that archivists document their experiences and create richer literature on the design and building of archival facilities.

Introduction

In May of 1998, the South Carolina Department of Archives and History (SCDAH) opened its new building, the culmination of ten years of effort.[1] The SCDAH project was propelled by a broad upturn in the economy that generated a building boom in public-sector archives in the United States. Several large repositories around the country outgrew their aging facilities about this time. The National Archives' new facility in College Park, Maryland, known in the profession as "Archives II," was the largest; several state archives also built new buildings or major additions, including Oregon, Delaware, Alabama, Georgia, and Mississippi.

When the SCDAH project started the design process in 1995, there was little recent literature available on the planning and design of a modern archival building. The staff consulted the standard works then available in the library literature. Holt (1989) and Godfrey Thompson (1989) deal with elements of library design, such as open stacks and bound materials. But they also cover areas common to archives, including security, staff work areas, loading docks, and reference service desks. Metcalf (1965) is valuable for its emphasis on the budgeting process. Garry Thomson's volume on museums discusses design for noncirculating collections. Only Swartzburg, Bussey, and Garretson (1991) discuss planning a purpose-built facility for archives, but their work concentrates on preservation concerns without much detail about the process of

planning and construction. None of these works deal with the impact of computers on work processes, the growth of electronic records, or a large reformatting operation (either microfilm or digital), all of which are major elements of a fairly large archives organization.[2] NARA published Technical Information Paper (TIP) 13 on specifications for various aspects of its College Park facility, but the paper did not appear until late in 1997—too late to be of use in the planning and construction of the Archives and History Center in South Carolina.[3] Though useful in providing information on specifics of the finishes used in storage areas and the design of a fire suppression system to complement high-density mobile shelving, much of its content is relevant only to Archives II.

Not until 1998—after the Archives and History Center was opened to the public—was a volume published on the design and construction of a modern archival facility: Ted Ling's *Solid, Safe, Secure: Building Archives Repositories in Australia*.[4] This remains the only basic manual that covers the processes of planning, design, construction, and maintenance of a purpose-built archival facility.[5] Libraries have continued to publish on design and construction because they must cope with the growing impact of the digital revolution. Most archival repositories still retain more paper and film than any other media, but as digitization replaces microfilming and the number of electronic records in the public sector increases, archivists must reexamine the design of their facilities to accommodate twenty-first-century formats and Internet access.

Design Phase

Ling's work limited its discussion of a vital step in the process: the development of a budget and securing funding. Ling's text begins with site selection, building structure, and definition of the spaces and functions within the building. This planning effort, he says, leads to a "design brief" used to select the project architect.[6] The first step for SCDAH was to develop a building program, from which a project budget was created. This budget was based on the personnel and functions desired in the new building. An architect used that list to estimate the square footage required, multiplied that figure by standard design and construction costs, and provided an estimated budget of $21 million for the project. The SCDAH eventually secured $18.5 million from the state legislature and began a fund-raising campaign for the remainder.[7]

Development of the building program provides a valuable opportunity for the staff and administration to have serious discussions about their institutional priorities. The organization has to decide which functions are essential to its mission. It must also try to predict which functions will expand or decline in the future. The discussions must lead to strategic decisions, not "wish lists." Since the architectural firm that develops this preliminary building program does not necessarily continue on the project through construction, the institution should establish and document these priorities at this stage of the project, when the pressures of design and construction are still minimal.

Ling referred to the initial planning document as a "design brief." This describes the main building zones to be addressed: records storage, staffing (including conference rooms, libraries, and staff lounges), reference facilities, special services (preservation and microfilming labs), and building services (loading docks, physical plant rooms, and general storage). He listed the details that should be included in the brief: shelving, energy management, environmental requirements, security, and conservation facilities. The SCDAH did not develop its building program to the same level of detail, dealing with these issues only after the project architect was selected, and clarifying priorities as the project developed. The final budget for the SCDAH project was very trim indeed because details regarding equipment and special environmental conditions for the storage areas were not included at the outset. Shelving for the collections was not designated an "essential" element during the early discussions. There was no agreement that costs of purely functional elements of design, such as wiring for Internet access in the conference rooms, would take precedence over "artistic" elements in the design, such as high finishes in an entrance hall outside the auditorium. Developing written priorities during the earliest stages would have provided strategic guidelines as elements were trimmed to meet the final budget.

SCDAH selected a site on free land in the State Research Park, seven miles northeast of the old archives building in central Columbia. The choice resolved several issues. First, it saved a substantial amount of money. The new site lay above the city's extensive hundred-year flood plain, it was large enough for future expansion, and it was in an area free of industrial development and its pollution, reducing the need for expensive gaseous filtration in the HVAC system. It had room for extensive patron and staff parking. Best of all, it offered easy access to the interstate system.

In 1995, the SCDAH reviewed bids from three architectural firms to design and oversee construction of the new South Carolina Archives and History Center. SCDAH selected Helmuth, Obata, and Kassebaum (HOK), one of the world's largest architectural firms and the designers of Archives II.[8] Experience in environmental controls specifically designed for archival collections was considered a critical element in collection preservation. For this reason, the request for proposals required the winning architectural firm to hire a consultant with expertise in the environmental conditions needed for archives; HOK hired William P. Lull of Garrison/Lull, Inc., for the project. Public sector projects are governed by a myriad of regulations, some of which present problems for such an unusual purpose-built facility. While the SCDAH might have been better served by hiring Mr. Lull to advise them directly throughout the project, the state's regulations requiring indemnification of contractors forced SCDAH to hire this consultant through the architectural firm, which was large enough to afford the required insurance coverage. The project manager has to recognize the potential conflict between the architectural team and a specialized consultant and be able to resolve such tensions.

HOK's design team led a series of meetings with SCDAH administration and middle management to produce the "design program," charting the adjacencies of various functions and tracking normal work flow. It set forth the specific space needs for each of the facility's functions and the special requirements for records storage and work areas. HOK's design team then began a lengthy process to develop complete bid-and-build

drawings and specifications. Within eight weeks HOK presented fairly detailed floor plans and elevations laying out the building's footprint and exterior appearance.

This was a critical point in the process, for it established the square footage allotted to records storage. Ling's work implied that most of the client's space needs and priorities would be clearly defined by the time the design architect is on board. In South Carolina's "real world" situation, the client could not firmly establish collection space needs. New shelving was not fixed as an essential element in the budget for the new building, therefore, the design of the shelving was unknown. Without knowing what shelving size and type would be used, it was not possible to accurately determine how much floor space would be needed for collection storage. Although Ling's work assumed the building's budget included shelving—he did list it in the design brief[9]—he did not stress the importance of making this commitment at the beginning of the budgetary process.

The HOK team continued to refine its plans, working with the environmental consultant, engineers, a security consultant, and the SCDAH director and his deputy director of administration (who was project director for the construction). Some architectural firms develop the building design in consultation with a building contractor to keep a running total of potential construction costs. Other firms use in-house staff to develop cost projections. When the design team has to make cuts, they should be guided by the client's priorities for the building's functions.

As the particulars of the SCDAH design developed, specific questions regarding design details were referred through the project director to members of the staff. It is HOK's practice to strictly control the flow of information during this part of the process, passing all communication through the two project directors (one on the HOK side and one on the client's side).[10] Other architectural firms who manage projects, particularly those in the academic setting, encourage wider review and discussion between the designers and the client's staff during the development of these details. Ling pointed out that archivists are the only people with a depth of knowledge about the work flow and specialized purpose of an archival facility, and he also recommended that individuals be allowed to review and comment on the design of their personal work spaces.[11]

Construction Process

Construction began after bids based on the final drawings and specifications were reviewed and a contractor was selected. The construction project team consisted of the architects, the construction project manager, the site manager, and the archives project director. Ling stated a representative of the relevant government body, like the department of works, should be a member of the team. The South Carolina Budget and Control Board, legal owner of the finished building, chose not take an active role in the project team.[12] This decision ultimately had a negative impact on the building's long-term maintenance; their General Services team remained unfamiliar with the design and operation of the building's complex HVAC system. The SCDAH project team also included a member unmentioned by Ling, a move consultant, Facilities Resources, Inc., (FRI). FRI helped select a suitable moving firm and oversaw the

move itself. Their greatest contribution, however, lay in their help with preparing the collections for the move, a process that took 19 months of effort by the archives staff and resulted in much improved access to the collections.

At the beginning of the construction, the project team met to establish a timeline, coordinating completion dates for various phases of construction, for preparation of the collections, and for the move. That timeline was entered into a project management software package; changes in the construction schedule were to be entered into its database and shared with the project team. When considering project management software, the team should choose a package that is familiar to all members of the team and post it on the agency's Web site. Updates must be shared with all team members. When the project database is on the Web site, general staff can stay informed and feel more involved in the project's progress.

Ling did not mention the use of software management packages, though he stressed the need for communication through team meetings and staff review. He also stressed documentation of the construction process, suggesting a diary be kept.[13] The SCDAH project manager held weekly meetings with the architect, the contractor, and subcontractors. He also held less frequent meetings with representatives of General Services, FRI, the SCDAH director, and the various staff involved in the preparations for the move. There are no formal minutes of these meetings in the project records.

Ling's work did not mention publicity regarding the move to a new facility. In South Carolina the agency published announcements in 1997 that it would close for two weeks in the spring of 1998 to move to the new facility. So many researchers who use the South Carolina Archives travel from outside the state that the announcements had to be issued nearly a year ahead of time. This meant there could be no delay in opening the new building.

Structure of the Building

The basic design of the SCDAH project was influenced by HOK's work on the Archives II project; the physical layout distances the public access areas from the staff work areas and record storage.[14] The South Carolina Archives and History Center is a three-story building in four sections. Public traffic is restricted primarily to the first floor of two sections. Access to the second-floor office areas and to labs and records storage is controlled by security codes and proximity keys. The key cards generate a computer log of the identity of the people passing through each locked door.

Security cameras are mounted at every entrance and monitored at the reception desk and at a security station on the third floor. Modeled on the security system of Archives II, SCDAH security initially had only one monitoring station on the third floor. NARA, however, has a full-time security staff that can operate a control room removed from the reception area.[15] The SCDAH added monitors at the main reception desk in order to observe all traffic during operating hours. Within two years of opening the facility, SCDAH conducted a security review. It relocated some of the original cameras and added several new ones. Ling recommends a security survey every 18 months, and ever-cheaper technology makes it feasible to add new equipment.[16] In addition,

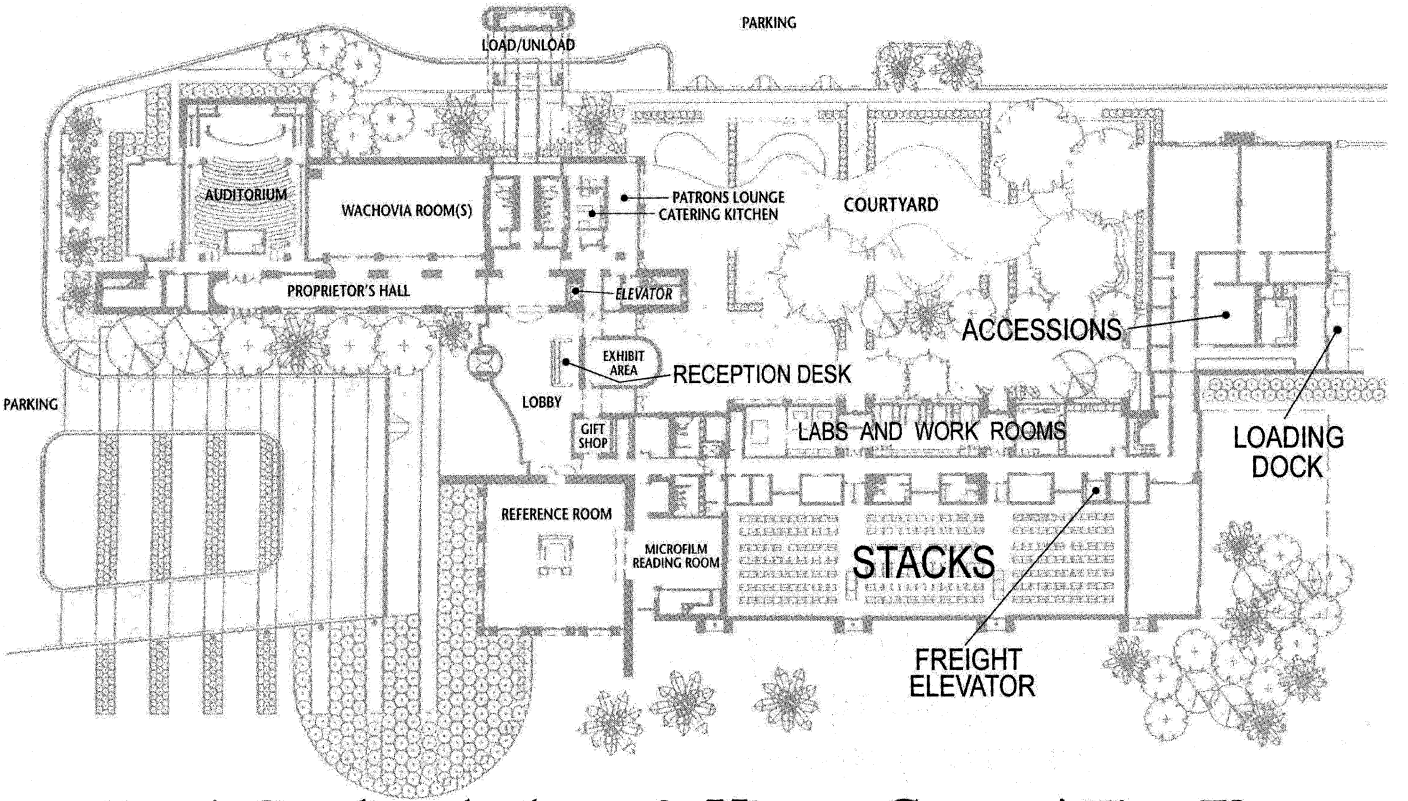
the SCDAH periodically reviews the log of staff access to record storage areas, and updates staff authorizations.

The lobby and reference room are three-story-high open spaces. The reference room and most office areas have natural light from broad expanses of windows.[17] The lobby at SCDAH mimics that in Archives II, with its glass front and visitor's reception area. The glass walls in both lobbies flood the reception areas with blinding sunlight most mornings, interfering with receptionists' view for a few hours each sunny day.

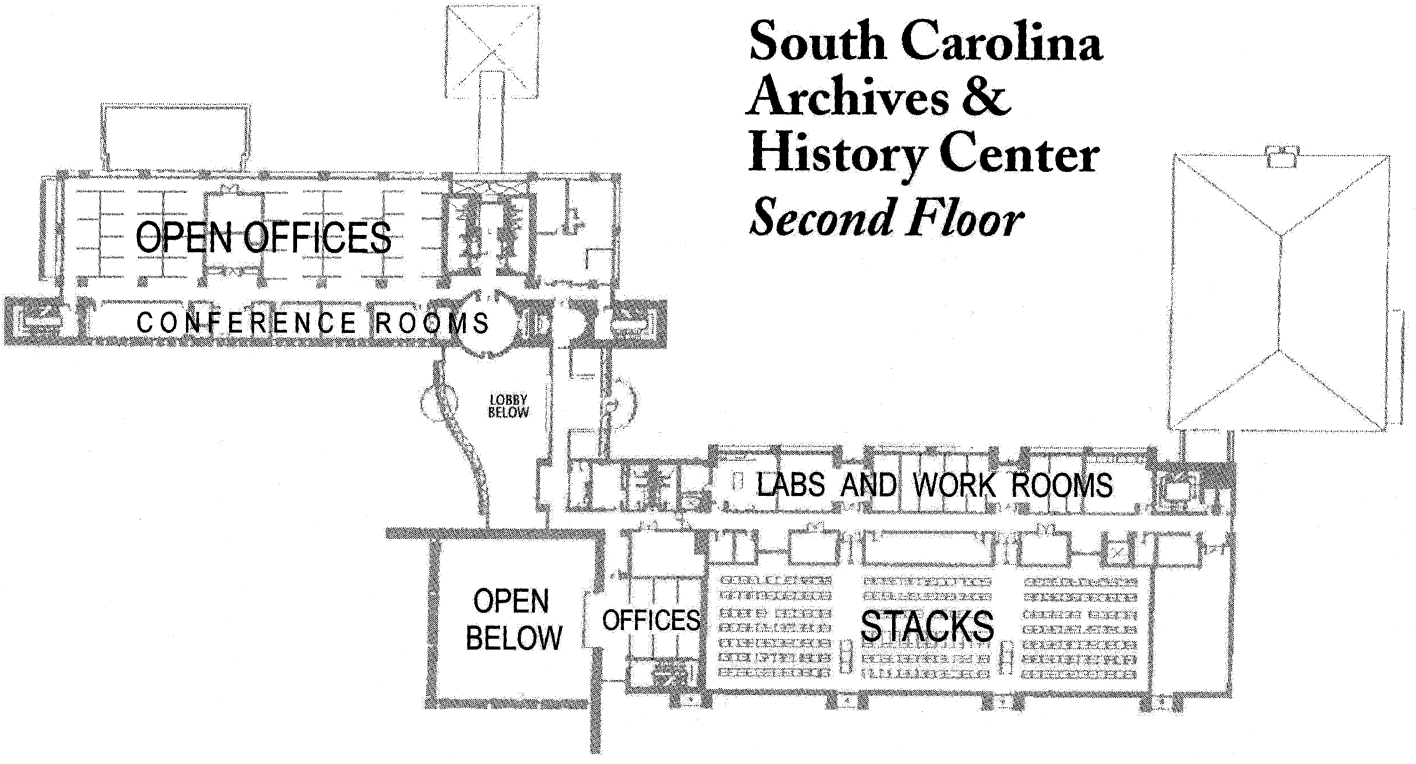
Record storage and microfilming areas have no natural light, while conservation and processing areas have indirect natural light. Record storage, in three floors of stacks, is directly across the hall from the labs and processing workrooms. Records are transported to the upper stacks via a conveniently located freight elevator, which lies between the stacks and the nearby covered loading dock at the rear of the building. The structure of the stack areas is sealed concrete on steel framing, wrapped in a watertight building envelope, and faced with a brick exterior. The floors of all three stacks were built to sustain the weight of compact shelving. The stack interiors—including the shelving—are painted white to maximize ambient light from the UV-filtered lighting. Two motorized double doors provide access to each stack. The roofs on the building's multistory sections are almost flat (with a slant of three inches), and have interior and exterior drainage. While a peaked roof is more desirable in a rainy climate, a flat roof is less expensive to build, and maintenance personnel prefer a flat roof for access. The design of the stacks will accommodate extensions.

The fourth section of the building is a single-story structure that houses physical plant equipment, a covered loading dock, a mail room, and the accession "suite" for new transfers. The equipment rooms are accessible through large roll-down doors, which allow easy transfer of replacement boilers and chillers. Cooling towers are located on the ground outside this section of the building, where they are easily maintained and pose no threat to collections. Ling recommended a loading dock that allows a truck to pull inside the building. This option is more expensive, restricts the work area, and can encourage the influx of pollutants. An error in a driver's judgment could even result in some serious structural damage.[18] At SCAHC, general delivery and maintenance personnel have access to this section via a back drive. The collections areas are inaccessible without proximity key cards, and general delivery personnel must have a staff escort to enter the accession suite or the other sections of the building.

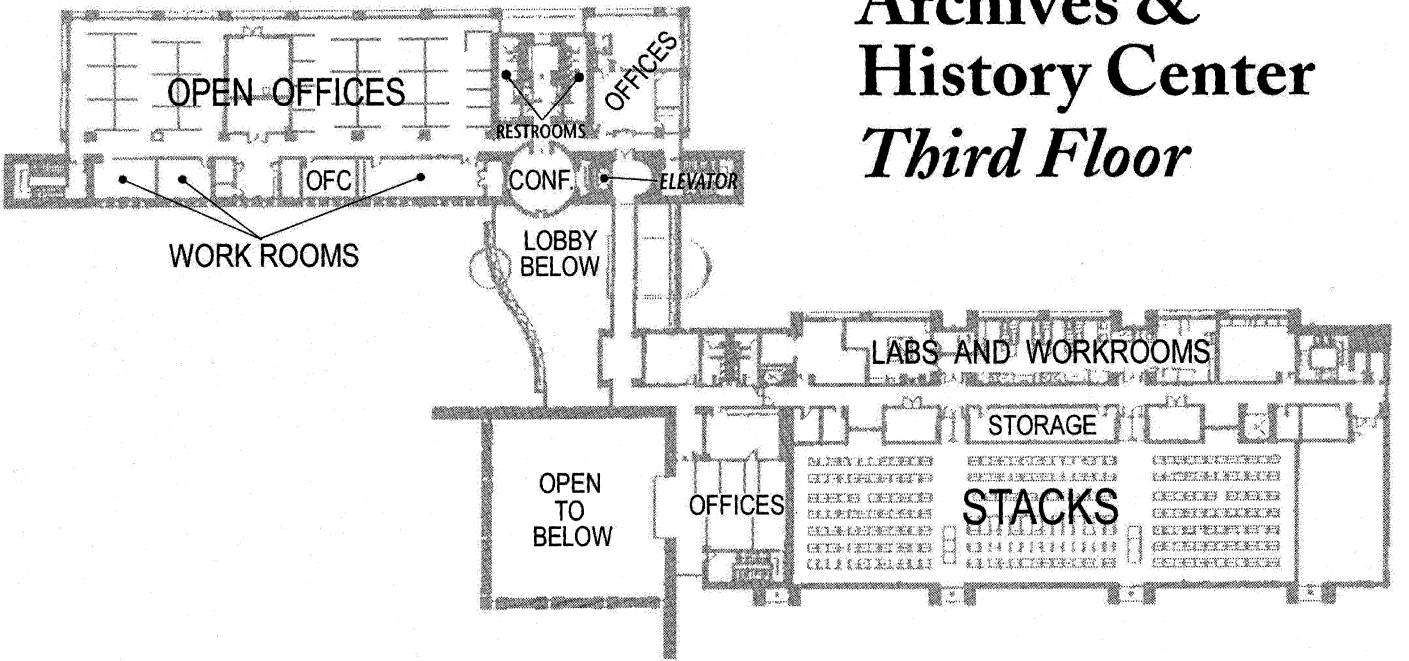
The accession suite is a significant element in the institution's work flow and is key to preservation of the collections. It provides adequate work space for the archivists to review new transfers, enter the location information into the database, and mitigate any serious preservation problems.



South Carolina Archives & History Center / *First Floor*


South Carolina
Archives &
History Center
Second Floor
OPEN OFFICES
CONFERENCE ROOMS
LOBBY
BELOW
LABS AND WORK ROOMS
OPEN
BELOW
OFFICES
STACKS

South Carolina Archives & History Center
Third Floor



The Stacks

Published standards on the environmental conditions required for storage of archival records on paper and for film exist, and most archivists are familiar with them.[19] But the design of archival record storage spaces involves many issues, which must be resolved with help from an environmental consultant and mechanical engineers. The SCDAH project succeeded in securing recommended levels for temperature and humidity in the stacks: 60 degrees and 35 to 45 percent. Separate air handler units for each stack sustain these conditions. Each unit maintains constant humidity by using a combination of a desiccant wheel and a rehumidification system. Stack conditions are further stabilized with positive air pressure. Although Ling recommends construction of specialized storage areas for various media, the SCDAH design saved money by establishing and maintaining one set of environmental conditions throughout its stacks. The environmental consultant advised against construction of specialized storage for microfilm masters, arguing that polyester film-based negatives remain stable for centuries when they are stored at 40 percent RH and 60 degrees Fahrenheit. That advice saved over twenty thousand dollars in construction costs. The SCDAH will have to reformat its older, acetate-based negatives in order to fully realize the long-term benefits of conditions in the stacks.[20]

The designers selected a wet-pipe fire suppression system because it is less expensive and reacts faster than a dry-pipe system. Gaseous fire suppressants were not chosen because they are costly and ineffective in large spaces. The sprinkler heads in the stacks are set up to accommodate compact shelving, and they are designed to shut down as the fire goes out. All other sprinkler heads in the building are standard equipment that must be shut off manually. Ling supports the concept of fire prevention through compartmentalization, in conformity with best practices in Europe, where collections may not be in containers or may have large holdings of parchment.[21]

The SCDAH team made a serious error by failing to select the design of its shelving early in the design process. It compounded this error by failing to have truly accurate figures for the size of the collections. The architects were told they had to design a space large enough to house 65,000 cubic feet of records. After the SCDAH took possession of the building, a survey of the stacks revealed the shelving in the stacks could house no more than 39,234 cubic feet of records.

Ling expresses storage capacity in terms of shelf meters, and he describes the method for calculating the storage capacity of mobile shelving units.[22] Libraries calculate holdings in linear feet. U.S. archivists in the public record sector calculate the size of their collections in cubic feet, but these figures are used primarily to measure the amount of material in the holdings, not necessarily the amount of space required to house the often odd-sized and over-sized materials in an archival collection. Michael J. Kurtz writes that space needs should be calculated at 1.5 cubic feet of records for every square foot of floor space in freestanding shelving, or 4.5 cubic feet of records for every square foot in compact movable shelving.[23] Calculation of collection space requirements is further complicated when "standards" for measuring the collections vary according to local interpretation and practice; most archives' annual reports describing their holdings are based either in whole or in part upon estimates.[24]

Calculating space needs for the long term is complicated by the changing nature of public records. As more government records are generated digitally, the archives may receive much smaller transfers. While the South Carolina archivists predicted the annual acquisition rate would be at least 1,500 cubic feet every year, new records have arrived in much smaller numbers than predicted. Further study will be required to estimate space needs for collection storage in light of digital technology.

Shelving for the Stacks

The SCDAH selected standard-sized, powder-coated steel shelving, which was cheaper than special-order shelving. It is also more flexible because the shelves within units are interchangeable. Flexibility and lower cost were deemed to outweigh the value of the most efficient use of space that might be gained with special-order shelving. The cost of special-order shelving might be appropriate when adapting a historic building as a repository. Economies of scale also justify special-order shelving in a very large new structure like a Harvard model off-site repository.[25]

The SCDAH staff spent 19 months preparing the collections for the move to the new building. Ling says little about moving the collections, but this part of the SCDAH project was linked directly to the design and layout of shelving in the new stacks. Every container in the collection was surveyed to determine content, physical condition, style, and size. The vast majority of containers could be shelved on one standard-sized shelf manufactured by Spacesaver. Almost all maps could be housed in the largest standard manufactured map case. Special-order shelving was purchased for only a few of the older, closed series consisting of very large oversize maps.[26]

Compact movable shelving was installed on the second and third floors of the SCDAH stacks. Freestanding but immovable shelving units were used in the first-floor stack, housing the most heavily used series. The first stack also houses oversize materials, map cases, and microfilm cases. Crystallization Systems, Inc. (CSI), a vendor that developed storage systems for museum collections, was selected to build the special-order shelving for most of the oversize materials.[27]

Ling assumes a new facility will be constructed with compact shelving.[28] Though SCDAH staff studied other options, compact shelving is certainly the best choice. Post-construction installations present major problems. The shelves are installed on raised platforms that often include plywood, which introduces harmful chemicals into the storage environment. The platforms' outer edges are obstacles to carts and hazards to personnel. Because the collections have to be moved out of the storage area to install tracks and shelving, the process is inconvenient, expensive, time-consuming, and places the collection at risk.

If compact shelving is installed, specify the height carefully. SCDAH did not want the shelves to be more than eight feet high. Because the uprights on movable ranges rest on a four-inch carriage on which the range moves, they are four inches shorter than the uprights on eight-foot-high freestanding ranges. These shorter uprights reduce either the size or number of openings in each bay.[29]

There is an ongoing debate over the choice of motorized or mechanically assisted movable shelving. The SCDAH consultant recommended the mechanically assisted shelving because he considered it better engineered. The architects insisted on motorized shelving, which has its advantages. One person can move several ranges with the push of a single button. Motorized shelves are equipped with automatic brakes that stop a range when it bumps into a box on the floor or a person standing in the aisle. The ranges can be set in "fire park" mode when the facility closes, which prevents extensive water damage if the sprinkler system discharges.[30] Motorized shelving has two distinct disadvantages: it costs nearly 60 percent more and it does not function during power failures. Anecdotal evidence indicates that motorized shelving begins to fail after a decade of steady use. The engineering of the motorized systems may have improved in the last decade to make them more reliable and long lasting; a survey of installations within the last five years would be useful.

Mechanically assisted shelving must be used with care; vendors often demonstrate mechanically assisted shelving by moving more than one range at a time. In fact, if the ranges are moved in multiples, the mechanism that moves the carriage will break. Within the first year and a half, several rows of shelving broke down at the SCDAH until the service mechanic explained the problem. Moving each row is not heavy work, but it takes time.

Equipment Storage on the Site

During construction, shelving and equipment were delivered to the site and stored in the first-floor stack until installation. When the equipment was removed, the stacks had to be repainted before the collection was moved in because the traffic during construction had damaged the painted surfaces. The paint had dried to the touch within 48 hours, but the paint was still off-gassing chemicals for several weeks. At Archives II, the multilevel garage was built first and used for storage during construction.[31] Ling does not comment on this, but every large building project needs a staging area. The budget should include money for the rental of temporary storage buildings or storage pods.

Flexibility of Design

Ling emphasizes the desirability of flexible work spaces, but he did not emphasize the impact of Internet connectivity.[32] Archives II is supposed to remain in use for a century, and the design incorporated raised floors throughout office areas and reference areas to allow for rewiring.[33] At SCDAH, the same purpose is served with dropped ceilings in the office areas and public meeting rooms. During design and construction, the wiring for Internet access in all the conference rooms was dropped. As the Center hosts an increasing number of public meetings, the connectivity is gradually expanding.[34]

Many workrooms at the SCAHC have a number of built-in cabinets and shelves, but most of it is suitable for office and janitorial supplies, not archival supplies or computer workstations. The collection processing rooms are more flexible; with few built-ins, they can easily be reconfigured with temporary shelving, carts, and movable computer workstations to meet the needs of changing tasks.

The labs were designed with a great deal of direct input by the staff who use them. The conservation lab has specialized storage for large sheets of board, rolls of Mylar, repair supplies, and tools. Many of the work surfaces for documents in the conservation lab are on wheeled tables that can be moved around the room and latched together to form work surfaces for oversize documents. The lab has enough space for all of its equipment and room for expansion. Document sinks were transferred from the old building to the new location because they were a unique design and still usable. A water deionization unit, two fume hoods, and a vented room for nonaqueous deacidification treatments were built into the new conservation lab. The micrographics lab had transferred much of its equipment from the old site, since equipment for archival-quality microfilming is no longer readily available on the market.

Reference Room Design

The SCAHC reference room, one of the building's more impressive public spaces, is open to a ceiling three stories high, finished with wood paneling and brick masonry above an expanse of windows. Carpeting in the room dampens noise. Attractive wooden furniture complements the wood paneling, but it has not held up well because it does not slide easily on the carpet. Pacifico describes the design of reference room furniture at Archives II in some detail; staff members specifically requested the design of tables in the reference room to enhance security.[35] The low dividers on the tables allowed staff to observe patrons easily, but the dividers might also damage documents during viewing. Reference room tables must be designed to accommodate computers. They must be ergonomically correct, with electrical outlets within easy reach, just under the lip of the table to create a smooth surface for the documents. At least one table in the reference room should be large enough to fully support an oversize map. Libraries have begun to set up pods of desks in the reference room, where people can work in groups. Most archives patrons work individually, so the group or team work areas in an archives reference room can probably be limited to one or two.

At the SCAHC, the microfilm reading room is a low-ceilinged, very deep alcove off the side of the reference room. The alcove design shields the readers from bright ambient light in the main reading area, while its open side permits reference staff a clear line of vision into the area. The space is too crowded to allow access to as many readers as the staff had desired because the readers were placed on a large decorative wooden table that matched furniture in the main reading area. Microfilm readers should be installed on utilitarian tables designed specifically for readers; this will save space and cost less. As the use of digital reader/printer equipment increases, the design required for microfilm reading areas may change. While modern reader/printers do

not require dim lighting, they take more space and require more frequent servicing. They also need to be linked to servers to store digital images.

Office Spaces

Ling suggests office design should be reviewed by the staff who will work in the space, and it should be flexible enough to accommodate working teams. He spoke to the "creature comforts," the human elements of design: natural lighting, temperature, lounge areas, general ambience created by soothing color schemes, etc.[36] Most offices at the SCAHC are cubicles in open office space. Private offices are reserved for division directors, the head of personnel, the department director, and a few designated functions. Conference rooms are available for private conferences and work groups. Many members of the staff, having had private or semiprivate offices in the old facility, did have difficulty making the adjustment to the open office layout. Privacy and noise are still problems for those on staff who work at their desks most of the day. Staff members immediately shifted the walls of their cubicles to stagger the entries to their offices, breaking up the direct line of sight into the cubicle across the hall. Even though modular furniture and open office layouts are cost effective and flexible, management should expect this "human" reaction from staff moved from old buildings with private and semiprivate offices. Design for open office areas should incorporate a system to manage acoustics: carpet, noise-absorbent panels, and white noise. Brick masonry walls absorb a great deal of ambient light; place extra desk lighting in those areas. Conference rooms should be close to office areas to allow confidential conferences or impromptu team meetings.

Moving into the New History Center

Once the SCDAH moved into its new quarters, there were many adjustments. The move consultant, FRI, helped ease the transition for members of the staff by transferring an individual's office files efficiently to their new office space, arranging tours of the completed facility before it opened to the public, and providing staff with information packets containing building maps and lists of area restaurants and nearby services.

The department purchased many new computers and printers, and the new building had much better infrastructure for wired Internet access. The massive effort to prepare the collection resulted in the creation of the agency's first fully automated, searchable finding aid. But the improved technology options placed great pressure on the department's two-person Computer Services unit. Responsible for ordering and installing new equipment, transferring and upgrading old computers, and setting up the new LAN, the unit took months to work out all the problems. Some staff members were unable to access the databases and shared files for several weeks. The agency should have hired temporary employees to set up computer hardware, freeing the permanent staff to set up the LAN and databases more quickly.

Meeting Facilities

When discussions about the new building began, the administration envisioned a facility that would accommodate large meetings. The department had always sponsored annual meetings and workshops, holding them off-site for lack of space. They wanted to expand their outreach programs. Various units within the agency had begun to work on more team projects, and they needed adequate workrooms. Everyone wanted the new building to have an auditorium, classrooms, and conference rooms. The administration, seeking legislative support for a new building, promised the legislature that other state agencies could use the facility for their meetings as well. Finally, it was agreed that the meeting facilities could be a good source of revenue.

No one at SCDAH anticipated how many public meetings the History Center would attract. The community at large "discovered" the Archives and History Center, with its catering kitchen, well-equipped auditorium, classrooms, and conference rooms. State agencies with regional offices around the state were drawn to the Archives and History Center for their statewide meetings because the facility was in the geographic center of the state. Parking at the Archives and History Center's suburban location was easy to find and free; but the department quickly realized that it had underestimated the parking required when conferences were held in the building and they had to negotiate parking privileges on the grounds of a nearby state agency.

So many groups wanted to make use of the Center's conference facilities that members of the archives staff were being pulled away from their regular duties to set up or break down equipment in the meeting rooms. As a result, program supervisors and senior record analysts were doing work more appropriate to building maintenance workers. Several different people handled room reservations, causing confusion about the availability of conference rooms and team workrooms.

The department was soon forced to hire a full-time employee to manage reservations and events. Policies governing the rentals were developed. Security routines were established to control public access to meeting rooms on the upper floors. The department hired part-time staff for the reception desk in the atrium to direct traffic and handle sales in the gift shop. The department quickly improved its audiovisual capabilities and Internet access in the public meeting areas on the first floor. Ling's work does not address the possibility of increased staffing needs for public services, but the SCDAH decided to add the "convention center" function when it planned the new facility. Never having conducted a formal study of potential need for the meeting facilities, the department simply underestimated the impact on its staff and resources.

Maintenance Issues

Ling discusses maintenance of the new facility, recommending that a program of comprehensive maintenance should begin immediately. He suggests records be kept of all incidents related to building maintenance, and he suggests regular inspections to note any problems.[37] During the first few years at the Archives and History Center, there were a number of problems with the new building's mechanical systems, security

equipment, and drainage. A sprinkler head leaked onto items in the stacks. The sprinkler failure was the result of a manufacturer's design flaw, and replacements were installed in 2005. Two steam exhaust pipes had to be rerouted. The exterior drains in the garden had to be re-routed and expanded to prevent flooding during heavy downpours. The designers put too many motion detectors in the stacks, and temporary paper signs on the shelves kept setting off the alarms for several weeks.[38]

Maintenance of the HVAC system is a major issue in any new or renovated building. During the first design discussions of the South Carolina project, the environmental consultant advised the SCDAH to have an independent agent commission the building within the warranty period. "Commissioning the building" is a term for the process of checking the HVAC system to be sure it is built as designed and works properly. The contractor routinely checks the system's operation as part of the installation. The system works if he is a reliable, competent contractor. When an independent agent is hired to commission the building, however, he invariably finds problems. The process is similar to having a proofreader check a manuscript; but the services of this "proofreader" represent a substantial expenditure. For a somewhat higher fee, the independent commissioning agent can also train the local maintenance personnel in the operation of the new system.

There is considerable debate whether the expense of a commissioning agent is justified, and Ling makes no recommendation on the matter. The environmental conditions required for archival storage place considerable demands on an HVAC system, and the system is required to perform to specifications for more than twenty years. Given the paramount importance of the HVAC to the archives' core mission, the independent commissioning fee is cost effective because any repairs required would be covered by the warranty. At some point in the SCDAH project, the director was persuaded to cut funds for an independent commissioning agent. Such an agent probably would have spotted the faulty control panel that was supposed to release chemicals to clean the boilers, a problem that resulted in failure of the boiler within three years. A commissioning agent could have saved considerable staff time by creating an operating manual for the new HVAC system and training in-house maintenance personnel on its operation.

The HVAC system at the Archives and History Center may have been "overengineered" in the general office areas. Narrow set points for temperature and humidity were set for the general office areas. The system sent hundreds of alarms to maintenance when the temperature or humidity moved outside the set points. General Services soon stopped responding to these frequent alarms, waiting instead for agency personnel to make a call when they got uncomfortable. Unfortunately, General Services also ignored alarms from the collection storage areas. The problems have been ameliorated with a combination of tactics. Set points for office areas and public spaces were adjusted to allow wider variations of temperature and humidity; system alarms are less frequent. The stacks are independently monitored by the preservation staff, using data loggers. When conditions move outside acceptable guidelines in the stacks, a service call is placed with General Services. Data logger technology has improved rapidly since the mid-90s. Ling's work doesn't discuss the use of data loggers, but new instruments can now feed their data directly to the Internet and send alarms via E-mail or pager to personnel concerned about environmental conditions in collection areas.

Summary

Because building an archive facility is unusual, architects will never specialize in designing purpose-built archival facilities. Even if one firm does work on several archives projects, individual architects move frequently from one firm to another, making it unlikely that a firm will retain the same design team from one archives project to another. The archivists who have participated in this generation's projects should fully document their experiences, keeping meticulous records of the design discussions and construction meetings, and scheduling these records for permanent retention. A recording secretary should be appointed to the project team from its beginning.

Staff and administration must take time to develop written priorities for the new building before the architect is drawn into the process. The budget should allow adequate time for staff review and discussion of the design as it progresses toward detailed layout; staff members have expertise that the architects need. Before any design is developed, the staff should generate accurate figures about collection size. They should then set forth shelving specifications. The use of compact, movable shelving should be a given in a new purpose-built archive facility. One of the areas most in need of research is the calculation of collection-space requirements in a new building. Better guidelines for accurately calculating space requirements are required.

The archival staff should prepare the collection for the move, but a professional moving consultant will supply useful advice and technical support. The move presents an excellent opportunity to enhance intellectual access and improve preservation of the collections.

The impact of electronic records and digitization on the planning and design of record storage stacks requires further study. Not only must future archive buildings have the technology to provide access to electronic materials, but planners must be able to project how electronic formats will affect the growth rate of their traditional physical holdings.

Technology and building techniques are finally capable of creating a viable preservation environment. Digital controls and centralized monitoring provide the opportunity for knowledgeable preservation personnel to resolve problems quickly. Environmental monitoring programs should be a major priority of any preservation program.[39] The author recommends study of the application of the National Information Standards Organization's standard TR01-1955, for it should be interpreted and implemented in light of local climate conditions and the content of the collections. Further discussion about data loggers and how they can be used is desirable. While an independent commissioning agent should be hired to review the new facility's HVAC system and get problems corrected during the warranty period, an additional commissioning process can take place at any time during a building's existence. Resources for recommissioning a building should be built into the facility's long-range budget to identify maintenance needs for an aging system and to refresh institutional knowledge of how to operate the HVAC system.

A new building represents opportunities for expansion of public service and outreach programs, and planners can use the opportunity of a new building to upgrade the agency's services. The Archives and History Center grew into a major meeting

facility much more rapidly than expected. The external demands for conference facilities pushed the SCDAH to invest in equipment and personnel to support the meeting functions. The investment also enhanced the training capabilities of the agency because it purchased audiovisual equipment, greater Internet access, and more digital imaging equipment to meet the public expectation for a well-equipped conference center.

In order to expand the agency's functions, the new facility must be constructed to allow technology upgrades without major renovation costs. In South Carolina, the delay in wiring conference rooms on the upper floors may work to the agency's advantage. Instead of installing more wiring there, the agency can move directly to wireless access. The reference room might be more expensive and difficult to upgrade to wireless, but the nature of reference service may well change completely as more finding aids are available on-line and as electronic records change the nature of the archivist's role from that of custodian to information locator.

Finally, the planning and construction of a new archive building is a long and challenging process. On average, it takes about a decade to raise awareness of the need, secure the funding, and then design, build, and occupy a new building. The profession should be documenting the process thoroughly because one rarely goes through the effort more than once in a professional lifetime. A scholarly dialogue is necessary to develop a set of published standards to accompany the forthcoming SAA basic manual by Tom Wilsted, which updates Ling's 1998 work. Changes in technology and the growth of electronic records and digital media should spur a constant discussion of issues related to the proper housing and maintenance of the archival record in the context of planning a new facility.

ABOUT THE AUTHOR: Patricia Morris was an archivist and unit head with the South Carolina Department of Archives for nearly 15 years, and she was on the staff when the new Archives and History Center was designed and built. Her primary responsibilities were preservation and access for the collections. Since 2002, she has been faculty director of preservation for the Libraries at the University of Colorado at Boulder.

NOTES

1. Roy H. Tryon, "The South Carolina Archives: A Decade of Change and Program Development," *American Archivist* 60:2 (1997): 166–183. This article describes the highlights of the SCDAH effort to secure funding and support for the new building.
2. Raymond Holt, *Planning Library Buildings and Facilities: From Concept to Completion* (Metuchen, NJ: Scarecrow Press, 1989). Godfrey Thompson, *Planning and Design of Library Buildings*, 3d ed. (London: Butterworth Architecture, 1989). Keyes D. Metcalf, *Planning Academic and Research Library Buildings* (New York: McGraw-Hill, 1965). This was followed with revised editions in 1986 and 2000; Metcalf's work was edited and expanded by Philip D. Leighton and David C. Weber under the auspices of the ALA. Garry Thomson, *The Museum Environment*, 2nd ed. (London, Boston: Butterworths, in association with the International Institute for Conservation of Historic and Artistic Works, 1986). Susan G. Swartzburg and Holly Bussey, with Frank Garretson, *Libraries and Archives: Design and Renovation with a Preservation Perspective* (Metuchen, NJ: Scarecrow Press, 1991).
3. National Archives and Records Administration (NARA), *Archives II, National Archives at College Park: Using Technology to Safeguard Archival Records*, NARA Technical Information Paper Number 13, 1997, http://www.archives.gov/preservation/storage/facilities.html (8 September 2005).
4. Ted Ling, *Solid, Safe, Secure: Building Archives Repositories in Australia* (Sydney: National Archives of Australia, 1998).
5. The Society of American Archivists will publish Tom Wilsted's new manual on planning and design of archives in 2007.
6. Ling, *Solid, Safe, Secure*, 82–85.
7. For more details on the strategic planning effort and the project funding for the SCDAH, see Tryon, "South Carolina Archives," 181.
8. HOK adopts a business practice whereby they expand the firm by acquiring local architectural firms. Walter McQuade, *Architecture in the Real World: The Work of HOK* (New York: Harry N. Abrams, Inc., 1984): 34. In South Carolina, HOK purchased a Greenville firm; most of the design and oversight on the SCDAH project was carried out by members of the Greenville firm, with advice from members of the Archives II project team. As a result of this practice, none of the primary team members on the SCDAH project had any experience building an archives facility.
9. Ling, *Solid, Safe Secure*, 83.
10. McQuade, *Architecture in the Real World*, 23.
11. Ling, *Solid, Safe, Secure*, 76.
12. Ling, *Solid, Safe, Secure*, 87. The SCDAH is an independent agency; it had to raise the money for construction and carry out the project in accordance with state procurement regulations. The architect and contractor interacted directly with the SCDAH as the client. The South Carolina Budget and Control Board, acting through General Services, owns and maintains the completed building. The SCDAH occupies the facility and pays rent to General Services for maintenance.
13. Ling, *Solid, Safe Secure*, 87.
14. Michele F. Pacifico, "The National Archives at College Park," *Government Information Quarterly* 13:2 (1996): 123.
15. NARA, *Archives II*, 24–27.
16. Ling, *Solid, Safe, Secure*, 63.
17. Ling recommended natural lighting in these areas. Ibid., 75.
18. Ibid., 40.
19. William K. Wilson, *NISO TR01-1995: Environmental Guidelines for the Storage of Paper Records* (Bethesda, MD: NISO Press, 1995). *American National Standard for Imaging Media—Processed Safety Photographic Film—Storage*, ANSI Standard IT9.11-1993 (New York: American National Standards Institute, 1993).
20. If an extension is added to the stacks, the SCDAH will have to add more air handlers or lower its stringent environmental requirements. The boilers and chillers will handle the extension, but it is not cost-effective to build air-handling units that can maintain such low temperature and humidity levels in a larger space.
21. Ling, *Safe, Solid, Secure*, 56, 74.
22. Ibid., 73.

23. Michael J. Kurtz, *Managing Archival and Manuscript Repositories* (Chicago: Society of American Archivists, 2004), 167–168.
24. The SCDAH altered the basis for calculating cubic footage over the years, and the modern archive was established with a large backlog of materials on hand from the state capitol. There was never an exact measurement of these materials in the early years.
25. Ron Lane and Reese Dill, "What to Build," in *Library Off-Site Shelving: Guide for High-Density Facilities*, ed. Danuta A. Nitecki and Curtis L. Kendrick (Englewood, CO: Libraries Unlimited, Inc., 2001), 73–87.
26. Kurtz provides a useful description of shelving options and terms. Kurtz, *Managing Archival and Manuscript Repositories*, 169–171. A discussion of preparing the archives for the move is reserved for another paper.
27. NARA chose to house all of its map cases on compact movable shelving specially built to hold the 54- and 64-inch-wide cases, a cost-effective choice for a collection with more than ten thousand map cases. NARA, *Archives II*, 17.
28. Ling, *Solid, Safe, Secure*, 73.
29. At SCDAH, in a number of bays on the second and third floors the layout of the collection had been planned for shelving with eight-foot-high uprights. Because planners had overlooked the shorter uprights on the movable ranges, we had to remove the covering shelf in order to place all our series as planned, exposing the boxes on the top shelves to the ceiling.
30. Pacifico, "The National Archives at College Park," 122.
31. Ibid., 119.
32. Ling, *Solid, Safe, Secure*, 76.
33. Ibid., 119.
34. The library staff reviewed any changes in design and construction related to IT issues at the Lied Library, a model that should become common practice in archives. Myoung-ja Lee Kwon and Kenneth E. Marks, "Construction of the Lied Library," Library Hi Tech, 20:1 (2002), 21–32.
35. The article is unclear how the design does this. Pacifico, "The National Archives at College Park," 121.
36. Ling, *Solid, Safe, Secure*, 75–77.
37. Ibid., 175.
38. Ling states motion detectors are needed only at stack entrances. Ibid., 61.
39. Ibid., 44–51.

ETHNICITY AS PROVENANCE: IN SEARCH OF VALUES AND PRINCIPLES FOR DOCUMENTING THE IMMIGRANT EXPERIENCE

BY JOEL WURL

ABSTRACT: This article adds to a recent strand of archival literature that challenges traditional definitions of the principle of provenance by extending it to encompass ethnic communities. Understanding cultural groupings as a manifestation of provenance has several ramifications for archival work. It can assist archivists in overcoming the historical tendency of filiopietistic approaches to documenting ethnic groups and can help to avoid oversimplified conceptions of cultural diversity. Perhaps most notably, it calls into question the conventional archival values of ownership and custody. The author argues that the framework of custodianship should be replaced by one of stewardship as archivists work to build effective documentation of ethnic communities.

Human value systems are generally constructed over years or decades, but sometimes they are jolted into clarity by unforgettable, even unsettling moments. In 1992, I was asked to deliver a keynote presentation for the Society of California Archivists annual meeting in Pasadena on the subject of documenting diversity. The date, more precisely, was May 1, 1992, two days after the acquittal of three Los Angeles police officers in the Rodney King beating trial. I flew into the Ontario, California, airport the evening before and rented a car. The drive between the airport and the hotel in Pasadena was remarkably eerie. Smoke was plentiful and the freeways were all but empty. The Pasadena streets were quiet, nothing at all like what was going on not many miles away. Even so, arriving at the hotel felt a bit like finding sanctuary. I wasn't sure why at first; my personal safety was never at issue. I would soon realize that it was my emotional and moral condition that was shaken to the core.

That realization started to hit me just about the time I was to take the podium. I looked at my paper—an assessment of past, present, and future considerations in administering archives on immigration and ethnicity—and it suddenly seemed sterile and meaningless. I prefaced my talk by verbalizing how anachronistic and academic it felt for us to be contemplating the issue of documenting minority cultures when just down the road, society was breaking apart along racial and ethnic fault lines. Although I wasn't sure it made sense to proceed, I did, and the conference went forward successfully.[1]

But something was snapping inside me as I tried to reconcile what seemed then to be a complete disjunction between the supposedly noble career I had chosen and the critical needs and challenges of the real world outside the cozy walls of a Pasadena hotel.

I was facing a crisis of confidence, one that had me thinking I might have been mistaken about the importance of archives. My job of acquiring, preserving, and making accessible the informational remnants of immigrant groups seemingly had little to offer in the task of building a more tolerant and just social infrastructure. Clearly, archives had no power to prevent the seething discontent and devastation that had taken place in LA those several days.

Or had they? It wasn't until a few weeks later that I learned of an incident that occurred at the apex of the riots that yanked me out of my funk for good. Looters and arsonists had worked their way to the south LA neighborhood of the Southern California Library for Social Studies & Research (SCL), a major repository on contemporary social justice movements and underrepresented communities. Standing guard, building manager Chester Murray encountered a group that announced its intention to burn down his building. Murray responded by telling them the library contained the history of African-Americans, Latinos, and working class people and persuaded them to leave it alone. Many of the surrounding buildings were damaged or destroyed, but not the library.[2]

I use this self-reflective parable as the entree point for this essay not just because it is an inspirational touchstone, nor even because I think of it as the kind of episode that can, for any archivist with a social conscience, ignite a passion for the work we do. Rather, I do so chiefly because it provides a sharp-edged illustration of how some of the following concepts and principles play out in real time with real people and very real consequences at stake.

The SCL was saved due in part to the bravery of one man but significantly also due to a realization on the part of those bent on destruction. The facility contained something important to them, probably something they hadn't been fully aware of before then. In fact, it contained a partial antidote for what drove them to act out in the first place. It comprised documentation not only *about* underrepresented communities but more importantly *of* those communities. Not just the ongoing power of history but the core question of who *owns* that history surfaced in one fateful flash point that illuminates some important lessons to draw on in considering how—and of course why—various cultural communities might be documented by archivists and others.

Unlike previous writings on this subject, the following commentary does not deal primarily with issues of methodology, nor does it provide a typology of archival records generated by ethnic groups.[3] Rather, it focuses foremost on matters of principle and values. This is not to denigrate the importance of practical applications. It is simply my conviction that deeper reflection on the conceptual framework buttressing archival decisions will lead more coherently to techniques of implementation. If we are charged with building archival resources on particular cultural groups, it matters little how we do this if we haven't really wrestled with the broader questions of why and with whose authority. And if, as Elisabeth Kaplan has so forcefully expressed, "we collect what we are," a more conscious grasp of our own value systems and conceptual vantage points is essential to judicious professional decision making.[4] A precursory disclaimer

is in order: Most of these observations emanate from my experience in documenting the phenomenon of immigration and its aftermath. While I would like to believe that some of these ideas resonate for other social or cultural groups not borne of a migration process, I fully realize that distinctions could well supersede similarities.

Ethnicity as Provenance

In an obscure but compelling essay published more than two decades ago concerning the Canadian government's policy of multiculturalism and its impact on ethnic library and archival activity, the late historian Robert Harney inserted the following observation: "The remarkable fact is that after ten years of a multicultural policy in Canada and a century of rhetoric of being a 'nation of nations' in the United States, the ethnic dimension of man is still not seen as valid provenance."[5] This statement, which was elaborated on only sparingly in Harney's article, haunted me for a number of years while I pursued the challenge of documenting American immigration. Its meaning and wisdom are only now becoming more apparent. How does one come to regard ethnicity as a form of archival provenance, and, more importantly, what are the implications of this idea?

Answering these questions requires exploring some definitions of two increasingly elusive concepts: provenance and ethnicity. Provenance is a term that at first glance appears to have clear parameters. In the words of Richard Pearce-Moses, author of the Society of American Archivists' glossary of archival terminology, "Provenance is a fundamental principle of archives, referring to the individual, family, or organization which created or received the items in a collection."[6] At its core are the notions of origin, context, and integrity. As archivists learn early on, the originating source of archival material is something to be respected and represented in the way such material is gathered and made accessible. But the textbook definition of this most basic of professional tenets really pertains to the scenario of how one confronts a body of archival information on a processing table. It envisions a reactive behavior—*I have a set of items in a collection in front of me, how do I respond in order to make them comprehensible to others?* Because of this conventional focus on discrete materials, we tend to avoid the richer, more nuanced, and more expansive connotations embodied in the idea of "originating source." Several archivists, most notably colleagues from Canada, have been challenging the profession to widen its understanding of provenance to encompass entities not conveniently bounded by the walls of a government agency, a set of business bylaws, or a household.[7] Human beings operate in collective fashion and develop collective identities that, while perhaps more complex and not so neatly contained as the more distinct organizational or familial entities, are nonetheless corporate and corporeal. Recent writings by Jeannette Bastian provide especially compelling case studies in helping to understand how provenance can coalesce around such larger social groupings. Her article, "In a 'House of Memory': Discovering the Provenance of Place," illustrates how a prominent New Hampshire artist colony, over time, took on a collective character that could not be understood as simply the sum of the individual participants who occupied it. The colony became more than a physical gathering

place for artists; it became a place of "collective remembering" and, as such, a form of provenance that commanded attention in the way archival sources were developed and described.[8] Likewise, in recounting her experiences as librarian and archivist in the U.S. Virgin Islands, Bastian witnessed the consequences of a too-narrow definition of provenance in the form of cultural amnesia. Because the governmental records of the Virgin Islands had been accumulated by U.S. and Danish colonial authorities, they had been removed to those nations, out of reach of the people they documented. As Bastian's book, *Owning Memory: How a Caribbean Community Lost its Archives and Found its History,* shows, it was only through nurturing a wider understanding of provenance, encompassing the subjects as well as the literal producers of records, that necessary strides could be made in restoring local access to previously invisible evidence.[9]

This reasoning, in my view, applies similarly to the social environment we might label "ethnic community." But making this claim requires some consideration of the term ethnicity. A crisp, commonly agreeable definition of ethnicity is elusive at best. This is partly due to the relative newness of the term in learned discourse on social behavior. Although the actual word origins trace far back (derived from the Greek "ethnos," meaning "nation"), it was not until the 1930s that American social scientists and commentators began employing it as a descriptor for group belonging.[10] As a consequence of fervent scholarly interest in cultural identity over the past two decades, numerous attempts have been made to capture the essence of a shared contemporary meaning for the term. Through these attempts, several common conclusions have emerged: (1) ethnicity is a social construct of group affiliation, not something inherently or genetically predetermined; (2) ethnic groups share a sense of common origin, embrace a distinctive history and destiny, and develop a sense of unique collective solidarity; and (3) ethnic identity, on both an individual and group level, is dynamic and mutable over time.[11] Among various efforts to encapsulate a definition, one of the more agreeable calls ethnicity "a collective consciousness of kind ... based in common memories, experiences, and cultural repertoires."[12]

We have come to understand that ethnic groups are not absolutely foreordained on the basis of bloodlines or other intrinsic qualities but are the product of complex social interaction. Nor are they static or rigid. Even in the case of groups formed by incoming immigrant populations, the contours of community belonging and function are constantly being shaped and reshaped in a complicated and challenging dance with host societies. Yet what sometimes gets missed in this assessment of ethnicity as a product of social formulation is the basic reality that ethnic community life does, nonetheless, *exist and persist* (albeit not in universal manner or magnitude among various communities). Calling something a social construction does not mean it is a "fiction," a sometimes alternative descriptor. Human beings do, indeed, come together around common languages, geographic origins, modes of cultural expression, religion, cuisine, and more, and develop ways of behaving as an integrated social system—again, a collective. As we contemplate the task of fully representing the experiences of immigrant peoples and their descendants in the archival record of this nation, we have to begin with this fundamental awareness that ethnicity is manifested in interpersonal

and interdependent frameworks—frameworks that need to be understood and respected as embodiments of provenance.

Failing to perceive ethnicity as provenance can lead to some unfortunate results in the archival arena. As one writer reminds us, provenance is, foremost, "a principle of organization built around context."[13] Without a full appreciation for the contextual whole of ethnic community development, efforts to document this dimension of society can take on a fragmentary and narrow approach. When ethnicity is not viewed as provenance, it tends to be viewed simply as a subject area or "theme," like education, labor, sports, or the arts.[14] This paradigm of archival selection overlooks the rich reservoir of information originating deep within community infrastructures in favor of scattered products about communities, often generated by those on the outside looking in. It also runs a considerable risk of being grounded in distorted, if not damaging, preconceptions of ethnic identities and community experiences.

Operating with a clearer sense of ethnicity as a form of provenance poses a fundamental challenge to traditional archival perspectives of custody and ownership, a point I will return to. By the same token, it enables us to break free from the limiting constraints of the classical definition of provenance that is wedded to discrete, visible sets of physical documents and other materials. Documenting immigrant and ethnic life effectively, I believe, requires archivists to traverse some of the boundaries they tend to place on what constitutes archival evidence and to look more closely instead at the ways ethnic communities actually convey information. As a case in point, a University of Minnesota Ph.D. student is currently researching the local Hmong community and its forms of cultural and literary expression against the backdrop of the common pronouncement of the Hmong as a "preliterate" people prior to their refugee migration. As he notes, this type of conclusion and terminology can have a marginalizing or "exoticizing" effect in shaping how a community is perceived. It can also hinder a more authentic examination of the ways Hmong may have expressed literary inspirations through different constructs and the ways in which literature in the more traditional sense has evolved in their newer host environments.[15] Archivists, likewise, need to cultivate an openness of thought to how ethnic community life is actually transacted, through communication structures that might not be familiar to the shelves of our repositories. It is only through an appreciation of ethnic communities as environments of originating context that we can liberate ourselves from constricted thinking about the evidence of ethnicity.

Ethnicity's Relational Contexts

In using this expanded meaning of archival provenance as an analytical tool, it's important to consider that contexts do not exist in singular fashion. Ethnicity is certainly a significant organizing force in human development, but it coexists with other broad contextual forces. One of these is time. Are archives the stuff of history? Are they authentic markers of the past? How we think about time and the place of archives within it is vitally important to the work we do. The distinctions between past and present, which on a surface level sometimes seem so clear and profound, are on a deeper

level quite congruent. As novelist E. L. Doctorow once put it, "history is the present. That's why every generation writes it anew."[16]

Archivists who have come to share this insight on the "here and now" function of the past have encouraged us to adopt a mindset that explains the work we do not as preserving history but as facilitating memory. A leading exponent of this idea is Brien Brothman of the Rhode Island State Archives. In an extremely nimble essay published in 2001, he paints a contrast between the traditional construct of archivists as keepers of history vs. archivists as keepers of memory: "Memory's archivist is interested in the past's residue as material for promoting integrated knowledge, social identity, and the formation of group consciousness; history's archivist is interested in finding records and, in them, uncovering evidence to develop a linear narrative about a past that is ours, *yet different from us* [italics mine]."[17]

This is a delicate but highly meaningful conceptual distinction that resonates quite loudly in the arena of ethnic identity and group consciousness. In a "memory" construct of archives, the past is never really separate from what is active and immediate, and documentation, no matter its physical age, is always inextricably tethered to an ongoing process of collective remembering. Ethnic communities, as we've already noted, are dynamic social systems in a persistent state of formulation. "Things that have gone on before," be it yesterday or a hundred years ago, are active ingredients of group consciousness and composition at any given point in its evolution. If we fail to grasp this in an archival setting, we risk treating the past and its remnants as disengaged from the present—as nostalgia or, worse, as grist for filiopietistic, celebratory, or romantic portrayals of immigrant and ethnic community life. The national landscape of ethnic archives is already dotted with enough outcomes of this approach to documenting particular communities.[18] A discerning perspective on the present day's uses and potential misuses of a living past is one of the most valuable tools any archivist of ethnic societies can possess.

Along with the context of time, ethnicity needs to be positioned as part of a varied menu of social groupings that compose collective identity. Rarely, if ever, do human beings maintain a single identity or locus of affiliation. Because identity is largely a volitional process, we tend to align ourselves with a multiplicity if groupings, any of which, depending on given circumstances, we might claim as an identity marker—our professional guilds, our religions, our political parties, our sexual preferences, to name but a few. And of course individual ethnic identities themselves are far from monolithic, with many people affirming and expressing a "consciousness of kind" with more than one group. Indeed, ethnic groups often take on layered identities, as reflected in subcommunities (e.g., Arab American Moslem or Christian; pre- or post-Solidarity Polish Americans) or in pan-ethnic structures (e.g., Vietnamese and/or Asian American; Dominican and/or Latino). The latter observation also introduces the element of race, which further amplifies the complexity of identity formation. While I do subscribe to the position that race, too, is a social construction and not a biological imperative, I can't overlook the reality that racial thinking in this country most often ascribes this particular identity for us. Yet even our seemingly encrusted template of racial categorization shows signs occasionally of its permeability and its flaws as an instrument for comprehending our population, as evidenced by the inclusion

for the first time of the "mixed" race check box on the 2000 Census. And to add yet another shade of nuance to identity, a large number of today's immigrants live transnationally, nurturing economic, professional, familial, and other relationships in both their homelands and their communities of residency in the U.S.[19]

The point here is that identity of any kind cannot be approached for any purpose, including archival, in isolation. Doing so runs completely counter to the reality of human behavior on an individual or a collective level. And if ethnicity is provenance, so, arguably, are other environments of social affiliation. The fact that these may often overlap, intersect, and even push against each other makes for a messy organizational chart of human activity. But society truly does not sort itself out in neat corporate compartments, and as archivists, we need to learn to brace ourselves accordingly. In more practical terms, we cannot approach the task of documenting immigrant or ethnic groups from a mindset that ethnicity is the only or even the pre-eminent form of identity that members of a community may exercise. The consequence of this myopia is a body of archival material that exudes ethnocentrism in the way it is accumulated and described. It also leads to ill-conceived efforts to capitalize on what may seem an opportune moment to "do diversity" informed by an oversimplified conception of the definitions and boundaries of ethnic communities.[20] Such impulsive projects, well meaning though they might be, are likely to be temporary, fragmentary, and disconnected from the actual people and institutions they purport to represent in archival holdings

Ethnicity, Archives, and "Ownership"

This very real danger of disconnection between archival programs and the communities they aim to document leads to what is perhaps the most pivotal implication of understanding ethnicity as provenance. The archival principle of provenance insists that the contextual source of documentation be respected in the way material is developed and administered. In the domain of ethnicity, I believe that the meaning of "respect" goes hand in hand with the matter of cultural ownership. If there is any one facet of documenting immigrant and ethnic communities that sets this realm of archival activity apart, it is this issue of jurisdiction.[21] For archivists to comprehend this fully and sympathetically, it will be necessary to reconsider one of our most deeply ingrained professional values.

Archives are often portrayed in common parlance (often by ourselves) as "repositories of history" or "houses of memory"—places of honor or intrigue to which archivists hold the keys. This popular image has long-standing origins. In another thought-provoking article, Jeannette Bastian traces the evolution of the archival principle of custody, which equates the very definition of archives with the idea of material possession. Bastian finds practical indications of this precept as far back as the ancient Assyrian and Egyptian civilizations; however it is not until the nineteenth and early twentieth centuries that this is elevated to the level of principle, reinforced in the writings of archival theorists Hilary Jenkinson and, later, Theodore Schellenberg.[22] Custodial assumptions have been key underpinnings of archival programs in the United States up to the modern era. A

1992 handbook from the National Archives and Records Administration affirms this in defining custody as "guardianship or control of records, including both physical possession (physical custody) and legal responsibility (legal custody). ..."[23] The inviolability of custody in the administration of archives has undergone recent challenges, as some colleagues have envisioned archival constructs comprising distributed responsibilities and decentralized holdings. For the most part, though, this emerging paradigm has been nurtured in the domain of electronic records, and it has precipitated a strong counterdefense that reflects the resilience of custodial thinking.[24]

In the world of ethnic archives, however, custodial principles need to give way to a different framework of jurisdiction and responsibility. In short, *custodianship* needs to be replaced by *stewardship*. In the custodial approach to archives, property is relinquished by the originating source; possession is taken both physically and legally by the archives. At the moment of transfer, from the perspective of the collecting institution, the importance of the material to the originator diminishes in comparison to its importance for external researchers. The material is now owned by the repository; the attention given to it is aimed at a largely imagined group of potential users, most of whom are not seen as being affiliated with the originators.

A stewardship ethos encompasses a very different set of relationships between stakeholders and materials. It is characterized by partnership and continuity of association between repository and originator. In a stewardship approach, archival material is viewed less as property and more as cultural asset, jointly held and invested in by the archive and the community of origin. Material may be gifted to a repository but with the expectation that in many respects, the relationship between donor and archive is just beginning. The goals of stewardship are preservation and access to information, wherever it might be physically held, while intentions or claims of possessing the largest or most valuable yield of material for a given community are both irrelevant and hollow. Because the universe of potential source material emanating from and pertaining to any community is limitless and ranges so far beyond the boundaries of formats conventionally regarded as archival, stewardship recognizes the misleading futility of referring to a repository's holdings as anything more than a selection of potentially useful sources.[25]

Accepting the premise of ethnicity as provenance and, consequently, adopting a principle of stewardship may seem to speak primarily to archival programs directly borne of ethnic communities. In such settings, the kind of symbiotic, ongoing "ownership" connection between archive and originator described above unfolds most naturally. There, the challenge lies not so much with recognizing the necessity and virtues of this relationship, but with internalizing the previously mentioned implications of ignoring ethnicity's relational contexts (ethnocentrism, nostalgia, romanticism, and filiopietism). In the case of repositories not conceived by ethnic communities—what we routinely term mainstream institutions—the first task of any immigrant or ethnic documentation effort is to awaken to this paradigm of cultural provenance. Without a deep absorption of this socioarchival reality, such efforts can never be sustainable and effective. They can never be seen by the communities they endeavor to reflect as anything meriting true participation or assistance in time of need.

Documenting ethno cultural communities—both from within and outside of the communities themselves—is not a new development. Much excellent work has been undertaken in repositories throughout the country, where one can see the application, though seldom consciously expressed, of the values and perspectives outlined above.[26] However, much more is needed in the way of thoughtful case study reporting that not only describes what has been done but that reflects on the philosophical underpinnings of an institution's mission. At a time of profound demographic transformation, once again due in large part to international as well as internal migration, the archival community faces an enormous challenge to ensure that the record of society truly represents the people who compose it. This will require, among other things, enlarging the professional discourse on documenting subcultures, both by imparting practical experiences and by probing the overarching value systems from which they originate.[27]

And this brings us full circle to the spring of 1992 and the tense encounter at the doorstep of the Southern California Library for Social Studies & Research. That a courageous staff member could persuade angry rioters to leave the building alone is not only cause for relief, it is a powerful illustration of what it means when an archival institution "gets it." History is filled with accounts of protest mobs destroying sites of records that were seen as representing authoritarian rule. Such were not records of the people but of the regimes—information used to control, distort, intimidate, and punish. One can easily imagine a similar fate befalling an institution in south-central LA perceived not as a steward of the living memory of the community but as an instrument of the establishment. Could it be, ultimately, that solutions to a more harmonious and equitable social condition lie, in part, in developing and strengthening documentation of minority cultures? The answer, it seems to me, is a resounding yes, as long as the work is done in ways that ensure the full and free engagement of the documented. If so, this is the kind of outcome that, indeed, merits sentiments of inspiration and passion for the archival mission.

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NOTES

1. The conference program is available on-line at the Society of California Archivists Web site. The presentation was published as Joel Wurl, "Re-covering the American Mosaic: Some Reflections on Ethnic Archives, Past, Present, and Future," *Westwords* (Society of California Archivists, 1993).
2. This remarkable story was reported in the lead column, "We're Still Here: Community Defends SCL," in the summer 1992 issue of the SCL newsletter *Heritage*.
3. The professional literature on documenting ethnic communities is still quite small in quantity and formative in nature. I partially chronicled this historiography in a yet-unpublished presentation, entitled "Transplanted Heritage: The Legacy and Lessons of Documenting the American Immigrant Experience," for the 2004 International Congress on Archives, in Vienna, Austria. Among the key works of the past two decades are: R. Joseph Anderson, "Managing Change and Chance: Collecting Policies in Social History Archives," John Grabowski, "Fragments or Components: Theme Collections in a Local Setting," and Thomas Kreneck, "Documenting a Mexican American Community: The Houston Example"—all of which are included in a special issue of *American Archivist* 48:3 (1985), devoted to minority community documentation; Joel Wurl and Rudolph Vecoli, eds., *Documenting Diversity: A Report on the Conference on Documenting the Immigrant Experience in the USA*, (St. Paul: Immigration History research Center, 1991); Stephen Sturgeon, "A Different Shade of Green: Documenting Environmental Racism and Justice," *Archival Issues* 21:1 (1996); Elisabeth Kaplan, "We Are What We Collect, We Collect What We Are: Archivists and the Construction of Identity," *American Archivist* 63:1 (2000): 126–151; Jeannette Bastian, "A Question of Custody: The Colonial Archives of the United States Virgin Islands," *American Archivist* 64:1 (2001): 96–114; and Bastian, *Owning Memory: How a Caribbean Community Lost its Archives and Found its History* (Westport, CT: Libraries Unlimited, 2003).
4. Kaplan, "We Are What We Collect," is a particularly rich examination of the establishment and uses of archives by an ethnic community in the furtherance of cultural identity for deliberate cultural and political purposes.
5. Robert Harney, "Ethnic Archival and Library Material in Canada: Problems of Bibliographic Control and Preservation," *Ethnic Forum* 2:2 (1982).
6. Richard Pearce-Moses, *A Glossary of Archival and Records Terminology,* Archival Fundamentals Series II (Chicago: Society of American Archivists, 2005).
7. See, for example, Tom C. Nesmith, *Canadian Archival Studies and the Rediscovery of Provenance* (Metuchen, NJ: Society of American Archivists, Association of Canadian Archivists, and Scarecrow Press, 1992); *The Principle of Provenance: First Stockholm Conference on Archival Theory and the Principle of Provenance*, September 2–3, 1993 (Sweden: Swedish National Archives, 1993); Laura Millar, "The Death of the Fonds and the Resurrection of Provenance: Archival Context in Space and Time," *Archivaria* 53 (Spring 2002): 1–15; Terry Cook, "The Concept of the Archival Fonds: Theory, Description, and Provenance in the Post-Custodial Era," in *The Archival Fonds: From Theory to Practice*, ed. Terry Eastwood (Ottawa, 1992): 52–64.
8. Bastian, "In a 'House of Memory': Discovering the Provenance of Place," *Archival Issues* 28:1 (2003–2004): 9–19.
9. Bastian, *Owning Memory.*
10. David Roediger, *Working toward Whiteness: How America's Immigrants Became White* (New York: Basic Books, 2005), contains extended etymologies of both "ethnicity" and "race" and the evolution of how these concepts have differed in meaning over time.
11. The vast scholarly literature on ethnic identity, especially since the mid-1980s, is impossible to portray fully here. Some prominent examples include: Richard D. Alba, ed., *Ethnicity and Race in the USA: Toward the Twenty-First Century* (London, Boston: Routledge & K. Paul, 1985); Kathleen Conzen, David Gerber, Ewa Morawska, George E. Pozzetta, and Rudolph J. Vecoli, "The Invention of Ethnicity: A Perspective from the USA," *Journal of American Ethnic History*, 12 (Fall 1993): 3–41; Nancy Foner and George M. Fredrickson, eds., *Not Just Black and White: Historical and Contemporary Perspectives on Immigration, Race, and Ethnicity in the United States* (New York: Russell Sage Foundation, 2004); Philip Gleason, *Speaking of Diversity: Language and Ethnicity in Twentieth-Century America* (Baltimore: Johns Hopkins University Press, 1992); Karen Leonard, *Making Ethnic Choices* (Philadelphia: Temple University Press, 1992); Roediger, *Working toward Whiteness*; Werner Sollors, ed., *The Invention of Ethnicity* (New York: Oxford University Press, 1989); Sollors, ed.,

Theories of Ethnicity: A Classical Reader (New York: New York University Press, 1996); and Mary Waters, *Ethnic Options: Choosing Identities in America* (Berkeley: University of California Press, 1990). Among the many definitions found on the Web, an especially helpful one (and the source of some specific word choices in my outline of conclusions) is from a somewhat surprising source—a glossary of terminology from the New Zealand Ministry of Economic Development, Industry, and Regional Development, at http://www.med.govt.nz/irdev/econ_dev/population/2003/2003-07.html (1 October 2006).

12. Rudolph J. Vecoli, "Comment: We Study the Present to Understand the Past," *Journal of American Ethnic History* 18:4 (1999): 121.
13. Bastian, "In a 'House of Memory'," 15.
14. The approach of applying a topical formula (incorporating ethnicity) to collection analysis and development in geographic-based collecting institutions is illustrated in Judith E. Endelman, "Looking Backward to Plan for the Future: Collection Analysis for Manuscript Repositories," *American Archivist* 50:3 (1987): 34–55, and David P. Gray, "A Technique for Manuscript Collection Analysis," *Midwestern Archivist* 12:2 (1987): 91–103.
15. Mitchell P. Ogden, "Hmong Postliteracy: Hmong (American) Literacy Practices and Literary Production" (presentation, University of Minnesota program celebrating the establishment of an Asian American Studies program, Minneapolis, MN, March 31, 2005).
16. Quoted in George Plimpton, *Writers at Work: The Paris Review Interviews* (New York: Penguin Books, 1988). The remainder of the quotation reads: "But what most people think of as history is its end product, myth."
17. Brien Brothman, "The Past that Archives Keep: Memory, History, and the Preservation of Archival Records," *Archivaria* 51 (2001): 62.
18. A number of the early writings on immigrant and ethnic archives point to a prevailing concern about overly filiopietistic approaches to documenting ethnic cultures. See, for example, Nicholas V. Montalto, "The Challenge of Preservation in a Pluralistic Society," *American Archivist* 41:4 (1978); Rudolph J. Vecoli, "Diamonds in your Own Backyard: Developing Documentation on European Immigration to North America," *Ethnic Forum* 1:2 (1981); and John Grabowski, "Fragments or Components: Theme Collections in a Local Setting." *American Archivist* 48:3 (1985).
19. The changing nature of racial frameworks throughout U.S. history, especially as applied to the foreign born, is the primary focus of Roediger, *Working toward Whiteness,* and his earlier writings, including *The Wages of Whiteness: Race and the Making of the American Working Class* (London & New York: Verso, 1991). Among the growing volume of scholarly examinations of transnationalism, an especially valuable work is Nancy Foner, *From Ellis Island to JFK: New York's Two Great Waves of Immigration* (New Haven: Yale University Press, 2000). As her book notes, the frequent attempt to set up transnationalism as a point of distinction between newer and older immigration is a matter of considerable debate.
20. A pointed commentary on archival responses to widespread political and public focus on multiculturalism is Richard J. Cox, *Closing an Era: Historical Perspectives on Modern Archives and Records Management* (Westport, CT: Greenwood Press, 2000): 104–114. Kaplan, "We Are What We Collect," is the most extensive and persuasive discussion to date of the dubious ramifications of archival efforts that endeavor to promote the virtues and inviolability of ethnic identity above all else.
21. The argument for jurisdiction being the main distinguishing feature of the realm of ethnic archives was a primary focus of my essay "If One Were to Build an Ethnic Archives Collecting Program" (presentation, Society of American Archivists Annual Meeting, Montreal, 1992). A recent discussion of the centrality of the question of authority in documenting cultural communities and some of the practical ramifications is Mark A. Greene, "The Messy Business of Remembering: History, Memory, and Archives," *Archival Issues* (forthcoming, 2005).
22. Bastian, "Taking Custody, Giving Access: A Postcustodial Role for a New Century," *Archivaria* 53 (2002): 81–82; see also Bastian, "A Question of Custody."
23. Quoted in Bastian, "Taking Custody, Giving Access," 86.
24. See Bastian, "Taking Custody, Giving Access," 88–90, for a summary of the key contributions to the evolving re-examinations of custodial practices and the ongoing debate.
25. A case study of the context and development of a stewardship arrangement between an ethnic community and mainstream repository is found in Joel Wurl, "Documenting Displacement: The Migration of Archival Sources from Post-WWII East European Émigré Groups," *Archival Science* 5:1 (2005).

26. See, for example, Richard Nancy and Joan Krizack, "Preserving the History of Boston's Diversity," *Provenance* 17 (1999): 23–45; New York State Archives, *A Guide to Documenting Latino/Hispanic History and Culture in New York State,* Publication Number 67 (Albany, New York: State Education Department, 2002); and Esperanza B. de Varona and Diana Gonzalez Kirby, "Documenting Cuban Exiles and the Cuban American Experience in South Florida," *Provenance* 17 (1999): 85–100.
27. In 2005, the Society of American Archivists identified the issue of "diversity" as one of three paramount concerns and areas for targeted attention in its strategic vision for the archival profession. A statement produced by SAA Council and circulated via the SAA newsletter, *Archival Outlook,* and at the 2005 annual conference noted that "the relevance of archives to society and the completeness of the national record hinge in part on the profession's success in ensuring that its members and their holdings reflect the diversity of society as a whole."

Final Acts: A Guide to Preserving the Records of Truth Commissions. By Trudy Huskamp Peterson. Washington, DC: Woodrow Wilson Center Press; Baltimore: The Johns Hopkins University Press, 2005. $30.00. $23.00 to SAA members. 110 pp. Soft cover.

Although this guide to preserving the records of truth commissions, which investigate and report on the abuses of deposed regimes, is only just over one hundred pages, it carries a big wallop because of its sensitive, analytical, and practical nature. Written by consulting archivist and public policy scholar Trudy Huskamp Peterson and funded by the Woodrow Wilson International Center for Scholars, *Final Acts* is a guide for commissioners and senior staff members who seek to address the issues of records disposition. Faced with the huge task of how to handle all of the documentation that is the by-product of the work of truth commissions (20 of which have been established so far in Central and South America and Africa), Peterson offers answers to questions about access and preservation, as well as about law and politics, concerning historical materials of all media types created and received by such commissions.

As one would expect from Peterson, she succinctly explains why societies must save evidence beyond the annual report and advances a practical step-by-step approach to direct this important work. She is interested not only in the wider context of the materials but also in ensuring that all record types (administrative, program, and investigative) are professionally preserved and managed into perpetuity. She argues that it is vital that "amnesia does not prevail" and that the integrity and legitimacy of what a truth commission does is maintained. According to Peterson, "preservation completes the commission's work."

The volume is divided into four chapters. In chapter 1, Peterson offers an overview of the subject matter and identifies existing truth commissions and the diversity manifested in their design and by their work. Chapter 2 provides a list of questions dealing with the context of collected materials: archival, legal, and political, while chapter 3 contains a full discussion of the questions provided in chapter 2. The final chapter presents a sample of country reports, which Peterson draws on to describe the practices of the commissions. She also provides appropriate information on each country and details for those seeking further information.

Final Acts makes it clear that senior staff members serving on a truth commission must be mindful of the final disposition of the records used to carry out the commission's work, since those records are government property and laws exist to ensure that "citizens have the right to demand preservation of and access to this government property." The volume also contains three useful appendices—"Criteria for Distinguishing Commission Records from Personal Property," "Access Criteria," and "Physical Storage Criteria."

Overall, Peterson has produced a model practical guide written in clear, straightforward prose. For years to come it will be essential reading for practitioners seeking

to preserve the records of truth commissions (or other organizations) in a professional manner.

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Privacy and Confidentiality Perspectives: Archivists and Archival Records. Ed. Menzi L. Berhrnd-Klodt and Peter J. Wosh. Chicago: Society of American Archivists, 2005. $56.00. $40.00 to SAA members. 400 pp. Appendices. Soft cover.

A quick review of programs from recent archival conferences reveals at least one session per conference on privacy issues. A review of the literature will show a similar trend. Privacy and confidentiality in archival collections remains a widespread topic for discussion and debate as archivists are increasingly faced with privacy issues. And, since there are no easy answers or set standards to follow, these discussions are likely to continue. It is important for archivists to be familiar with the law and the literature, so that we can do our jobs efficiently, effectively, and with credibility.

This four-hundred-page reader covers the legal, ethical, administrative, and institutional aspects of privacy issues, with an introductory essay summarizing the articles in the individual sections. In order to place the issue into historical context, the book begins with two influential works on the subject, "The Right to Privacy," by Samuel Warren and Louis Brandeis (1890), and William Prosser's "Privacy" (1960). The rest of the essays are contemporary; each is authored by a practicing archivist or group of archivists employed in different types of archives, such as religious, medical, corporate, academic and government institutions, as well as manuscript repositories.

These essays have been thoughtfully written and well researched, and were chosen carefully to fit into the overall themes. The value of the book is broadened by the wide variety of institutions represented. One of the most profound elements of the book is Paul C. Lasewicz's fascinating article, in which he addresses privacy issues in the world of corporate archives and the shifting attitudes of corporate archivists based on technological advances, society's changing expectations of privacy rights, and public access to information.

Editor Menzi Behrnd-Klodt's chapter, "The Tort Right of Privacy," puts archivists' fears regarding liability to rest through a cogent explanation of statutes of limitations, consent to disclosure laws, and other defenses against lawsuits. She also warns archivists not to assume a higher legal obligation than necessary by making promises to donors that can lead to errors in judgment—a valuable piece of advice to be sure.

Also included is Elena Danielson's award-winning piece on the takeover and eventual liberation of the East German Stasi's surveillance archives. In this article, she describes the difficult privacy issues that followed and the collective sense of confidence in the democratic process that can result when the records of a repressive (or any) regime are opened to legitimate scrutiny.

The essay by L. Dale Patterson demonstrates how the unique position of religious institutions straddles the public and private sectors by describing the efforts of the United Methodist Church to create an open records policy for its archives. It is a good companion piece to that of Mark Duffy and Christine Taylor, in which they describe how the distinct role of archivists in religious institutions can be viewed as one of fiduciary agent, given the high value placed on trust in those institutions. The authors point out how these same issues can be applied to the archives of other institutions as well.

This book is not only an educational tool, but it is also a call to action for archivists. In the essay on FERPA by Mark Greene and Christine Weideman, the call is laid out

clearly in a section called "What archivists should do." In Heather MacNeil's provocative piece, the call is more subtle—posed almost as a challenge, which I found intriguing. Judith Schwarz's call is a more practical one, urging archivists to avoid the pitfalls of historical censorship by ensuring lesbian collections are fully processed and indexed using appropriate and accurate search terms.

With more than 75 pages of notes, this book is very well documented. Appendices include selected U.S. constitutional amendments that apply to citizens' rights to privacy, federal statutes concerning privacy, legislative amendments and judicial interpretations of FERPA, and medical records privacy laws in the U.S. and Canada compared with the European Data Privacy Model.

The editors concede that "this book reflects privacy perspectives at one specific moment in American cultural history. ..." Because a single standard or even a set of standards cannot easily be applied to individual cases, there is not likely to be one good, thorough, definitive source for privacy and confidentiality standards, but works such as *Privacy and Confidentiality Perspectives* provide an unremitting fountain of literature to further educate and inform us. Most archivists at some point will be forced to deal with privacy issues, and it helps to know we are not alone.

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Selecting and Appraising Archives and Manuscripts. Archival Fundamentals Series II. By Frank Boles. Chicago: Society of American Archivists, 2005. $49.00. $35.00 to SAA members. 214 pp. Appendices and bibliography. Soft cover.

In the introduction of this addition to the Archival and Fundamental Series II, Frank Boles makes a case for use of the term "selection" rather than that of "appraisal" in reference to archival work. "Selection," Boles notes, is a more transparent word to describe the function wherein archivists make decisions that essentially shape collections to be saved. Selection is not something that should happen by accident, but rather through deliberate and thoughtful action by archivists. The practicality of this activity is a theme carried throughout the book.

The question of why archivists select—or *if* they select at all—is discussed in the first section of this book. It is Boles' contention that archivists today remain reluctant to make the tough decisions involved in selecting materials for archives, which leads to full shelves of unprocessed collections. Archivists have not yet come to a consensus on whether they are merely "keepers," as put forth by Jenkinson, or are actively involved in the appraisal process, as proffered by Schellenberg.[1] Boles responds by presenting a succinct and clear outline of the variety of appraisal strategies that have developed over the twentieth century, including the New Paradigm, the risk management strategy, the Minnesota method, and functional analysis. Ultimately, Boles admits that life has become more complicated than it was in the days when Schellenberg had all the answers, and he asserts that no single theory can address all situations in today's world. He then notes his own basic criteria for selection: (1) the reasons behind selection serve a variety of goals, (2) selection occurs at different points in the records cycle, and (3) context and content both matter.

After discussing these approaches, Boles draws back to take a look at the larger context. He explains the selection process as it relates to broader archival policies, including those of collection development, functional analysis records management, and archival mission. Boles also provides the foundation for the taxonomies used in making immediate appraisal decisions when faced with a room full of filing cabinets. He expands these into more general principles in the following chapter.

In chapter 5, Boles pulls the various theories together in order to develop a selection model. He proposes a six-step process that begins with the definition of archival goals. This is followed by an analysis of the documentary records, prioritization, definition of functions, actual selection of the records, and periodic updating. To illustrate use of his model, he applies the example of two fictional collections, the counseling records of the Wellville Community College and those of local political activist Joe Schmo.

In the final chapter, Boles makes the case that selection decisions should be made with consideration for, but not absolute reliance on, the media type. While a record may be either "paper or plastic" it still contains archival information and has associated preservation costs—and all records will eventually deteriorate. He argues against the "ghettoization" of nontextual records, which have been historically underrepresented in basic archival manuals. Boles also points out the distinct advantage that magnetic and digital media archival records have over paper.

The appendices provide additional valuable information. The first, a reprint of chapter 9 of the 1993 version of *Selecting and Appraising Archives and Manuscripts*, by F. Gerald Ham, details the physical and legal processes involved with the related practice of accessioning records. The second appendix deals with the issue of sampling—an issue Boles believes may be less necessary in an era of shrinking electronic storage. The final appendix contains a detailed bibliography of further resources on the topic of appraisal.

Written by one of the foremost proponents of appraisal theory of the past 25 years, Boles' work provides an insightful and analytical look into a number of ideas with which he does not agree. If the reader is curious enough to delve deeper into a particular theory, the bibliography provides that opportunity. This book does not, however, limit itself to theory alone, but instead places those theories into the context of working institutions. Additionally, this manual provides practical suggestions that can be adapted by archivists at all types of repositories. Perhaps the best feature of the book is the writing style of its author. Boles makes the subject matter not only readable, but he gives an extremely entertaining look at a topic that easily could have been tedious or overly complex.

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1. For further information see in the SAA Archival Classics Series Theodore Schellenberg, *Modern Archives: Principles and Techniques* (Chicago: University of Chicago, 2003), and Terence Eastwood et al., *Selected Writings of Sir Hilary Jenkinson* (Chicago: University of Chicago, 2003).

A Glossary of Archival and Records Terminology. Archival Fundamentals Series II. By Richard Pearce-Moses. Chicago: Society of American Archivists, 2005. $49.00. $35.00 to SAA members. 472 pp. Bibliography. Soft cover.

A Glossary of Archival and Records Terminology, an Archival Fundamentals Series II book, is an updated version of the 1992 edition of *A Glossary for Archivists, Manuscript Curators, and Records Managers* by Lewis and Lynn Lady Bellardo. The new edition is more expansive than the old, having grown from just 40 pages to 413 pages of terms. The new edition describes the "ways terms are used inside and outside the profession." The glossary is based on words author Richard Pearce-Moses found in archival literature of the United States and Canada. He writes that the volume is intended for use by anyone who works with records, whether or not they have the title of "Archivist."

The book contains a preface by Richard Cox, a section entitled "The Archival Lexicon," an introduction to using the book, the glossary itself, and a bibliography. In the Archival Lexicon, Pearce-Moses mentions how the terminology of the profession is changing to be more like language previously associated only with electronic records. Some examples from the glossary are "extensible markup language," "jpeg," and "preservation of the integrity of electronic records." He also laments that words and their meanings can be hard to pin down. The introduction describes how to use the entries, which include the heading, the part of speech designation, variants, and the definition; the term's syndetic structure, which includes broader, related, and narrower terms; notes about the word; and citations.

The glossary contains a wide variety of terms related to processing, supplies, film, photographs, electronic records, and types of records. Pearce-Moses also includes acronyms for some professional organizations as well as URLs for their Web sites. The reader will also find other acronyms for government agencies, relevant projects, standards, and computer terms. The acronyms are incorporated into the glossary with a "see also" pointer to the spelled-out version. A few of the more common abbreviations for terms are included as well. Some entries give further notes about the term or passages from the literature. The bibliography at the end of the book provides documentation for the passages cited.

On the whole, the glossary includes a wide variety of definitions with a good mix of basic and more complicated archival terms. The entries about electronic records and computer terms are extremely useful. The book is straightforward and easy to use, and the definitions easy to understand.

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Arranging and Describing Archives and Manuscripts. Archival Fundamentals Series II. By Kathleen D. Roe. Chicago: Society of American Archivists, 2005. $49.00. $35.00 to SAA members. 180 pp. Index, black-and-white illustrations, and appendices. Soft cover.

In his admiring comments on the book's back cover, Steven Hensen refers to *Arranging and Describing Archives and Manuscripts* by Kathleen Roe as the "definitive basic manual for the archival profession," and Kris Kiesling echoes him by flatly declaring "it's all here." Really, I thought. That is quite an accomplishment for such a thin and pithy volume about an archival subject as intense and challenging as arrangement and description. Having cut my archival teeth on Fredric Miller's more formidable publication of the same title,[1] I approached Roe with a skeptical eye and frankly asked why I needed to buy her book. To answer myself, I compared Roe to Miller and asked two fundamental questions: (1) for veteran archivists (like me), does Roe offer substantially new and better content, and (2) will new and inexperienced archivists find Roe's treatment of core archival concepts and practices easier to read and understand?

Roe's overriding emphasis is to firmly establish arrangement and description within the broader context of archival management and to demonstrate the methodology's essential relationship to other core functions. The introduction sets the stage by outlining the book's general goals and specific objectives. Roe wastes no time in stating simply that her book will present readers with the "necessary theoretical and practical framework" for understanding arrangement and description. In order to accomplish this goal, she organized the book around four sections. The first is a general overview that nicely explains arrangement and description within the context of other archival functions, and demonstrates the methodology's relationship to repositories and users. The second section defines core principles, compares them to library and museum methodologies, and discusses how description relates to institutional mission. The third section considers American, Canadian, and international developments in arrangement and description, with a focus on automated access. Finally, the last section examines the actual mechanics of arrangement and description.

So, does Roe offer experienced archival professionals new and better content than Miller? I believe the answer is no. Overall, Roe covers the same content and offers the same basic examples as Miller.

This assessment is especially true in Roe's treatment of arrangement. Whereas she faithfully discusses the core principles, Roe completely avoids the problem and challenge of electronic records—a methodological area that has had a profound impact on the profession since Miller. In one brief paragraph, she does recognize that traditional arrangement practice cannot be applied in the digital realm, but she fails to offer alternatives or to direct the reader to additional readings and resources on the subject. Given that the predicament of electronic records management threatens to make the traditional role of the archivist irrelevant, one would think that the topic warrants more attention in a basic manual.

Similarly, Roe fails to address the unique arrangement and processing challenges offered by other record formats, such as audiovisual materials. As with electronic records, she mentions these formats almost as an aside and cautions that "particular

care should be taken with housing provided for special format materials." Even as a veteran archivist, I struggle daily with the singular demands of old reel-to-reel audio tapes, phonographic records, tintype photographs, and smelly architectural blueprints. Shouldn't a basic manual on arrangement provide up-to-date guidance on how to address these pervasive formats, or at the very least direct me to additional resources?

Roe does a much better job for veteran archivists in the area of description. While covering the basics very well (core components of a standard inventory, catalogs, guides, the development of MARC, etc.), she also provides important new information for those of us who have not kept up with the significant strides made in the area of standardization. In particular, Roe introduces *Describing Archives: A Content Standard* and the Canadian *Rules for Archival Description*, second edition (RAD2), and she correctly advises that archivists should use both "for specifics of implementation" in descriptive programs. I was particularly pleased with Roe's attention to recent developments in Canadian Rules for Archival Description; something American archivists would do well to notice. As a proponent of education as the best means for the profession to achieve universal standardization in description, I greatly appreciated Roe's introduction of these two manuals and her discussion of their importance.

I was disappointed, however, by Roe's brief and cursory reference to Encoded Archival Description (EAD). Ever since EAD's birth in 1994, a raging debate has stormed through the profession as to the necessity and efficacy of Document Type Definition (DTD) to users, particularly in relation to MARC or basic HTML standard inventories on the Internet. Indeed, anyone unfamiliar with the EAD controversy would read Roe and conclude that the DTD has been met with universal acclaim among archivists. On the contrary! Only a small percentage of all archival institutions has accepted and implemented EAD, and proponents have failed to prove that it is "user friendly." In fact, no credible user study has ever been done. I found Roe's failure to even mention this debate peculiar and appalling, especially given its implication for archival descriptive practices. At the very least, a more detailed review of the EAD controversy would have added richness and depth to her treatment of the development of standardization in descriptive practice.

I may find Roe lacking in usefulness to the more advanced archivist, but there is no debate in my mind as to the book's value for the novice stepping into his or her first job or starting a graduate program in archival management. For this audience, Roe's *Arranging and Describing Archives and Manuscripts* is far better than Miller's, with the differences between them mainly being in style, format, and presentation of the information.

Roe's prose is crisp, concise, and exceptionally clear. Indeed, I have never encountered an easier read in archival literature. At the same time, her tone is moderate and not the least bit condescending or intimidating. Roe's discussion of core principles is well laid out and succinct without leaving out important details. Moreover, she does not rely on complex or obscure case studies to make a point or illustrate a process. Take, for example, the important concepts of context and content. Roe clearly defines both early in her discussion and then deftly weaves them in and out of the narrative as she proceeds from provenance, through original order, and into levels of description, all the while demonstrating the interrelationships. In the end, the reader is left with

a true understanding of how context and content dictate everything in arrangement and description.

Roe strengthens this understanding with her skillful use of informational sidebars and examples. As she notes in the introduction, Roe created three "hypothetical core examples" and used them adeptly throughout the book to demonstrate different ideas, principles, and practices. The Charles E. Williams papers, for example, start out as disparate files in a home office and finish the book as a processed collection with a standard inventory finding aid in the appendix. This consistency makes the learning process much easier. Similarly, Roe uses informational sidebars to highlight and emphasize the definition of key concepts and principles in a way that facilitates the reader's progress through the book. Finally, in appendix E Roe offers a selection of finding aids that she believes are a representative sample of descriptive practice. What makes this offering unique is her use of editorial sidebars linked to specific elements in each finding aid. I found this technique a particularly useful departure from the standard practice of simply providing examples without reflection or comment.

Although a student or beginning archivist might find Roe's *Arranging and Describing Archives and Manuscripts* useful, the seasoned archivist will not. Richard Cox, SAA publications editor, admits as much when he notes in the preface that the new editions to the Archival Fundamentals Series arrive within "the broader and deeper context of archival publishing" today and alerts readers to SAA's forthcoming specialized manuals. Indeed, readers of the new Fundamentals Series will likely be left with their appetites whetted and their wallets open, waiting to buy those specialized manuals.

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1. Fredric M. Miller, *Arranging and Describing Archives and Manuscripts* (Chicago: The Society of American Archivists, 1990).

Creating EAD-Compatible Finding Guides on Paper. Elizabeth H. Dow. Lanham, Maryland: Scarecrow Press, 2005. $40.00. 153 pp. Glossary, bibliography, and index. Soft cover.

Archivists are aware that there is a call to make our collections more accessible by putting finding aids and other types of archival description on the Internet.[1] In her book, *Creating EAD-Compatible Finding Guides on Paper*, Elizabeth H. Dow explains how archivists can prepare finding aids to be converted to EAD, even if they currently lack the means to do so. This book focuses on what information to collect, where to place fields in relation to one another, and the standards that come into play. There is no in-depth analysis of arrangement included in this volume, rather it is designed to be a practical guide for preparing finding aids to be encoded.

The early chapters provide background information that explain descriptive standards and how they arose. The first chapter discusses the different types of inventories produced by repositories and clarifies the use of terms in this book. The second chapter reviews the development of descriptive standards ISAD(G) (General International Standard Archival Description) and DACS (*Describing Archives: A Content Standard*). The third chapter explains what XML is and how EAD is structured. These chapters are easy to read and would be a good introduction to the topic for students learning about EAD and descriptive standards.

Chapter 4 relates descriptive standards to your repository's finding aids. Dow lists each data element and tells whether ISAD(G), DACS, and RLG requires or recommends this element. Additionally, she provides the EAD element for each data element. While each standard is slightly different, several of the key data elements overlap. Though Dow compiled all of this information for the reader, this chapter, and the book overall, is well footnoted, so any archivist who wishes to learn more about any one of these standards should be able to find the reference easily.

Chapter 5 discusses formatting paper inventories, and the reader receives useful advice about designing finding aids to be compatible with EAD. We are reminded that computers do not process information in the same way people do, and certain habits that can be useful while typing up a finding aid, i.e. abbreviations, do not necessarily work once that finding aid is online. This chapter also reminds archivists that if you combine data elements into long, winding narratives, your future conversion will be more complicated, slower, and more costly.

Chapter 6 focuses on controlled vocabularies and their importance for intellectual access and information retrieval. Alternate spellings, name changes, and different types of names can make it difficult to search by computer, but are easily addressed on paper. In this chapter, Dow describes the provisions EAD makes to allow better access to name and subject searches.

Chapter 7 reviews many of the questions that need to be addressed before any decisions can be made about converting finding aids to EAD. Before beginning, repositories need to consider who the decision maker will be, who will do the encoding, which finding aids to encode, and examine numerous other questions. This chapter does not provide answers; those are up to each individual repository to determine for itself.

What this chapter does is prepare the reader for the questions that need to be asked before starting the conversion process.

Examples are used heavily throughout the book to illustrate the text. They do an excellent job of clarifying, but the middle chapters are so laden with examples that it does become difficult to read. This book could have used a little more editing as there are a few typing errors scattered throughout. Ultimately, this book is readable, with a good deal of practical information that should help a repository begin to prepare its finding aids in EAD, even if it is just on paper.

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1. One such call was made at the Association of Research Libraries conference, Exposing Hidden Collections, held on September 8–9, 2003, at the Library of Congress in Washington, D.C. This meeting addressed the challenges of providing access to uncataloged and unprocessed archival, manuscript, and rare book materials.

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