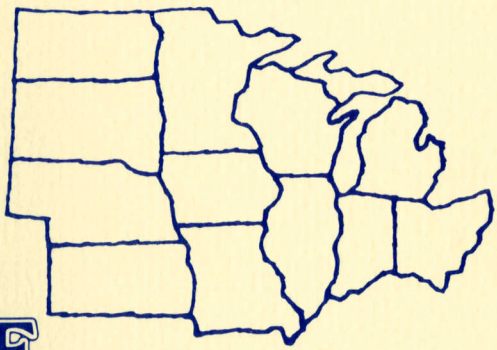

THE MIDWESTERN ARCHIVIST

VOLUME X, NUMBER 2, 1985

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EDITORIAL POLICY

The Midwestern Archivist, a semi-annual journal published by the Midwest Archives Conference, is concerned with the issues and problems confronting the contemporary archivist. Submissions relating to archival theory and current practice are solicited. Diversity among topics and points of view is encouraged. Ideas and opinions expressed by the contributors are not necessarily those of the Midwest Archives Conference or its Editorial Board.

Material in a wide range of formats — including articles, review essays, proceedings of seminars, and case studies of specific archival projects or functions — will be considered for publication. Guidelines for authors of articles and case studies are available on request from the editorial board chair.

Manuscripts should be sent to board chair David J. Klaassen, Social Welfare History Archives, University of Minnesota Libraries, Minneapolis, MN 55455. Decisions on manuscripts will be rendered within ten weeks of submission. Offers to review books or suggested books to review should be sent to book review editor Anne R. Kenney, Western Historical Manuscripts Collection, University of Missouri, St. Louis, MO 63121.

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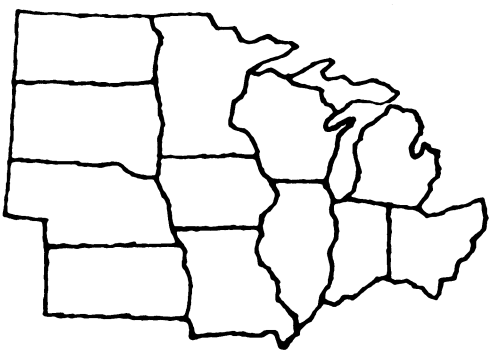

Cover Design by Paul Hass

TO THE EDITOR:

I find it curious that an archival journal should publish an article (Archie Motley, "Out of the Hollinger Box: The Archivist as Advocate," *The Midwestern Archivist*, IX, No. 2 [1984]:65-73.) so full of vigorous assertions so unsupported by documentation. Archie Motley has some interesting things to say about the activist-archivist movement in the profession, but he does his activist colleagues a disservice. Without documentation of his assertions that "archival activists have contributed much to the democratization and improvement of our professional organizations . . . ," and "activists were involved prominently in the work of the SAA's Committee for the Seventies . . . ," and a multitude of similar statements, all must be placed in the opinion-unsupported-by-fact, column.

Because his is an article of opinion, I quarrel chiefly with his statement that "activism is a natural function of human beings." In my experience, activism is a natural function of very few human beings; activists are a tiny minority of the general and archival populations. I believe, in fact, that many of us enter the archival and library professions because they allow a very large degree of non-involvement if one chooses. Accordingly, the archival profession has benefited from its few activists — but I am not willing to allow Mr. Motley to attribute everything good in the profession since deacidification to activist-archivists unless he can document his assertions.

Edmund Berkeley, Jr.
Charlottesville, Virginia

BUYING QUARTER INCH HOLES: PUBLIC SUPPORT THROUGH RESULTS

ELSIE T. FREEMAN

ABSTRACT: Archivists must learn, specifically and accurately, who uses their holdings; a few individuals and institutions are now examining this question. Archivists must also learn what users produce with their research and how these products affect our personal and public lives. Four methods for ascertaining this information are suggested. Finally, armed with information about clients and results, archivists can reach new user constituencies, affect the general public's perception of the archives, and influence those who underwrite and support archival activity. The writer provides suggestions for undertaking this outreach.

Theodore Leavitt, a widely published and quoted professor of marketing at the Harvard Business School, reflects in his book, *The Marketing Imagination*, on why people buy. It is not things they buy, Leavitt says, but solutions. Or, as the storekeeper put it when he explained why people buy quarter inch drill bits, "They don't buy quarter inch bits. They buy quarter inch holes."[1] That premise informs this essay: people do not buy possibilities; they buy results. They do not want to know what an archives contains, or what archivists do. They want solutions to problems. They want quarter inch holes, not quarter inch bits.

As the Society of American Archivists Task Force on Archives and Society (TFAS) develops the techniques and literature we need to turn our faces outward toward the public, we must confront certain professional issues we have traditionally avoided. First, we must establish the technical and educational standards which any group calling itself a profession must have, and state these standards publicly. Is there anyone, for example, who does not know that doctors train rigorously, or that law schools are presided over by persons of character and intellect, like John Houseman? Second, we must let the public know, in language that *it* uses, that our work requires expertise and judgment. Do we not all know that architects build for the future and that engineers train in the mysteries of physics and the higher calculus? Third, we must join the information age, cheerfully, willingly, and vigorously, lest we find our information replaced by less reliable information, and our staffs replaced by clerks and technicians. Finally, we must learn to view good publicity and informed public relations as life necessities, not as expendable functions. Specifically, we

must treat public programming, which we have had enormous difficulty confronting as a professional issue, as a necessary part of archives administration. Public programs should not come at the end of the administrative process, though we often mistakenly put them there, and they most certainly should not be thought of last. For public relations and public programming to permeate all of our archival work, we must acquire new skills and change old attitudes. Developing an appropriate mind-set requires us to consider the outcomes of archival research, that is, its products, and to exploit these products to encourage increased usership and public support.

In the present literary flurry over management techniques, we hear a good deal about process- versus product-oriented businesses. We learn that the larger an organization is, the more likely it is to focus on how a job is done, rather than on what is produced. We learn that the most successful businesses show, among other characteristics, bias toward action, not technique; remain close to their customers; and emphasize autonomy and entrepreneurship. Archival management, as a field, does not share these characteristics. We concentrate, for example, on perfecting standards for guides, not on producing a publication that researchers will read. We pay little attention to who our users are, how they operate, and what they create. We stress uniformity over individual productivity, and we regard the entrepreneurial attitude—"I have more researchers writing popular articles and producing films than you have"—as beneath us. These are dangerous attitudes in a competitive information world, but they can be changed.

The nature of our work makes publicizing outcomes difficult. While the results of archival research often contribute to significant events or products, they do not comprise them. Research in primary sources may be used in writing an influential book, but it is the book that is palpable and visible, not the research. A historic building may be saved from the wrecker's ball through research in the records , but the building enriches us, not the research behind it. These examples illustrate the point that we are at a disadvantage when compared to other professionals. The librarian does not need to tell a nation of self-helpers the value of a book. At the simplest level, who has not used Fanny Farmer, or Drs. Reuben or Spock, or Nathan Pritken or Jane Fonda, or Amy Vanderbilt or Miss Manners? In the same fashion, the doctor does not need to tell the patient the value of medicine, nor the lawyer, of the law. And though one is unlikely to live through appendicitis without a doctor or to win a lawsuit without a lawyer, one can write a history, restore a bridge, or make a film without an archivist. Our services enhance and improve a product, but are not always essential to it. If this were not so, why our outrage at the historian who writes the book without our help, the planning commission that plans the neighborhood without us, or the environmentalist who writes the impact statement without our services?

The connection between archival research and results often appears unclear. Therefore publicizing the tie requires imagination, persistence, and a clear understanding not only of who our users are but what our relationship to them is. Our persistent, stated view that scholars are our principal users, when mounting evidence — as well as our own observations — tells us that this is not so does us damage. So do the attitudes that archivists are and should remain detached conduits for information rather than active disseminators of it, and

that archival administration concerns the management of objects called records, not information linking past events to present circumstances. The first of these views, that scholars are our principal users, in importance if not in numbers, harms us most. Our isolation from our own administrators and other professional colleagues — our budget analysts, public relations officers, museum educators — and from organizations in our communities such as schools, businesses and churches, which have many of the same interests we do, does us damage as individual professionals.

Fortunately, there are increasing efforts to find out who our users are and how they approach records. Of these, three should be noted. The first study, done by Edward Oetting between 1981 and 1983, examined three groups: college and university archives in New York State listed in the NHPRC directory, all university archives in member libraries of the Association of Research Libraries, and members of the SAA Section of Reference, Access, and Outreach. Oetting asked archivists in each of these groups to list their users by type and to rank them in order of frequency of use.[2] His survey relies on a traditional approach, which defined users by their occupation or status, not by what they produce. In the first two groups surveyed, undergraduates and administrators led all the rest as users. In the New York survey, scholars and the ubiquitous "other" vied for the bottom rung on the use ladder. In the ARL survey, "other" won the bottom spot, only slightly preceded by scholars. Combined, the two surveys gave top use to administrators, but in listing the objectives of their archives, both groups of archivists cited "service as a repository for scholarly research" as their highest objective. Such a statistically significant gap, Oetting felt, raised questions about the priorities of university archivists. Not to mention, one must add, our grasp of reality, and the relation between the direction in which one runs and the location of the goalposts.

If we look at usership in terms of products, using researchers' own descriptions of what they produce, rather than categories of users (genealogist, historian) we get another picture. Arthur Breton, Archives of American Art, conducted an informal survey of 441 users of that very specialized collection of the records of American artists and art institutions.[3] Breton found that when asked to define the purpose of their research, that is, to identify a product or an outcome, most of the users indicated that they were working on publications ranging from course papers and dissertations on the one hand, to articles for local newspapers on the other. Of the remaining group, one third were engaged in such activities as producing a film, writing a catalog, developing an exhibit or documenting institutional holdings. But an astonishing 27% of this group were doing research for entirely personal reasons, including tracing family members in the art community, documenting personal art holdings, or simply satisfying their curiosity. Intellectual curiosity, that precious ingredient of learning, linked these non-academic, non-professional users with their academic and professional peers.

Finally, Paul Conway, Gerald Ford Library, has recently produced an excellent study of the users of the Presidential Library system which suggests that the fields of inquiry at the Libraries, if not the backgrounds of the clients, are broader than had been supposed.[4] Though the most striking of his conclusions deal with users and the reference process, he also produces new information about usership. Formerly thought to be bastions of traditional research

in political science and political history, the Library system does in fact boast 51% usership in these categories. But 49% of its users are working on projects relating to social history, economics, law, and other disciplines, some in academic fields, others in applied fields. Most significantly, Conway's study excluded users of audiovisual holdings, which undoubtedly would have skewed the results heavily toward the sector of public consumption.

These three studies, deriving from three very different sources, tell us a good deal about the real use of archives. First, they tell us that while we talk to each other about our service to scholarship, a few of potentially many users, whose only connection to that world is intellectual curiosity, have found us, without our help or encouragement. Second, they tell us that with help, this usership could be increased and our materials used in ways that are profitable to the general public and to us. Third, they tell us that the products of archival research can be identified, even seen, heard, held, touched. They include, but are clearly not limited to, a range of products that are practical, publicly oriented, accessible to large numbers of people, and significant in an open society. Let us consider some of these.[5]

We each know instances in which records have been used to create an art form: a play, a novel, a documentary or fictional film. We can each cite an instance where records have been used to establish a claim to inheritance, to trace the use or ownership of land, to restore or protect old buildings, to locate old transportation routes and develop new ones, to provide individuals a link to the past via their nationality or cultural background, to plan a rally or promote a cause or get an initiative on the ballot, to reinforce evidence in a court case, to develop strategy for an environmental issue. These products have an impact, because they touch us in daily ways. They inform us with a better understanding of our own work, and they can generate better understanding of our own work, and they can generate better understanding of archives and archivists. They are potentially usable as we seek support either from specific or general publics. They are the quarter inch holes of archival consumption.

To become successful purveyors of solutions, we first must find out, specifically and accurately, who uses our holdings. Second, we must begin learning what users produce with their research, and how those products affect our personal and public lives. One could consider four methods for ascertaining products. The first is the reference intake interview, in which we not only work with the user on specific reference questions, but also seek to know what he or she expects to result from this research, what its impact is likely to be, and how one can stay in touch to see what actually results. The questionnaire is a second device. The one produced by Paul Conway, for example, is a multipurpose tool, which asks users not only what they hope to produce from their research, but also how they learned about Presidential Library holdings, how they approached their research, and how finding aids and reference practices helped or failed to help them. The third method is the exit interview, which focuses on what the researcher has learned by using the records, and what he or she hopes to produce in light of new information. The exit interview differs from the intake interview by concentrating on changes in anticipated results which develop each time a new question is asked of the records. This is particularly the case in practical, publicly oriented projects where the question is often, Did or did it not happen? Will it work this way? or Is it there in the first

place? Finally, there is the direct callback, in which the archivist chooses a sample of intake interviewees and tracks them to determine the results of their research: for example, Was the deed found and the township annexed? Was the building destroyed or saved? Has the film been produced or the play opened?

These are only four devices at the institutional level; others will suggest themselves. This process, in marketing called "customer input," tells us a great deal about our institution's level of service and usefulness, and provides us with ammunition for local support. Collected nationally, such illustrations can be used in a variety of media to improve the public sense of what archival institutions are and what archivists do.

Once we grasp this concept and then learn about the products of research, how can we use the information to generate support? At the local level — your office and mine — the first step is to identify the publics or constituencies we want to reach. The second step is to find out how best to reach them. For example, if the constituency we seek is the public body that funds or otherwise supports us, illustrations of use that are publicly oriented, enhance public perception of the way the government operates and show how public resources have been efficiently saved or used are the most likely to succeed. One correspondent to the Task Force on Archives and Society put it succinctly: "ego, turf and votes." How this information is conveyed is often as important as what is conveyed. While it is possible to bury it in an annual report, it is wiser to observe the rule that peers influence peers and search out another public official willing to talk to your target audience about results. The same TFAS correspondent describes an incident in which the name of a western joint-city airport was changed without the permission of one of the cities. The mayor was outraged (ego, turf) and set the archives staff to searching for the original agreement. It was the city attorney, long a user of the archives, not the archivist, who told the mayor that the archives welcomed such searches because only thus could they persuade the city to improve the archives. Archivists should also persuade their peers to work for them by carrying success stories to the mayor, the comptroller, and those minor but powerful figures who control budget. Let users be our emissaries, as another TFAS correspondent put it.

Armed with good examples of publicly oriented research projects that have yielded results, archivists can approach architects, lawyers, businessmen, preservationists, planners, and others either individually or through their organizations. Archivists should make use of each group's printed media or their other accepted routes of information, to point out value and offer service. Targeting here is essential. We must know what groups or individuals we want to approach and by what means they are best likely to learn. Robert Wheeler, in his excellent leaflet, *Effective Public Relations: Communicating our Image*, talks about this rifle approach, in which a specific group is targeted for a purpose — fundraising, donations, other support — then reached in person through direct appeals, service, or by whatever means is most likely to affect them directly.[6] General appeals to cultural and humanitarian values, those entreaties that ring of You Ought, may have effect in certain instances, but they are less effective than the presentation of evidence that archivists can produce results.

General public relations activities which do not seek a specific market or

target are not within the scope of this article, but it is worth noting that our efforts to reach out must go beyond those people who will actually use records to include those who are aficionados of history. If we seek support only from the research segment of the public, we cannot build a sufficient base to be sure of survival in difficult times, i.e., times that are either penurious, anti-historical, or anti-intellectual, nor even, to be sure, in good times. Our "public" comprises not only the researcher who walks in the door but the passer-by at the exhibit who will never do research, and the family that stays at home because exhibits are too solitary, museums and archives too daunting, and history too remote, except, of course, when one discusses one's own ancestry or grandfather's first car. How much of the resources of any given institution is allocated to each of these publics is decided by the institution, but attention must be paid to all of them. It is not necessary to have gone deep sea diving to know that "good things" come from it and to support research in it. Without having been to Baffin Island, one can have seen art that is produced there, and can urge the local museum to buy it. One can know in what ways coal mining should change without having been in a coal mine and can vote for legislators who make those changes. To forget that we are seen by everyone is to risk being seen by no one.

As a step toward facing the public, every archivist could do at least three things. First, read one or more of the excellent technical leaflets published by the American Association for State and Local History on reaching the public, such as Robert Wheeler's *Effective Public Relations.*[7] Alternately, read G. Donald Adams, *Museum Public Relations*, also published by the AASLH.[8] The topics are practical and of use to archivists: evaluating public relations, working with the press, establishing speakers' bureaus, developing slide shows, and using local television and radio.

Second, devote staff time to analysis of the face your institution presents to the public, and to how your institution is perceived. Among the questions to be considered as a staff are: What sort of user feedback do we get? How do we go about getting it? Are there patterns in this feedback? What needs to be changed? What can we strengthen? If yours is a historical society or library, staff sessions should not be limited to archivists; publicity and public relations are an institutional effort, and those who are concerned with it should represent a cross-section of institutional functions. Products and how to discover them may well be one focus of these sessions. The effect of such meetings can be regenerating for the staff.

Third, have lunch with your public relations officer, the institution's editor, the development officer, or any other staff person whose job it is to represent your institution to the public. Tell that person about archival research projects done or in the making — projects that link the past to the present in human terms. Think about what touches people: World War II experiences, life in the depression, ethnicity in the community, neighborhoods and the buildings and people in them. Ask your colleague about TV interviews or speakers bureaus, offer to help, or, at least, to be a conduit for information. Your media professional or development person knows the channels; you can supply information. Institutional activities have great public appeal too, provided they are news: discoveries in old attics or exhibit openings. Service programs available to the public, such as school projects, programs for the elderly, or workshops on preserving family papers at home, can strike a spark in the news professional as can a controversial speakers' series or a large or significant gift of records.

Well thought out public programs, vital to any public relations or educational enterprise, are best oriented around the results of research. The National Archives, a conservative organization in terms of outreach, runs two series of lunchtime talks, aimed at recipients of its *Calendar of Events*, office workers, passersby, and researchers in the building. The first series, Lunchtime Lectures, is based on research in progress, on work completed from primary sources, and on interpretation of sources. Topics have included a film on the Brooklyn Bridge, produced from photo collections at the National Archives and elsewhere; the evolution of a six-woman play based on Federal Writers Project Records; several talks on World War II research; and a series of reminiscences by women close to Eleanor Roosevelt, one of whom had just published her letters. The second series, Lunch with an Archivist, features members of the staff discussing their own research, their personal collections, or their travels. This series has included one archivist displaying his personal poster collection; a talk by a former journalist, now Archives manager, on his dissertation in progress called "The News from Harper's Ferry," a study of how the media treated John Brown's raid; and a talk-cum-reading of love letters from the 18th and 19th centuries, presented by an exhibition specialist preparing an article. None of these are academically oriented lectures, though they might be. They are aimed at a specific audience: the historically minded person who probably does not use the Archives but might, and who is available during the day. The atmosphere is informal, though the programs are carefully structured, and are intended to show that both the records and the staff are accessible. The Archives has also offered to the general public a performing arts series based on the preservation of traditional American folk culture, a film series, and a series on historic Washington buildings, many of them preserved with the aid of research in the records. In planning these programs, at least three imperatives must be kept in mind.

First, have in mind a particular segment of the public as you plan your program. This can be other researchers, certain age or ethnic groups, visitors to the museum who do not do research but who are demonstrably interested in history, or specific interest groups such as businessmen, the arts community, or preservationists. Second, how you visualize or learn about these publics will govern the content and format of the programs you provide for them. Some will be reached by service programs, such as workshops on preserving family documents, or because they are volunteers or part-time archivists. Some will be reached by performances based on sources, including folk culture hobbyists, children's groups, and other members of the arts community. Others will be interested in programs that help them reconstruct their own past; among this group are senior citizens or retirees who respond to sessions of reminiscences, publicly staged oral interviews, or panel sessions that invite anecdote from the audience. Third, choose a promotional vehicle that is familiar to the audience you are trying to reach. People won't come if they don't hear about it. Some groups respond to direct mail; others have their own newsletters or dissemination networks; still others respond to word of mouth. The archivist-cum-public programmer must find the most efficient of these for any given public.

Service programs are often the most effective category of public programming. Sometimes planned, often spontaneous, these activities demonstrate that the archivist and the archival institution can respond to public need. They include programs designed, for example, to maintain regular contact with

schools and community organizations of all kinds, not just those concerned with history. All groups have records to maintain and welcome advice on the subject. Service programs can include links with other institutions that regularly do historical programs or provide educational offerings in which records can be used. These may be short or long courses given by archivists or other specialists in genealogy, preservation, or research methods; or they may be programs taken to shut-ins, children's homes, or the elderly. In each instance, the initiative must come from the archivist; often the act of offering itself enhances the person and the institution.

The existence of the Task Force on Archives and Society has brought to light examples of fascinating service programs devised by archivists. A regional center in Washington State helped found a Chinese historical society. An Illinois archives sponsors an extensive adult education program. A Texas repository produces a radio call-in show on history. Another repository writes a monthly column for a local AFL-CIO newspaper, which has helped the archives gain the sympathy of the labor community in acquiring collections and increasing use.

A professional colleague says that the will and the talent to do public outreach is instinctive. In part he is right but it also takes aggressiveness, self-confidence, and the willingness to fail occasionally. The will to reach out to the public is anti-passive, anti-elite. It is also regenerating. Talk to the audience after a good workshop or lecture, or after a zoning hearing, court case, or preservation hearing in which the holdings of your archives were used, and you will cease to worry about image, professionalism, or position in the community. Demonstrating how the use of records saves money, increases efficiency, promotes good causes, or gives pleasure constitutes public service well beyond the traditional and necessary-but-passive activity of reference service, and it is essential if we are to expect public understanding or support. While it may create some distress — we will have to see ourselves as others see us — it will also have rewards, among the best of which will be to say, when asked what we do, not that archivists acquire, describe, and make available records but that we help you find, restore, save, build. As a man said, we sell quarter inch holes.

ABOUT THE AUTHOR: Elsie Freeman is Chief of the Education Branch, Office of Public Programs, National Archives and Records Administration. She has worked at the National Archives in public and education programs since 1971. She was formerly head of the manuscript division, Washington University Libraries, and assistant curator of manuscripts, Archives of American Art, Smithsonian Institution. She has had previous careers in advertising, publishing, and education. Her article is based on a paper presented at the Society of American Archivists annual meeting in Washington, D.C. in September 1984.

FOOTNOTES

1. Theodore Leavitt, *The Marketing Imagination* (New York: Free Press, 1984).
2. Edward Oetting, "User Demographics: What's the Use?" (unpublished paper, Mid-Atlantic Regional Archives Conference, Spring 1983 meeting, New Brunswick, N.J.).
3. Arthur Breton, Curator of Manuscripts, Archives of American Art, compiled these figures from user statistics between January 1980 and November 1982. They are available from him at AAA, Smithsonian Institution, Washington, D.C. 20560.
4. Paul Conway, "Research in Presidential Libraries: A User Study," (unpublished report done under the auspices of the Gerald R. Ford Library, November 1984.)
5. See *Toward a Usable Past: Historical Records in the Empire State* (Albany, N.Y.: State Historical Records Advisory Board, January 1984). Pages 19 - 24 of this excellent report list practical uses of records which suggest products. See also the unpublished TFAS report, "SAA Task Force on Archives and Society 'Action Track' " presented to the SAA Council, summer 1984.
6. Nashville: American Association for State and Local History. Technical Leaflet 3, 1970, 8 pp.
7. *Ibid.*
8. Nashville: American Association for State and Local History, 1983.

HOW ARCHIVES MAKE NEWS

JAMES BOYLAN

ABSTRACT: The author analyzed the "image" of archives and archivists in 300 news clippings dated from 1981 to 1984. Three types of stories were found: (1) those in which archives and archivists played a secondary role, (2) those in which they appeared in an arranged "pseudo-event," and (3) those in which they were portrayed substantively. In the last group, few stories discussed serious issues; instead, they employed metaphors of accumulation and rot. Such treatment may reflect the political weakness of archivists. The article concludes that archivists should try to provide full, honest information to journalists, to create pseudo-events of legitimate interest, and to encourage stories on archival policies and social roles.

In 1983, the president of the Society of American Archivists, David B. Gracy II, declared that the focus — or the chief worry — of his time in office would be "the image and stereotype that non-archivists have of the archivist and archival." He painted a dismaying portrait of "the image of the archivist in the public mind":

> Some think it is an image of shabby grandeur. Others think it is an image of an unessential person. Still others think there is no image at all . . . . But no archivist with whom I have talked is satisfied, or even comfortable, with the general image or stereotype carried by the public at large . . . . Indeed, our weak image is so pervasive that we can disregard it no longer.

This issue is important, he suggested, not so much as a matter of self-esteem as of necessity, for the public and public officials will not indefinitely support an enterprise and a profession that they find dispensable.[1]

The business of polishing one's image is far from simple, as Daniel J. Boorstin pointed out more than two decades ago.[2] An image may be a public identity manufactured to cover the flaws of the real person or institution or — and this may have been Gracy's meaning — it may be a public identity created to make the world at large think of, in this case a profession, what its own practitioners in their heart of hearts would like to believe of themselves. This is not intended to be belittling, for there is a real problem. The question is whether to talk about it as an *image* problem.

The study presented here is designed to inquire into that part of the problem that surfaces in the newspaper press. Colleagues and archivists helped to assemble several hundred clippings.[3] These were narrowed to a selection of roughly 300 items, ranging in date from 1981 to 1984 and dealing directly with archives or archival work (rather than, for example, freedom of information

laws or public records not yet deposited in archives).[4] This heterogenous collection of course defied quantitative approaches; instead, the method used was that of common-sense classifications, and the conclusions were of the same variety.

The first finding is of the type likely to disappoint any group unsatisfied with the coverage it receives in the press. It is, simply, that there was scant evidence that newspapers do anything unusual or discriminatory in handling news about archives and archivists. News stories about archivists are usually governed by the same routines and formulas that govern news about relatively unfamiliar professions and institutions.

These formulas are an amalgam, made up of conformity with the general standards and styles of the trade, the journalist's understanding of the employer's policies, and of political, cultural, and moral norms, usually not articulated. They all serve the function of reducing hesitation, of providing the reporter or editor with a convenient box in which to place a given item; they help the journalist judge the newsworthiness of material, and provide an appropriate treatment for it.[5]

This sample fell (or was pushed) into three familiar formulas: those that were published primarily for their general news value, with archives and archivists serving an incidental role; those that dealt with archives and archivists but were essentially arranged publicity about particular activities; and those that dealt substantively with archives and archivists as a profession or an institution.

The first group comprised stories that involved archives but were really about something else. Their importance should not be discounted, however; much of what the public reads about archives and archivists gets into print piggyback on such stories, and the variety of such items is enormous. Here, from the sample studied, are a few ways to make news:

Conceal something: "Secrecy shrouds assassination data."

Find something: "Lost copy of 'Day of Infamy' Speech Found."

Upgrade an historical figure: "Burr didn't write 'treasonous' letter — scholar."

Downgrade an historical figure: "Freud: Secret documents reveal year of strife."

Get in a fight over a dead celebrity: "New York in race to keep Stravinsky archive."

Get in a fight with a live politician: "Nixon sues to keep 6,000 hours of tapes from public."

Be associated with a crime of any sort: "47 Soviet officials expelled by Paris on spying charges; decision by Mitterand linked to the arrest of a French archivist in case about industry secrets."[6]

Obviously, the list is suggestive rather than comprehensive. In some of these stories, notably those dealing with scholarly findings, archivists played at least a catalytic role. But in each case the focus is on a subject other than the archives or archivist. Such stories often tell the public something about archives, but they may strike archivists as off key — for example, in the persistent emphasis on secrets and discoveries.

The second type of story — that designated as being more publicity than news — can be characterized as the product of a "pseudo-event." This is a descriptive, not an invidious term. Boorstin popularized it in his book, *The Image*, and it entered the language. But because it has been used and misused

so extensively, it is worthwhile recalling his original specifications. This is a condensation of his more elaborate definition:

> *Pseudo-event:* A happening planned for the primary purpose of being reported and, via self-fulfilling prophecy, enhancing the reputation of the sponsor.[7]

Here are a few examples, among many, of stories about archival pseudo-events:

"Special Day and Library for Margaret Chase Smith."

"$42,000 raised for the JFK Library Fund." (This particular event was a little more pseudo than most, in that the chief contributor was the newspaper printing the story.)

"308-year-old will to be displayed."

"The nation's scrapbook; on the [National] Archives' 50th, presidential doodles and royal recipes."[8]

The lack of spontaneity does not necessarily make such stories uninteresting or unworthy. Indeed, they may be the archivist's most dependable route into print, for newspapers (and, not incidentally, television stations) often prefer announced, even staged events for their predictability and pictorial opportunities. Moreover, they are advantageous from the archivist's point of view as well, for the source may retain a substantial degree of control not only over the raw material of the story but over its tone and framing as well.

Those two kinds of stories — the ones that involve archives in the general sweep of the news and the ones that are arranged for the benefit of archives — comprised the bulk of those in the sample. Yet they are probably less important and present a less complex problem for archivists than the minority that remained.

The residue of stories comprised news and features dealing directly with archivists, their institutions, and their work. These fell into two types. One was the policy or public-affairs story, dealing with such aspects of archives as budgets or legislation. The other was the kind of story that responded directly to the question of image. The sample did not contain many of either kind but they (and to a degree their absence) revealed something of the value that journalists — and by inference the public — place upon archives and archivists.

Considering the economic difficulties that the public sector in general, scholarly facilities specifically, and archives in particular have undergone in recent years, there were surprisingly few stories on, for example, budget cuts and their consequences or on political questions involving archives. In 300 items, only a dozen or so could be considered to throw any light at all on the public policy or expenditures for archives and records. Most strikingly, there was little attention to the then-current issue of independent-agency status for the National Archives.[9] It is hard to determine whether such lack of coverage is owing to the competition of other, similar news or to a failure by the archival profession and agencies to provide the press with adequate raw materials. Or to a perception by the press, dealt with below, that it need not exert itself to cover such matters. In any case, it seemed an important deficiency.

The remnant of stories that directly characterized archivists and archives were the most revealing. Sometimes these characterizations were woven into news stories; more often, they were the work of feature writers or columnists,

who have the opportunity to expose their attitudes in ways that ordinary reporters do not.

These writers seemed to have at hand a rather narrow repertory of literary tools to describe archives. Some concentrated on sheer, stupefying bulk, on astronomical statistics: The National Archives as the repository for "3 billion paper documents, 5 million photos, 1.6 million maps and so much film you could wrap it around the world twice and have enough left over to stretch from New York to Omaha." The Massachusetts state archives as the "Valhalla of paper. Stacks of paper, boxes of paper, rooms of paper, warehouses of paper. Twenty-five thousand cubic feet of paper . . . "[10]

With the bulk comes the suggestion of decay: "The records lie crumbling in the McCormack State Office Building, to the dismay of historians." "The next step was to scan the decaying pages of the original Boston City Directory at the state archives." "The eight-page document, one of 350,000 painstakingly restored papers that had been rotting away in the musty basement of the Suffolk County Courthouse . . . [11]

In addition, the writers attribute to archives a monastic isolation and unearthly quiet:

> Suddenly, there are more than whispers in the coffered research rooms of the National Archives, the tucked-away cloisters where . . . scholars, genealogists and Americans curious about their past sift quietly through census reports, court documents, ledgers, and other raw materials of history, has become the center of a sharp dispute that has spilled beyond the archival boxes.[12]

Clearly, newspapers writers find such surroundings oppressive, and it is hard to believe that the ordinary reader would recognize in such descriptions a facility either useful to or usable by the public. Rather, the picture is of unmanageable and unmanaged skyscrapers of paper and of unsavory rot. (The dictionary says *musty* means the "odor and taste of substances that have spoiled in close, muggy weather; sour and fetid; moldy . . . " Is that really what was meant?)

Nor have the newspaper writers made archivists themselves any more appealing. Two relevant items, through what appears to be less coincidence than common cultural impulse, likened archivists to pack rats. (For the record, a pack rat is a Rocky Mountain rodent that hoards food and objects in big cheek pouches.) In one story, a state archivist was designated "the chief pack rat" (and the writer did him the further disservice of misspelling his name). In another, the archivist was not compared directly to a pack rat but to the Collier brothers, who were in turn identified as "those legendary New York pack rats of print in the 1940's."[13]

Admittedly, such characterizations were the exception. More often, archivists remained faceless; one writer concluded: "As a breed, archivists resist fantasy and legend." Even the Massachusetts state archivist was quoted as saying, "It's hard to make records a sexy issue." Nor, it appears, to make archivists themselves sexy.[14].

In the end, it must be conceded that there is an image problem. But the remedy may not be image repair — that is, using public-relations devices to create and present a new professional facade. Boorstin properly warned that

when we use the term "we plainly confess a distinction between what we see and what is really there . . . By our very use of the term we imply that something can be done to it; the image can always be more or less successfully synthesized, doctored, repaired, refurbished, and improved . . ."[15] Image refurbishing might temporarily make archivists feel better but would do little for the more basic problem of improving society's understanding of their role.

In all of the news stories in the sample, the most revealing, if the most daunting, was written by David Nyhan, a political writer for *The Boston Globe*, in 1983. It was an account of his discussion with Dan Fenn and Bill Moss of the Kennedy Library in Boston; both archivists had been discouraged by press coverage of the release of a batch of previously secret Kennedy tapes, and especially by hints that the archivists must have "sanitized" the tapes on behalf of the Kennedy family. Fenn had appeared on ABC's *Nightline* program and had tried to insist that he was not a family hireling but an independent professional; he felt that he had not succeeded. Nyhan wrote that Fenn and Moss felt that "the news media and the general public don't understand what they're about." Nyhan added: "At the root of this misunderstanding is the cynicism and mistrust that journalists and the public have for just about anything run by the government."[16]

Such cynicism, compounded by unfamiliarity, extends of course beyond government to much of the public, nonprofit sector. America's newspaper press rarely treats with contempt those associated with power and with powerful institutions; indeed one's portrayal in the press can almost be considered an index of power vs. powerlessness.

The distinction between image and power emerged starkly in a poll conducted for the SAA by Social Research, Inc. That organization interviewed "resource allocators" — that is, persons who control funding for archives. The interviewees displayed surprising knowledge of archival operations and respect for archivists" professionalism. Yet archives received comparatively low budget priorities. Here resource allocators ticked off the symptoms of powerlessness: low visibility, passivity, out-of-datedness, political impotence.[17] These are the same stigmata that archivists have tended to identify as an "image" problem.

Such a study suggests that much of the immediate problem lies beyond the question of sympathetic portrayal in the press, and extends instead into the issue of the place of archives in their host polities and bureaucracies. Yet seeking less superficial, less uneasy stories about archives in newspapers may be worth the effort, for visibility in the press is one sign of enhanced political standing.

Despite a number of studies that purport to show the contrary, journalists for the most part share the dominant values of our culture, and will usually reflect what they feel is the dominant public view of an institution. Yet, to their credit, they combine these fairly conventional political views with a respect for knowledge that is shared by most people who make their living by words.

This duality of attitudes may mean a slow trek toward more enlightened coverage, but not an impossible one. Most journalists are not inflexible or unreasonable, although often slow to yield up their professional superficiality and skepticism. Most will respond to information and argument, once they are convinced that something of social worth is at stake.

Archivists can themselves help this situation. Rather than nursing feelings of grievance against the press for slights, misinterpretations, or inattention, they

can take simple measures that may improve coverage of all three major types of stories:

1. In news stories in which archives are involved incidentally, the reporter should be offered full and accurate information, regardless of whether the archivist, as a news source, believes that the information will reflect favorably or unfavorably on the archival institution or profession. Albert H. Whitaker, Jr., the Massachusetts state archivist, set a good example, in his co-operation with the press after a page of the Massachusetts Bay Charter was stolen, although the news cast his operation in an unfavorable light.[18]

2. Archivists should have no reluctance to arrange pseudo-events of appropriate substance. That is, archivists should not fall into the trap of indulging in public-relations tricks (e.g., meaningless anniversaries or celebrity-flaunting) simply for the sake of being mentioned in the newspapers or on television. But the press should be supplied with plentiful information in attractive form, and it should be offered access to the institution and to relevant individuals or materials. One attractive example resulting from such effort was a story in *The New York Times* telling how materials in the YIVO Institute for Jewish Research served as the basis for a Yiddish theater revue; another, also in the *Times*, was based on the presentation of the tape archives of radio station WOR to the Library of Congress.[19]

3. Stories dealing with archives policy and the archivists' profession are the most difficult, tedious problem. To the extent that the problem involves the press, archivists can help themselves by encouraging discussion — through talks with reporters, through letters to the editor, through public appearances — of the public policy, social, scholarly, and budgetary stake in archives. One recent example of such an effort was the creation of a panel, headed by a distinguished historian, by three national scholarly associations to report on records management and preservation in the federal government; its work received page-one treatment in the *Times*.[20]

Such work demands time and distracts from what archivists regard as their real work. But if the situation is as serious as the profession itself has painted it, such effort is necessary. Moreover, it serves a second public purpose — the improvement of the press.

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FOOTNOTES

1. Memorandum to regional archival associations, September 2, 1983.
2. Daniel J. Boorstin *The Image or What Happened to the American Dream* (New York: Atheneum, 1962.)
3. The author is indebted for assistance to John Kendall, special collections librarian at the University of Massachusetts, Amherst, and former president of the New England Archivists, as well as to other NEA members who submitted clippings.

4. The newspapers most frequently represented among the clippings are *The New York Times* (59 clippings), *The Boston Globe* (37), *The Morning Union*, Springfield, Massachusetts (16), and *The Christian Science Monitor* (11).
5. Helpful discussions of news values and routines include Gaye Tuchman, *Making News* (New York: The Free Press, 1978); Herbert J. Gans, *Deciding What's News* (New York: Pantheon Books, 1979): and Michael Schudson, "Why News Is the Way It Is," *Raritan A Quarterly Review*, 2 (Winter 1983), 109-25.
6. *The Boston Globe*, May 27, 1981; *The New York Times*, April 2, 1984; *The Boston Globe*, July 12, 1982; *The New York Times*, January 24, 1984; *Ibid.*, May 15, 1983; *The Morning Union*, Springfield, August 3, 1982; *The New York Times*, April 6, 1983.
7. *The Image*, pp. 11-12.
8. *The New York Times*, August 29, 1982; *The Boston Globe*, August 17, 1982; *Ibid.*, August 17, 1982; *The Washington Post*, June 20, 1984.
9. No daily newspaper story found, for example, came close to matching the comprehensive article by Karen J. Winkler in the specialized *Chronicle of Higher Education*, October 26, 1983.
10. *The Washington Post*, June 20, 1984; *The Boston Globe*, October 9, 1982.
11. *Ibid.*, March 24, 1983; *Christian Science Monitor*, April 12, 1983; *The Boston Globe*, September 13, 1983.
12. *The New York Times*, March 16, 1982.
13. *The Boston Globe*, October 9, 1982; *The New York Times*, November 10, 1982.
14. Michael Kernan in *The Washington Post*, June 20, 1984; Whitaker quoted in *The New York Times*, June 20, 1984.
15. *The Image*, pp. 186-87.
16. *The Boston Globe*, July 7, 1983.
17. Summary of study conducted by Sidney J. Levy and Social Research Inc. supplied by Karen Benedict, corporate archivist, Nationwide Insurance of Columbus, Ohio, whom the author thanks for editorial advice and assistance in the preparation of this article.
18. *The Boston Globe*, August 9, 1984; *The New York Times*, August 20, 1984. The Charter page was recovered by police on March 7, 1985.
19. *The New York Times*,September 17, November 9, 1984.
20. *Ibid.*, August 26, 1984; March 6, 1985.

TRANSACTIONS IN ARCHIVAL CONSULTING

VIRGINIA STEWART

ABSTRACT: For purposes of this article, consulting is defined as an intervention of outside expertise to address the operating processes of an organization, with the expectation of effecting change. Successful consulting requires a clear understanding of needs and expectations on the part of the client and the consultant. The process model of consulting helps to achieve this clarity by viewing a particular problem as one aspect of the total organizational picture. The author draws on her own consulting experience in organizational development to illustrate both positive and negative outcomes in three types of consulting functions: evaluation, planning and development, and project rescue. Evaluation, perhaps the most common, typically involves analysis of background materials, a site visit, and preparation of a final report. It seldom includes any commitment to continued activity. In a planning and development model, the consultant is engaged to assist in shaping a desired change or the creation of something new. Project rescue entails corrections in a stalled or foundering project or program; by implication, staff members are likely to be threatened.

Archival consulting is the application of outside expertise to a situation demanding capabilities or resources that are not available within the organization. Consulting is a direct intervention in the operating processes of an organization with the expectation of change. The consultant is a catalyst, but the organization must assimilate and implement the recommendations, plans, and studies produced. This differentiates the role of the consultant from that of a contract archivist, hired to perform functions such as processing on a limited-term basis. Consultants typically provide specialized knowledge, participate in institutional evaluation and planning, or assist in the design and management of a special project. In the past decade archival consulting has enjoyed an upsurge, supported in large part by grant funds that provide stipends for project advisors or evaluators. Most of these consultancies are filled by individuals with other regular employment. Professional associations such as the Society of American Archivists, the American Association for State and Local History, and the American Association of Museums employ consultants with pass-through monies from federal agencies such as the National Historical Publications and Records Commission, the National Endowment for the Humanities, or the Institute of Museum Services. A few individuals have developed archival consulting practices as sole proprietors or in collaboration with colleagues. However, the uncertainty of employment, the undefined

market, and the low visibility of the archival profession combine to make consulting a part-time endeavor for most practicing archivists.

Consulting is a management function, and the archival literature on this subject is rudimentary. The National Historical Publications and Records Commission has developed "Suggestions for Consultant Grantees," which outlines the duties and responsibilities of participants in consultancies they fund.[1] The author has participated in two recent panels (1981, 1984) at annual meetings of the Society of American Archivists at which practicing consultants, funding agencies, and client organizations described their experiences and attempted to extrapolate guidelines. The American Association for State and Local History annual meeting in 1985 offered a session entitled, "Using Consultants to Best Advantage," with a similar format and content. Because consulting is well-established as a problem-solving mode in our culture, many archivists and organizations may become involved in consultancies. The experience beginning to accumulate in the archival field as well as in other consulting arenas suggests that successful consultancies are not easily or regularly achieved. A recent survey in the computer industry noted that approximately one-half of those who had employed consultants were dissatisfied with the results, while one-quarter reported such displeasure that the responsible executives would not hire a consultant again.[2] In the field of businesses management consulting, with a market of over $2 billion annually, the results are also mixed. Jean Pierre Frankenhuis, writing in the *Harvard Business Review*, observes that "much of this money pays for impractical data and poorly implemented recommendations."[3]

The most common reason for the failure of consultancies is the absence of clarity about the needs and expectations of the contracting parties. Consulting is a transaction between client and professional advisor which occurs in the context of the client's real and apparent needs and the professional's capabilities and ethics. The consultant must continually work to determine the goals, problems, organizational constraints, timetable, and anticipated product of the consultancy. At the same time, consultants have "a responsibility to assist their clients to view their archival program within the context of other local, regional, and national efforts with similar goals."[4] Thus the archival profession becomes a silent "third party" to the transaction. The more parties there are involved, the more interests there are to reconcile. Good communication is essential, and the consultant must be prepared to modify the program through the duration of the project.

Process Model

The process model, drawn from the behavioral sciences, is a useful approach for archivists. Process consulting prescribes a joint definition of problems with a strong emphasis on activities which lead clients to perceive and diagnose their own problems.[5] In the archival context as elsewhere the problem — for example, a warehouse full of deteriorating business records — would be examined within the framework of the organization's overall objectives. What are the needs for information from the records? What solutions have been proposed in the past? What untried steps does the client have in mind? The consultant archivist works to induce the client to view the archival problem

not as a rare species but as one aspect of the total organizational picture. The participants are convinced to devise a solution that integrates the archival system into the organization's resources and culture. Process consultation begins with an initial contact and working definition of the problem and proceeds to a specified written plan of work that establishes the objective, the principal activities to be undertaken, and the form and timetable for the product. Evaluation of results and orderly termination and disengagement of the consultant are integral parts of process consultation. It is the antithesis of the "quick fix" type of consulting that many archivists face when called upon to render a professional opinion based on a single visit of one or two days' duration followed by a "final report."

Arthur N. Turner, Professor of Organizational Behavior at the Harvard Business School, addresses one of the most frustrating aspects of consulting — the lack of implementation — through a hierarchical system of goals. The system begins with the usual consulting tasks: providing information, making diagnoses and recommending action. Turner then proceeds to higher level tasks: implementing change, building commitment, facilitating client learning, and improving overall organizational effectiveness. This process approach contradicts the more usual management formulating which emphasizes specific competencies applied to discrete problems. Turner believes, however, that "the consultant has a professional responsibility to ask whether the problem posed is what most needs solving." In a discussion with direct application to the world of archival institutions — underfunded and socially marginal — Turner comments that consultants who transcend the immediate problem in order to prescribe remedies leading to improved organizational effectiveness "contribute to management's most important task — maintaining the organization's future viability in a changing world."[6]

The National Historical Publications and Records Commission guidelines reiterate the need for a more extended analysis and interaction in archival consulting. "Sophisticated problems may demand diverse skills which are not always to be found in a single consultant, nor can these problems often be handled in a single visit. The Commission discourages brief (1-2 day) single visit consultancies unless the issuc to be resolved is very specific. Such visits are not long enough for consultants to make evaluations and to propose specific recommendations."[7] The scope of archival problems, often resulting from neglect and a cumulative deficit of resources, may appear overwhelming. In an attempt to break problems into manageable units, piecemeal solutions are often proposed which do not serve the long-term interests of the organization. The consulting archivist must make judgments and take risks in presenting recommendations. What will a real solution actually cost? What is politically defensible in a particular organizational environment? Who can be persuaded to sponsor a projected solution at decision-making levels within the organization? In a properly managed process consultation, these issues will be part of the explicit agenda for discussion between the client and the consultant. Implementation mechanisms will be built into the recommendations and the final report will contain no surprises for any of the participants.

Consulting Functions

Some examples from the author's consulting experience in organizational

development will illustrate these points. Three functions will be considered: evaluation, planning and development, and project rescue.

Evaluation.

A number of archival programs have been evaluated since the development of the institutional self-study by the Task Force on Institutional Evaluation of the Society of American Archivists.[8] A much more comprehensive program, the Museum Assessment Program of the American Association of Museums, has reached hundreds of institutions through the United States in the past five years. The majority of the MAP survey institutions are historical agencies with archival, manuscript, and photographic holdings among their collections. A considerable number of states participating in the assessment projects funded by the National Historical Publications and Records Commission employed a consultant to do fact-finding and prepare the final reports. In both the NHPRC and AAM evaluative projects, the consultancy is set within national guidelines. In the latter case, the Museum Assessment Program was developed explicitly to prepare institutions for the accreditation process. The SAA institutional evaluation, while not linked to certification or similar accreditation at this point, employs much of the same emphasis on professional standards. Thus these evaluative consultancies are not intended as individually negotiated agreements but rather as subcontracts in which the priorities and standards of the profession shape the encounter. In practice, however, the Museum Assessment Program participants have not continued the process toward accreditation in any great number, and the interaction between agency and consultant has generally been limited to a site visit plus report.

How is an evaluation consultancy ideally conducted? The consultant is provided with background materials about the organization: governing documents such as charters and by-laws, previous reports and studies, statistics, and publications. The consultant studies these materials in advance of visiting the organization. On site, the consultant interviews persons in strategic positions throughout the institution, and may use survey instruments (questionnaires) to supplement direct observation. The consultant returns on several occasions to probe more deeply into the functioning of the organization. Preliminary hypotheses about the problem and its potential solution are presented to the client, then discussed and refined. A pilot project may be developed to test the solution. Communication is rich and comprehensive. The substance of the final report and recommendations are agreed to by the contracting parties before the report is written. The report identifies areas of strength and organizational resources which may not have been obvious to the client. Judgments are rendered about the current operation of the organization and changes proposed. A timetable for implementation is created and the level of required resources specified. The continuing role of the consultant and the process for termination of the consultancy are defined.

In principle, the client has agreed to this scrutiny and committed the organization to change. In practice, the client may have an entirely different agenda. Study may be an end in itself, or a substitute for change. For example, the author evaluated a major collection that included both manuscript materials and artifacts, large and small. The collection, housed in a division

of a research institute in the Midwest, possessed both evidential and artifactual value. Two previous consultants under the sponsorship of professional organizations had visited the institution and submitted reports. The author's findings did not differ from these earlier reports: the collection was of international significance, had both a scholarly and a monetary value, was deteriorating rapidly under the current storage and display conditions, was largely inaccessible to both scholars and the public, and was underfunded and inappropriately staffed.

Unfortunately, the organization was unprepared to accept or act on the consultants' findings. The scope of the problem demanded an evaluation of the relationship of the collection to the mission of the institution. No individual was willing to sponsor such an internal inquiry or to develop a budget that would require internal resource reallocation. Because the client was unprepared to take any intra-institutional risks in search of a solution, no solution applicable to the scale of the problem was found. This consultancy was sponsored by the Museum Assessment Program whose format of "site visit plus report" is particularly unsuitable for proposing major intervention in the on-going operations of an organization. It does not provide the continuing interaction need to build consensus and the commitment necessary to implement large-scale or radical measures. The consultant took the risk of recommending sweeping change in the administrative location of the collection, its housing, staffing, budget, and integration into the teaching and research life of the institution. The client was interested in a "band-aid" solution. Both parties were left unsatisfied.

Planning and Development.

A potentially more rewarding role for an archival consultant lies in planning and project development. The client organization perceives a need for organizational overhaul or for the creation of a new area of activity. Change is the mandated goal. The consultant is engaged to shape this concept into a program and to assist in launching it. The arrangement necessarily involves repeated interactions between client and consultant over a considerable period of time. The pitfalls occur in the project definition and its evolution over time. If the consultant cannot identify the *actual* goals, needs, and expectations of the client, the project may founder. The "wrong" problem may be solved, or the "right" solution may be politically unacceptable to the organization. Ongoing client/professional interactions develop a dynamic and purpose of their own. The consultant must continually assess the status of the project in relation to the goals and objectives and make mid-course corrections. It is particularly important to understand and empathise with the client without adopting the client's perspective. If the client had the knowledge and resources to solve the problem alone, the consultant would not be necessary! During discussions which may extend over months, the consultant identifies hidden agendas and potential opposition to the changes which seem necessary. The consultant recruits key players and attempts to develop consensus while neutralizing opposition. The products of such collaboration have a high probability of success, but the costs of achieving the goals are high, both in time and in human resources.

Even process-oriented planning does not always succeed. The recent experience of the author with a national professional organization is a prime example of process gone awry. A task force met for more than a year defining a project to address the perceived need for gathering and preserving sources about the history of the profession. The task force included the association president and executive director, representatives of the major constituencies within the organization, and a prominent iconoclast within the profession. After several alternative methods of energizing the profession to consider its history were proposed, a symposium was determined to be the most suitable. Practitioners, scholars, institutional representatives, and archivists were to meet over a two-day period to discuss the state of the documentation, the selection of appropriate records, preservation, and access. The consultant wrote a successful grant application and continued to advise the task force on the symposium. Adjustments were made after initial registration proved less than anticipated. When the symposium convened, the "important" participants were either on the dais or in the audience. For two days they grappled with the agenda. The results must be rated a qualified failure. Despite the papers, panel discussions, and informal meetings, the topic proved elusive. Even more obvious was the fact that the audience was much more concerned with another topic — education and professional image. Clearly the vehicle chosen did not meet the real needs of the profession. The task force members were either not well informed about their colleagues' priorities, or were unwilling to be candid with each other and the consultant during the planning phase. As a result of the project and symposium, the archival records of the professional organization were accessioned by a local repository. However, this step could have been achieved at considerably lower investment of resources. The larger issue — development of strategies for appraisal, preservation, and access for a large body of records still in private hands — was completely ignored.

When conditions are right in process consulting, the results can be spectacular. The recent development of a corporate archive for a major business in the Chicago area is an example of a successful consultancy. The initial problem posed to the consultant was set in its institutional context. The consultant had access to data regarding previous attempts to solve the problem. The clients knew how to gain key internal sponsorship. Consensus and commitment were built through meetings and demonstrations of the value of the project at appropriate levels, supported by indications of interest from the president. The project proposal was scaled to the magnitude of the problem and the agreed-upon goals. It was also placed within the framework of the company's traditional evaluative scheme for new programs and thus avoided being viewed as a *rara avis*. The consultant was informed of the potential opposition and given time to respond appropriately to situations requiring alternative plans and compromises. Decisions on staff, facility, and program were systematically reviewed, and when consensus was reached, authorization to proceed was secured in a timely fashion. Thus within two years of the initial consultation a new facility had been designed and built, a staff of professionals hired, and archival records transferred into custody. The program shows every sign of transcending the original objectives as it demonstrates its utility in many phases of company operations ranging from the legal and public relations departments to innovative marketing strategies. This consultation concluded satisfactorily

for both parties primarily because the client was strongly motivated to achieve a solution to a real information need and prepared to accept the associated costs.

Rescue.

In planning and project development the archivist has the pleasant task of creating something new. In contrast, the archivist may be brought in to rescue a stalled or foundering project or program, a situation fraught with difficulty. When the controlling question of a consultancy is, What is *wrong* with this department or project? the answer is likely to cast doubt on someone's judgment or competency. The targeted personnel will naturally be defensive. Communication may become distorted, particularly if the consultant is viewed as a hatchet man. In business this perception may be fully justified, because consultants are frequently engaged to perform organizationally unpleasant tasks. In archival organizations, the concern is usually to salvage something from a program which appears to be endangered. Even if jobs are not threatened, the consultant needs to be sensitive to the human dimensions of this type of intervention and to avoid denominating a scapegoat. While the presenting problem may indeed relate to personnel inadequacies, more likely it relates to inadequate conceptualization of the project at an early stage and insufficient resources.

Archival projects funded by grants are typically developed without a clear understanding of the drain that a project may be on the general operating budget of an organization. Indirect costs allowances in federal grants are an attempt to redress this subtle leakage of financial resources. Too often, however, the indirect costs recovered are unavailable to the archival organization (e.g., archives in academic institutions regularly receive only a fraction of the negotiated indirect costs, the remainder going to university overhead in various forms). Frequently the indirect costs are pledged in part as cost-sharing for the grant, ignoring the reality of the limitations on human productivity represented by pledging twenty to thirty percent of an archivist's time as a project director without a corresponding reduction in regular workload. The classic solution to stalled projects with definite time limits is to throw either money or personnel into the project until the necessary objective is achieved. Within archival institutions, the extra resources usually do not exist.

Other factors besides insufficient resources may hamper a project. There may be serious disagreement internally, opposing factions within an organization competing for power or authority over a particular area. The project may depend on support from other organizational entities which was not obtained in advance and is difficult to secure later. Rosabeth Moss Kanter, in *The Change Masters*, discusses strategies useful in disarming opponents to innovation. The one most appropriate to archivists is "appealing to larger principles," by which the projected change is tied to an unassailable value or person in the organization.[9] Obviously it takes some time to identify the organization's cultural values, but the archivist must make a bridge between professional values and the organization's values if opposition is to be neutralized. Change is threatening, and the threat must either be minimized or placed in a larger context in which contesting parties see a possibility of benefit to their parochial interests.

In rescue operations the archivists needs a version of *triage* — identifying those objectives which are clearly impossible to achieve (despite their priority in the original formulation of the project), those which can be achieved without intervention, and those which require expert assistance. Balancing this assessment against the project's principal goals, the archivist must devise direct, workable action plans. The most important skills in diagnosis are interview and observation. The consultant must determine each key person's view of the problem and its underlying causes. A useful question to ask is, What *other* aspects of the operation are not going well? This may help to pinpoint areas of inadequate resources or non-cooperation. The consultant should observe the operating routines of the project and develop and revise flow-charts intended to establish a critical path for completion of the project within the available time.

The authority of the outside expert and whatever institutional support can be mustered must be brought to bear to make a change *immediately*. Since this contradicts the desirable process of lengthy analysis and pilot solutions, it demands considerable judgment and experience on the part of the archivist. An early success, however small, builds confidence that an entire project can be gotten back on track. Subsequently the consultant may retire to a less visible position to monitor performance in those areas identified as critical and to refine a diagnosis of the underlying problem. The solution will inevitably require skilled negotiation to redefine the project objectives and identify additional resources within the overall organization.

Expectations

What do clients and consultants, entering into a written or implied contract, have a right to expect from each other? The client is purchasing services, and may expect that the consultant has the particular skills advertised, will perform within the specified time period, and will produced the agreed-upon product. The consultant expects that the client will facilitate the work and will pay in a timely fashion. Obviously in the sensitive and extended relationships sketched above, a great deal more is expected of client and consultant. The consultant must have good listening skills and considerable discernment. Consultants need a repertoire of problem-solving skills; they should not replicate a solution which may have only limited applicability. Consultants must be good communicators and persuasive advocates for their solutions. They must be able to make reasonably accurate estimates of time and resources needed to reach objectives, and they themselves must complete work on time. Most importantly, they must be able to assess the limits of their own capabilities and skills and their applicability to the proposed consultancy. No consultant should undertake all proffered consultant assignments, but should instead serve as a referral service to other professionals more suited to the tasks.

Clients have a responsibility to be candid and cooperative in formulating the problem and willing to devote the necessary time to interaction with the consultant. In the case of planning assignments, this can be a major resource allocation for the organization. The client should provide access to relevant information, in files and in the memories of organization members. The clients must be explicit about the organizational limitations which surround the

consultancy and the level of risk which they are willing to assume in achievement of a solution.

The archival profession may expect consultants to adhere to canons of professional practice in their work, thus advancing both the profession and the larger social goals of stewardship of historical documentation that the profession espouses. The rewards of consulting thus embrace client, consultant, and profession. Problems are solved in a timely fashion; individuals have opportunities to grow in their experience and capabilities as archivists; the image of archivists and archives is enhanced. This is a model of a successful transaction — all parties win.

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FOOTNOTES

1. National Historical Publications and Records Commission, "Suggestions for Consultant Grantees" (Washington, n.d., xerox).
2. Josh Martin, "Taking the Risk Out of Choosing and Using Consultants," *Computer Decisions* (April 1981): 59.
3. Jean Pierre Frankenhuis, "How to Get a Good Consultant," *Harvard Business Review* (November/ December 1977); 133, and Arthur N. Turner, "Consulting is More than Giving Advice," *Harvard Business Review* (September/October 1982):120-22.
4. NHPRC, "Suggestions," p. 4.
5. Edgar H. Schein. *Process Consultation: Its Role in Organization Development.* (Reading, MA: Addison-Wesley Publishing Company, 1969).
6. Turner, "Consulting," pp. 120-29.
7. NHPRC, "Suggestions," p. 2.
8. Task Force on Institutional Evaluation, "Evaluation on Archival Institutions: Services, Principles, and Guide to Self Study" (Chicago: Society of American Archivists, 1982).
9. Rosabeth Moss Kanter. *The Change Masters* (New York: Simon & Schuster, 1983), p. 231.

THE DEPOSIT AGREEMENT IN ARCHIVAL COLLECTION DEVELOPMENT

DENNIS F. WALLE

ABSTRACT: The article analyzes the results of research on the usage of deposit agreements and their impact on collection development. It is based on a survey response from 135 archival agencies. It includes examples of institutional experience as well as suggested elements of a deposit agreement. Many archivists and archival repositories use deposit agreements to acquire collections when the owner is reluctant to relinquish title through the standard deed of gift. A survey of selected archival repositories illustrates a diversity of practice regarding the extent of usage and types of arrangements. The arrangements are variously designated as semi-permanent, open-ended, timed, or otherwise modified. To provide guidance to those considering using deposit agreements in their programs, the author discusses fourteen possible elements of a deposit agreement. Depositories contemplating their use are urged to seek legal counsel. The deposit agreement is a viable tool for collection development which archivists should use with caution.

A formal deed of gift transferring full ownership of papers or records is the normal conveyance document used by archivists and manuscript curators. Many archivists and institutions use no other methods of documenting accessions. Although the deed is a versatile document, it does not serve all situations which confront the archivist in acquiring records of active organizations such as churches, unions, businesses, and, to a lesser extent, the papers of individuals. In these cases, deposit agreements have met the needs of donors unwilling or unable to relinquish title to records and an archives desiring to acquire them.

To assess the nature and use of deposit agreements, the author conducted a survey of archival repositories in 1984. For the purpose of the survey, a deposit agreement was defined as "a formal written arrangement whereby an individual or an organization, not institutionally related to the depository, places records in the care of a repository on an on-going basis but retains legal title to the records."[1] The objective of the survey was to gather information on the use, legal aspects, and continuing problems of management and operation of deposit agreements and their impact on collection growth.

Survey questionnaires were sent to two hundred repositories throughout the United States. The repositories were selected on the basis of the possibility that they held records on deposit. This was determined primarily by an assessment

of the nature of their holdings as listed in guides, including the *National Union Catalog of Manuscripts Collections*, or summarized in the National Historical Publications and Records Commission's *Directory of Archives and Manuscripts Repositories*. Emphasis was placed on archival repositories which held the records of organizations since they generally constitute the most readily discernible deposited collections. Institutions contacted included college or university archives, manuscripts repositories, state and local historical societies, state and local archives or libraries, and special collections. A statistical summary of survey respondents is presented as Table 1.

The deposit agreement is used primarily by archivists in the acquisition of records of organizations that are still active.[2] The nature of organizations creates a problem for archivists and for organizations. The archivist is generally conservative and cautious as well as concerned with the preservation of records for future historical research. Organizations are on-going. Their officers

TABLE 1
SURVEY STATISTICAL RESULTS

Survey Contacts	200
Survey Respondents	135
Respondents with Deposit Agreements	72
Respondents without Deposit Agreements	63
Types of Agencies with Deposit Agreements	
College and University Archives and Manuscript Repositories	44
State and Local Historical Societies	9
State and Local Archives or Libraries	9
Special Collections	6
Museums	1
No identification	3
Policy Statement or Form	
Formal Policy Statement	27
Form	43
(NOTE: Forty-seven respondents provided copies of forms or sample agreements; however, several specified that their depositors not be identified.)	
Number of Deposited Collections Held	
10 or less	40
11 to 50	14
50 or more	10
No response	8
Volume of Deposited Collections Held	
100 cubic or linear feet or less	18
100 to 1000 cubic or linear feet	23
1000 or more cubic or linear feet	20
No response	20

have duties and responsibilities which are usually defined in constitutions, by-laws, articles of incorporation, or other documents. Various concerns face officers of organizations as potential donors. They have a dual responsibility to maintain records for their organization for current use and to preserve them for future use. Also important is the question of whether officers possess the authority to dispose of the organization's records. Of course, most organizations do not have a basic document or policy statement that addresses the question of records disposition, which is often a matter of an officer's personal judgment. If the officers are conservative, and they often are, they will not easily relinquish title. The archivist must first resolve the question of who has the authority to transfer custody of an organization's records.

Additionally, many donors are not familiar with archival procedures, and if they are, they may be ill at ease with such processing and appraisal activities as weeding and periodic reappraisal. As prospective donors, officers of active organizations must consider carefully whether records placed in an archives will be preserved in perpetuity or whether they might fall prey to some future reappraisal.

The origin of deposit agreements lies in the necessity to meet specific needs and unique situations. Such agreements take different forms incorporating a variety of elements. The agreements may include letters of deposit, negotiated formal agreements, or other *ad hoc* forms.

The basic points which are necessary to consider in a deed of gift are also found in most deposit agreements. Trudy Peterson outlined the possible elements of the deed in 1979.[3] As a basic contract, they should both identify the donor and the recipient as well as describe the materials conveyed. Salient information concerning copyright, access and restrictions, authority to dispose of unwanted materials, and the question of additional gifts may also found in deposit agreements.

Some archivists are opposed to the use of deposit agreements because of potential problems inherent in the acquisition and the maintenance of materials for which the institution lacks title, but shares responsibility. Moreover, the deposit agreement presents a continual monitoring problem. The legal offices of some institutions prohibit or limit the use of deposit agreements because of their cost and/or other problems. The nature of such agreements, in that they involve the deposit of someone else's property, suggests the potential of loss by the withdrawal of the materials by a dissatisfied depositor. The result, of course, would not be limited to the loss of the records but would also include the loss of staff time and supplies devoted to the arrangement and description of the deposited collection. There is also the possibility of a loss of prestige which can attend the removal of a deposit, especially if the institution had included it in a published guide. Many archivists will use no method other than a deed of gift or a variant such as a letter of transfer or gift. But many others have chosen the deposit agreement option in developing their collection program or as a means of preserving important resources.

Institutional Experience

The survey provided insights into the handling of deposit agreements. While the survey offered useful information, it also revealed an interesting diversity

of approach. Summaries of selected applications of the deposit agreement follow:

The *Cornell University Labor-Management Documentation Center* uses deposit agreements which provide for permanent deposits. They have acquired at least fifteen collections and over three thousand linear feet of union records using this method. Besides agreeing to a permanent deposit, donors permit the scholarly use of the records by researchers including the right to cite and publish. The institution agrees to inform the donor about a pending disposal of any records so that they might be reclaimed. In the event of the removal of most or all of the files, the donor agrees to reimburse the institution for costs it incurred in handling, storing, or microfilming them.[4]

The *University of Georgia* has used deposit agreements to acquire at least seven collections, including both personal and organization records. Their document is called a "loan agreement," which is essentially a timed deposit. It provides for a five year period of deposit. If the depositor fails to claim the records at the termination of the agreement after appropriate notice, they become the property of the institution. The deposit arrangement can be terminated after one year by either party after providing a thirty-day written notice. If a depositor gives notice of an intention to withdraw the records, the university has the right to copy part or all of the collection and make it available to researchers.[5]

Two repositories at the *University of Illinois* have deposit agreements which were developed to meet specific situations. The *University Archives* negotiated an agreement with a major professional organization that was a timed deposit which could be renewed by mutual consent and could be terminated by either party after one year's notice. The agreement contained twenty-five points and included a listing of the types of records to be preserved. Among the most important provisions were that restrictions were to be mutually approved; the depositor would pay the expenses accrued in the arrangement including shipping, processing, and the cost of withdrawal; and the university would develop a plan for the transfer of additional non-current records with research value. Other points concerned amendments and liability for possible loss.[6]

The *Illinois Historical Survey* of the *University of Illinois Library* negotiated a deposit agreement with a midwestern branch of a religious organization which was, in effect, a semi-permanent deposit. The institution agreed specifically to identify storage boxes as the property of the donor; create an inventory; microfilm the records for the depositor and maintain the master negative; and affirm that it would not dispose of the files. Interestingly, the depositor could withdraw the records if the university did not meet the above conditions, but only after notifying the university and allowing six months for correction of the problem. If the problem was not corrected the depositor was required to declare its intention to withdraw at least one month prior to actual withdrawal. In addition, the depositor could withdraw its records after five years, only after reimbursing the university for processing, maintenance, microfilming, and overhead expenses to be negotiated at the time of withdrawal. It should be noted that university officials allowed the library to enter the agreement without a provision that would allow the institution itself to withdraw.[7]

The *University of Alaska, Anchorage* has used deposit agreements to acquire

twelve collections of about 150 cubic feet. The basic document is considered a draft to be used for discussion between depositors and the archives. The draft, used for records of businesses, organizations, and institutions, provides for a semi-permanent deposit of records and allows for periodic additions. The depositor has the right to withdraw the records if the university does not meet its obligations, but only after giving ninety days to correct the problem. After five years, the depositor can withdraw the records for other reasons but must reimburse the university for processing, maintenance, and overhead costs, and must permit the university to copy the records, retain the copies, and allow their use and publication. The amount of reimbursement would be negotiated at the time of intended withdrawal.[8]

Emory University's policy differentiates between permanent and temporary deposits; the former are covered by a provision for eventual transfer of title, while temporary deposits are permitted for records possessing historic or intrinsic value which probably will be donated in the future. The policy provides for the maintenance of a separate record of temporary deposits which is reviewed annually. The donor may remove the temporary materials after both parties document their return. Emory University has negotiated several agreements aimed at the eventual gift of papers to the university. In one, papers were divided into two classes: one to be opened at the death of the donor and the other to be closed until twenty years after the donor's death. The university had the authority to dispose of materials without historic value after giving notice to the donor. The donor released the university from any claim of loss or damage from fire, deterioration, and so forth while in possession of the university.[9]

The *Moorland-Spingarn Research Center* of *Howard University* has used deposit agreements extensively in its program of acquiring both personal papers and organizational records. Deposited holdings include more than fifty collections encompassing more than three thousand linear feet. A four-part deposit agreement is negotiated with organizations desiring to establish an archives in the Center. Written permission of the depositor is required for access by persons other than the depositor or the institution's staff. Single copies of documents are available to those with permission but the Center can copy part or all of the collection for security and preservation. Future additions are governed by the same agreement. Conditions concerning cost-sharing can be negotiated and added to the document. The Center uses a similar document for personal papers. It includes the same clauses on copying, access, and additions; but establishes a minimum term of deposit of no less than ten years. In addition, the depositor agrees to give the title to the institution in a formal deed of gift and to provide for the transfer of the records at the time of death in a will.[10]

The *Presidential Libraries* system utilizes deposit agreements when it is not possible to acquire a collection through a deed of gift. Both parties must agree to provisions on processing, the right of the depositor to examine his or her papers, restriction of access to confidential records, removal of restrictions, disposal of files without permanent value, the depositor's retention of copyright, exoneration of liability for damage due to deterioration or catastrophe, and the right to add papers. A major factor is the requirement that the depositor must enter the arrangement with the specifically stated intent to deed the

papers to the United States in the future. This type of agreement is essentially designed as a temporary arrangement prior to the signing of a formal deed of gift.[11]

The *Clark Historical Library* of *Central Michigan University* has developed both a loan policy and a loan agreement. The Library holds two collections on loan. The Library declines liability for loss or damage beyond its control. The records can be used for research, exhibit, or publication without restriction. Unless otherwise stated, a notice of one year has to be given before a collection may be withdrawn. Deposits of more than one year require the approval of the Library's Governing Board.[12]

The *New England Historic Genealogical Society* has developed a deposit policy which accepts archives of active organizations. The Society agrees to provide an archivally secure environment for the records and encourages the depositors to open at least part of their files for research. However, the Society does not undertake the functions of arranging the papers, providing reference service or determining conditions of access. The depositor also has the right to withdraw the records at its pleasure.[13]

Philip P. Mason of *Wayne State University* has developed an agreement form for acquiring local labor union records. The document contains fifteen clauses: the depositor retains ownership of the records; assumes the cost of transfer of the records to the depository, and from it if the records are removed; and designates a contact person who will answer questions regarding the records and authorize access to them. The institution will create a checklist of the records prior to transfer, estimate the time needed to prepare a guide, process the records and maintain their integrity, create a folder level inventory and a descriptive guide, provide various types of reference service, and assume storage and staff costs. The records are closed until after they are organized and a guide is prepared. When they are ready to be opened, an agreement can be negotiated on a period of closure and restrictions, exclusive of published materials. The agreement can be amended with the approval of both parties. The depositor may withdraw the records after providing reasonable notice. The depositing organization will compensate the institution if the latter did not cause the withdrawal; such compensation would include costs of labor, supplies, and storage.[14]

The foregoing examples indicate that deposit agreements result from variations on a standard deed of gift as well as from institutional idiosyncracies. It is apparent that a number of archives have used a deposit agreement successfully to build their collection. For a few, it is a primary method of acquisition. For others, it constitutes a means to acquire collections which are otherwise unattainable. The deposit agreement concept has been molded by archivists involved in institutional development to fit their perceptions and their desire to obtain certain collections. Since there is no standard format for deposit agreements, the following commentary is presented to summarize elements found in many such documents and suggest other possible elements for those considering their use.

Agreement Elements

Statement of Deposit: This is the essential element. The agreement must state that the depositor is placing the records on deposit in the designated archives.

This statement should identify both parties and indicate that legal title to the records remains with the depositor.

Transfer of Custody: The depositor places the records in the custody of the archives. Both parties agree to the transfer and set the conditions of the deposit.

Nature of the Deposit: Is the deposit to be semi-permanent, open-ended, have a specific time limit, or involve some other arrangement? Deposit arrangements may be classified as 1) semi-permanent: material deposited may be withdrawn only for specific reasons; 2) open-ended: agreement is in force with no time limit and both parties can terminate the agreement; 3) timed: the agreement is in force for a specifically defined period; or 4) variations on the preceding arrangements.[15] Some archival repositories use deposit agreements only as a temporary arrangement prior to the donor's gift of the records, while others negotiate semi-permanent arrangements. In the case of semi-permanent deposits, the depositor may be given one or more options for withdrawal. Open-ended agreements allow either or both parties to terminate.[16] Procedures for termination may include written advance notice, formal requests, and/or mutual agreement. Timed deposits should indicate a specific period of years for the life of the deposit. Usually these can be extended by mutual consent.

Responsibility of the Institutions: Before undertaking the use of a deposit agreement, archivists should be aware that they are making a long-term commitment and investment which may prove expensive. Such terms as "preservation," "organization," or "arrangement" should not be used carelessly. These considerations must be made at the time the procedure is adopted. The deposit agreement should indicate the basic responsibilities of the archives. Usually these include at least security and preservation and may also provide for the organization and description of files. The institution may also promise to provide reference service to the depositor as well as an inventory of the contents of a collection.

Responsibility of the Depositor: The document should identify any rights and duties of the depositor. In addition to the deposit and transfer of custody, the deposit agreement may also provide for periodic additions, a sharing of costs, a sharing of publication or copyright, a prerogative to withdraw the files, or other pertinent provisions. These provisions should be determined by the archival institution prior to beginning an acquisition program utilizing deposit agreements. The depositor should act in good faith and not enter an agreement merely to obtain temporary storage or free processing.

Reason for the Deposit: The document should state why the deposit is being made and why it is accepted, e.g. the records are being deposited and accepted to make them available for research, and/or they are being deposited and accepted in order to provide for their preservation and security.

Access: The agreement should state who can use the records and under what conditions they may be examined. Depositors often desire to have a statement included allowing them access to their records during regular business hours. They also may want the right to copy their records or to borrow specific files. Some agreements specify the right of the institution's staff to have access to the deposited records in the performance of their custodial function, or, in other cases, to use material from the records in exhibits. Since archives exist to preserve documents for scholarly use, the agreement should in some way present this concept, such as including a statement that the records are being acquired in order to make them available for research. Some depositors, however, have

requested that they be informed as to who is using their records, while others are satisified if access is carefully monitored by the archives staff. In a few cases, a special access form is used or a written request for access required. The archivist, who has a professional responsibility to make records available to researchers, should strive for the greatest possible degree of accessibility acceptable by the depositor.

Restrictions: Reasonable restrictions on access desired by depositors should be accepted.[17] If confidential records are included in a deposit, the archivist ethically is bound to limit access. This is also true of personal papers which might be closed for an extensive period of time. The matter of reproducing and publishing from the records is very important to researchers, and therefore, for the repository. If there is a special procedure established for obtaining permission to quote or publish, it should be made clear in the agreement.

Withdrawal: Repository policy must establish the parameters of an acceptable deposit. The nature of deposits of personal papers or organizational records suggests their transitory or temporary status. An institutional investment both in processing and applying basic conservation measures should not be taken lightly. Deposits with time limits and those which allow either or both parties to end the agreement are precarious. A few institutions protect themselves by requiring the depositor to bear all or part of the costs of the transfer, processing, and preservation. Some use an agreement which requires the depositor eventually to deed the records to the institution. Others use agreements which allow the institution to copy the collection after receiving notice of an impending withdrawal. A deposit agreement should identify a process or procedure for withdrawal by the depositor; but, if possible, its cause should be restricted to a possible breach of the agreement by the institution. This might involve, for example, a failure to maintain confidentiality, damage or loss through improper handling, or a violation of a specific condition. One procedure requires the depositor to inform the archives of a problem and then allow it a span of time to correct the error; failure to do so may then result in withdrawal. Finally, timed deposit agreements should specify a means to extend the agreement after its expiration.

Duplicated and Undesired Records: An archival repository should consider including a clause providing for either the return to the depositor or destruction of duplicated or unwanted records.

Amendments or Modifications: Developments may occur over a period of time which necessitate a modification in the deposit agreement. This is one reason why some documents are timed deposits. Repositories should consider including a clause in their agreement which would provide for amendment or modification of the agreement.

Costs: Since a deposit requires a commitment by the institution of staff time, space, supplies, and services, it is not at all unreasonable that some archives seek a full or partial, direct or indirect, monetary commitment from a depositor.[18] The problem of a potential withdrawal should be faced since such a loss could have a very negative impact on the archives. Cost factors to be considered in an agreement may include any or all of the following: shipping the records; salary of processing staff; archival and conservation supplies; shelving costs; inventory preparations; microfilming; storage for the entire period of the deposit; duplicating the collection if withdrawn; and the costs of return of the collection.

Legal Scrutiny: Ideally, all deposit agreements should be examined by legal counsel for both parties as a necessary and mutually protective procedure.[19] The management of deposited collections places an added burden on an archives. The staff must handle matters concerning restrictions on access to collections that it does not own. Mistakes in this area can result not only in a potential legal problem, but also in the loss of the collection itself. A deposit agreement is considered to be a contract governing the deposit and the maintenance of the records. In a few instances, repositories have developed policy statements outlining the parameters of an acceptable deposit agreement which may eliminate the necessity for a legal counsel to scrutinize every agreement. More useful, however, is the development of a draft deposit agreement containing all of the elements noted above, including an enumeration of the rights and duties of each party. From this draft, the archivist can negotiate with a degree of freedom with a prospective depositor without being constricted by a prepared form. Such a procedure is also less imposing to some depositors.

Signatures: Deposit agreements should be signed by representatives of both parties. The only exceptions to this are those few deposits which are documented in a letter of transfer. For the institution, the person or persons designated to accept or approve the deposit should sign; this may include the archivist. If the deposit is one of personal papers only the owner or owners need sign. For deposits of organizational records, however, the number of signatories is best determined by the organization. A witness is not always necessary, but it is desired by some archival institutions and depositors.

Conclusion

The research on deposit agreements summarized in this article has provided a perspective on the variety of their use in many types of archival repositories. There is a significant diversity in the degree to which archivists use them in developing their collections. Deposited holdings range from one or two collections to over fifty and from under ten cubic or linear feet to several thousand. The examples of deposit documents provided by the repositories were of great value to the study. It is clear that many essential elements used in preparing a deed of gift are also employed in the compilation of a deposit agreement. Nonetheless, there are many differences in application among different institutions.

The use of deposit agreements must be approached with caution. Pitfalls exist which have a potentially negative impact on a program including loss of a collection, a waste of time and effort, and the potential loss of prestige. These possibilities in part explain the limited use of the deposit agreement and opposition to using it.

The archivist considering the use of deposit agreements is well advised to examine current usage and to exercise care in the drafting of an agreement. In addition, it is advisable that the decision should involve input or approval at a higher policy-making level or, at least, by the repository's legal counsel. The elements suggested for possible inclusion in a deposit agreement should be weighed with respect to the needs of both the archives and the depositor. They are condensed from the documents submitted by various repositories with an emphasis placed on those repositories which concentrate on acquiring institutional and organizational records.

When used discreetly, deposit agreements have proven to be a successful acquisitions tool and of value in the preservation of institutional, organizational and personal records that otherwise would not be open for research or might ultimately be lost. Their success is a result of a commitment by archivists to archival principles and practices and to a desire to preserve and provide material for researchers. The deposit agreement constitutes a viable alternative to the deed of gift in archival collection development.

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FOOTNOTES

1. Survey cover letter mailed in Summer, 1984.
2. The nature of the holdings of repositories responding to the survey differed. Repositories were asked whether their deposited collections included the records of unions, churches, social/cultural organizations, political organizations, or family or personal (individual) papers. A large number were unable to provide this data. Institutions that could provide this data either had very few deposited collections or had a thematic collecting focus, i.e., held records of businesses, churches, unions, social/cultural or political organizations. The few with a thematic focus generally had over fifty collections on deposit. While the bulk of deposited materials were organization records, many repositories held a number of collections of personal papers on deposit.
3. Peterson, Trudy Huskamp, "The Gift and the Deed," *American Archivist*, 42 (Jan., 1979): 61-66. The author also refers to the common use of deposit agreements in the context utilized by Presidential Libraries, i.e., a temporary arrangement in contemplation of acquiring permanent title through the vehicle of a deed of gift.
4. Strassberg, Richard, Labor Management Documentation Center, Cornell University; n.d. The Center also provided two sample forms and documents: "Restrictions on the Use of Collections Donated to the Labor Management Documentation Center;" and "Memorandum of Agreement — Permanent Deposit."
5. Gulley, James Larry, Special Collections Division, University of Georgia Libraries; n.d. A sample "Loan Agreement" with a sample "Addendum" was provided.
6. Brichford, Maynard, University of Illinois Archives; n.d. The University Archives provided a copy of the agreement discussed in the paragraph.
7. Hoffmann, John, Illinois Historical Survey Library, University of Illinois at Urbana-Champaign; September 20, 1984. The Survey provided copies of two deposit agreements, including the one discussed here.
8. Walle, Dennis F., Archives and Manuscripts Department, University of Alaska, Anchorage. This information is based on "Deposit Agreement for Business, Organization, or Institution."
9. Matthews, Linda M., Robert W. Woodruff Library, Special Collections, Emory University; August 15, 1984. The Library provided two documents: "Agreement Regarding Historical Materials," and "Policy on Temporary Deposits."
10. Muse, Clifford L., Jr., Moorland-Spingarn Research Center. Howard University; n.d. The Center enclosed three sample documents: "Agreement Establishing Organizational Archives;" "Agreement of Deposit;" and "Deed of Gift."
11. Teichman, Raymond, Franklin D. Roosevelt Library; May 30, 1984. The procedures are outlined in the General Services Administration handbook, NAR P 1856.1 CHGE9 of December 22, 1978. The Library provided pages 3-16 of that document; excerpts from the GSA handbook, *Presidential Libraries*, and sample deeds from 1968, 1975, and 1984. Tissing, Robert W., Jr., Lyndon Baines Johnson Library; July 6, 1984. The Library also

provided a secton of the "Draft Revisions of the Presidential Libraries Handbook" concerning deposit agreements.

12. Miles, William, Clarke Historical Library, Central Michigan University; May 30, 1984. The Library provided two forms entitled "Policy Regarding Loans," and "Loan Agreement."
13. Shipton, Nathaniel W., New England Historic Genealogical Society; n.d. The Society provided a copy of its "Deposit Policy."
14. This paragraph is based on "The Model Deposit Agreement" presented by Philip P. Mason at a session of the Society of American Archivists annual meeting in Washington, D.C., 1984.
15. Over forty percent of those responding to the survey had semi-permanent arrangements and an equal number had open-ended agreements. Four percent used timed deposits, and the remainder used other arrangements. Eight percent characterized their agreements as "permanent." Approximately twenty percent noted that they utilized different types of agreements depending on the situation.
16. About one quarter of the institutions with deposit agreements allow donor termination, slightly over one quarter allow either party to terminate, and approximately fifteen percent require mutual agreement. A few permit the archives to end the agreement unilaterally. Unfortunately, more than twenty-five percent did not respond to this question. Almost one quarter have had a deposit withdrawn. In some instances, no reason was given; others cited reasons such as family problems, a need for a better location, or dissatisfaction with the agreement.
17. Eighty-three percent permitted restrictions on access to deposited records. Restricted records were variously described as confidential, private, personal, secure, and sensitive. Among the restrictions were time closures ranging from ten to fifty years to all or part of the records; donor-approved access; donor approval of copying and publication; and in some cases, approval of the archivist for copying, access, or publication. Approximately one quarter of the respondents required donor approval for access, but less than ten percent had developed an access form. Almost sixty-five percent accepted confidential records including contemporary, personal, and sensitive files; legal files; contracts; and membership files.
18. One quarter of responding archives seek financial assistance from potential depositors. Most informally solicit such aid, while a very few incorporate provisions for it in the deposit document. In only one case did the agreement cover one hundred percent of the costs involved in acquiring, preserving, and servicing deposited collections; in others, it covered conservation, inventorying and/or processing.
19. More than half of the respondents had the agreement for each deposited collection approved by an attorney; almost one-third did not; the remainder did not respond. Only one institution had become involved in an adversary legal action with a depositor.

PROCESSING EXTREMELY LARGE COLLECTIONS OF HISTORICAL PHOTOGRAPHS

THOMAS D. NORRIS

ABSTRACT: The photo-archivist frequently encounters large collections to which traditional item-oriented processing techniques are poorly suited. The author draws on his experience with projects at the Sacramento History Center (1,000,000 negatives from a newspaper photo morgue) and at the California State Railroad Museum (100,000 photographic images, mostly prints) to discuss an overall approach to the appraisal and weeding, arrangement and description, and conservation of large photo collections. He discusses appropriate division and specialization of labor on such projects and argues that "something is better than nothing" in improving access.

Photo-archivists are currently encountering a situation analogous to the one earlier in this century when archivists and manuscript curators, armed with techniques suited for small collections of rare personal papers, confronted the enormity of modern records. The evolution of photography from an arcane and highly technical craft practiced by a few professionals to a popular pastime of millions and a standard tool for documenting news, science, and business has resulted in voluminous collections that render traditional graphic cataloging techniques inadequate if not obsolete. The consequent lack of accessibility often transforms what should be valuable research resources into veritable "white elephants."

During 1982, two historical agencies in Sacramento, California, received custody of extremely large collections of historical photographs. The Sacramento History Center accessioned the photo morgue of the Sacramento *Bee* newspaper — a group of over one million negatives. The California State Railroad Museum acquired, as a loan in perpetuity, a collection from the Railway and Locomotive Historical Society, which contains approximately 100,000 photographic images, mostly prints. Neither institution has a large curatorial staff, and, although in both situations the donors provided grants to hire part-time processors, the magnitude of the collections necessitated deviations from standard methods for processing photo accessions. As a participant in both projects, the author experienced some of the problems typical in such collections.

Conventional processing techniques for pictorial collections presuppose that photographs must be treated individually — much as librarians catalog books.

From the 1950s when Camilla P. Luecke stated that "each photograph must be considered singly," to the 1970s when Kenneth Duckett wrote that "arrangement by provenance only creates unnecessary work," archivists have usually accepted the idea that regular archival methods are not generally applicable to photographs.[1] However, the fact that a part-time cataloger using *Anglo-American Cataloging Rules* (2nd edition) needed nine months to catalog 1100 images demonstrates that individual cataloging is not appropriate for collections of modern size.[2] Even an efficient self-indexing system such as the one devised by Paul Vanderbilt requires that each image be separately classified and filed, thus limiting that system's effectiveness to about 10,000 photographs per accession.[3]

Because of these limitations, photo-archivists have recently begun using principles and methods designed for textual records in processing their more sizable acquisitions. To be sure, some are moving reluctantly. In 1972, Renata V. Shaw asserted, "When neither self-indexing files are suitable nor individual cataloging needed, pictures and photographs can be cataloged in groups," implying that this is a last resort.[4] Now, however, the last has become first. For instance, the new basic manual on administering photographic collections from the Society of American Archivists emphasizes the treatment of photographs as groups of records.[5] This shift eliminates neither individual cataloging nor self-indexing files; it merely places the question of arranging and describing historical photographs in a proper perspective. Archivists should address the processing of photographs as they would any other accession: evaluating strengths and weaknesses, determining the requirements of the material, and developing an approach that accounts for all possible techniques. The larger the collection, the greater is the need for careful planning and reliance on standard archives and manuscript practices.

The first steps in this process are an appraisal of the collection and the establishment of guidelines for weeding. Are there any groups of photographs that may be excluded prior to full-scale processing, for example, files of unidentified mug shots? If so, and if they can simply be lifted together from the remainder of the images, one may save considerable time and resources. Just as important is the development of criteria to permit quick weeding during processing — guidelines that will allow for effective, efficient elimination without excessive agonizing over single images. A newspaper photo morgue may have a substantial number of "Dog of the Week" pictures, an attention getter for canine-loving subscribers, but hardly an important historical record. These images can probably be discarded with little or no individual consideration. Another possibility may be the elimination of multiple images beyond a certain number, or perhaps even the deletion — in some subject classes — of all but one or two shots in a series taken of the same subject at the same time. How many versions of a portrait or a standard publicity group picture are necessary, regardless of the different angles from which they are taken.?[6] The archivist must carefully consider standards for weeding, taking into account evidentiary and exhibitionary values and keeping in mind the goals and policies of the repository. Also, the processor should save any image that does not fall positively into one of the disposable categories. With careful forethought, the bulk of a photographic collection can usually be reduced by some significant fraction — as if it were an accession of written records.

During the appraisal period, the archivist should identify any characteristics of the collection that may govern or aid in the arrangement and description. Many extremely large collections of photographs will already have an order. A newspaper photo morgue, the portfolio of a commercial studio, or the pictorial records of a business, professional, or government organization will usually have an existing filing system. If so, the principles of provenance and original order may be useful as bases for access.

The majority of the million-plus negatives from the Sacramento *Bee* morgue arrived at the Sacramento History Center in one accession arranged first by photographer and then chronologically. Each of two later accessions from the *Bee* came in subject order. The archivist decided that the original filing order in each of the accessions would be maintained; consequently, rearrangement in the larger collection was a mere matter of correcting obvious filing errors. The two smaller collections received minor changes in subject headings to provide more consistent filing, but, once again, most of the rearrangement consisted of rectifying misfilings.

Even a large artificial collection, such as the one owned by the Railway and Locomotive Historical Society, will often possess a usable system still intact. This collection came to the California State Railroad Museum in some disorder, but with a majority of its nearly 100,000 images (mostly prints of locomotives) roughly arranged by railroad company in several files, separated according to photograph size. Some of the photographs were also in order by locomotive number. The decision to adopt this scheme — only interfiling the different size prints (those within the 3x5 to 8x10 range) and loose images — was the obvious course, considering the project's one-year limit.

At both the Sacramento History Center and the California State Railroad Museum, the maintenance of provenance and the adherence to original order permitted the establishment of self-indexing files for these collections with minimum effort. Patrons at the History Center may easily peruse a typed list of subject headings from the *Bee* photo files; at the Railroad Museum, the locomotive images of the Railway and Locomotive Historical Society may be quickly searched for particular engines by ownership and engine number — the customary access points used by researchers in this field.

The other more voluminous group of photographs from the *Bee* morgue, organized by photographer and then chronologically, also offers a certain amount of access based upon arrangement. Because the Sacramento *Bee* is indexed for many of the years covered by the morgue photos, researchers can gain access by finding illustrated articles related to a subject and then searching the morgue for the time indicated by the date of the article. Moreover, some photos published by the *Bee* have a credit line for the photographer, which makes the search somewhat simpler. Even if there is no illustrated article in the *Bee* for a particular event in Sacramento regional history, it is still possible to search the files on that date for related photographs, because photojournalists capture many images that never appear in print. The only finding aid prepared for this portion of the *Bee* collection was a list of photographers and the years that they worked for the newspaper. The limited access provided by this arrangement is better than none at all, which is precisely what would have been available otherwise.

Applying the principle of provenance to photo collections permits group description, either through traditional inventory series description or by using a cataloging technique. The Church of Jesus Christ of Latter-Day Saints in Salt Lake City has used provenance in its picture holdings for years; the individual collection is the fundamental level of description for photographs at this institution.[7] Mildred Simpson, the librarian for the Atlantic Richfield Company (ARCO) photograph collection, has described a system applying a computer data base program in conjunction with the principle of provenance, a method that seems particularly appropriate because corporate photographs are likely to be taken in groups for specific purposes.[8]

The Sacramento History Center routinely uses group description for large accessions unless a collection is too heterogeneous for the scheme to be effective. For example, recently the Center processed the Benning Collection, a portfolio of nearly 20,000 negatives made by a local commercial photographer. The collection consisted largely of shots of school groups with the addition of one major series of images related to the photographer's property near Lake Tahoe. Volunteers arranged the images by school and then chronologically, with a separate series for the Lake Tahoe photos, reestablishing an order partially lost over the years. The plan now calls for description almost entirely by series.[9]

Outsized collections of photographs dictate a special consideration of conservation. The number of images may prohibit treatment in depth for any but a few of the items. Indeed, there may be so many images that all but the most basic cleaning or even individual sleeving may be impossible. Such was the case at the Sacramento History Center during the processing of the *Bee* photo morgue. Workers simply dusted negatives with Static Master Brushes and then stored them five to a sleeve, fronts to backs.[10] Because photographs require special environmental controls, the archivist must anticipate the need for an adequate storage area when accepting extremely large collections. Merely securing a sufficient number of containers may be a formidable and expensive task. Furthermore, this problem will be aggravated should an accession contain nitrate-based or glass negatives."

After the processing needs of the large photo collection have been identified and plans for arrangement, description, and conservation drawn, the archivist should give additional thought to their efficient execution. One way of achieving this end is to divide and specialize labor. A basic principle of industrial management, this method functions on the premise that motion and time are saved when one person performs one action. Applications of this principle include assigning one person to weed the collection, another to clean and sleeve images while transferring any information from the old container, and another to file the images in proper order. As the work progresses, another person can begin surveying the results and preparing finding aids. Other applications may also be possible.

Another benefit of the division of labor is that the skill level required to perform the work drops together with the pay scale for the workers. Cleaning, sorting, and filing call for little training or initiative, although they do demand a high degree of meticulousness. Weeding and description will require more proficiency. Nevertheless, if the archivist prepares detailed and standardized procedures, supervises their implementation, and performs regular quality control checks, even these jobs may be performed by non-professionals or

trainees: clerks, interns, and docents. This method of project staffing can certainly reduce costs.

Dividing labor has at least one major drawback, that is, its potential for boredom. Some possible remedies include providing pleasant work surroundings, regular and generous breaks, and occasional changes in routine. If full-time employees are performing the work, the archivist may want to restrict the repetitive activity to only a segment of the workday.

Despite the need to deal with extremely large photographic collections on a unit basis, the archivist may make exceptions. Collections will almost always contain images important enough to warrant individual attention, and a good processing plan will allow for these exceptions. Flexibility is a major criterion for handling large photo collections. It is the rigidity of traditional methods of dealing with historical photographs — the inability of those techniques to bend to the demands of size — that makes them inappropriate for the large collection. More than individual pictures or smaller accessions, large collections require special planning.

The final point to remember about the extra-large collection of historical photographs is that "something is better than nothing." Any accession of a hundred thousand images or more is unlikely ever to be entirely accessible, but less than satisfactory access is far more desirable than none at all. Also, the work that is done to make such collections partially accessible can serve as the foundation for future refinements should resources become available. In any case, the extremely large photographic collection need not be a "white elephant." With proper planning and efficient execution, it can be a valuable historical resource.

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FOOTNOTES

1. Camilla P. Luecke, "Photographic Library Procedures," *Special Libraries* 57 (December 1956): 457; Kenneth W. Duckett, *Modern Manuscripts: A Practical Manual for Their Management, Care, and Use* (Nashville, TN: American Association for State and Local History, 1975), p. 197. Although most authorities have mentioned the use of provenance and group cataloging as possibilities for processing photo collections, few have discussed them in any great depth. One exception is T.R. Schellenberg, *The Management of Archives* (New York: Columbia University Press, 1965), pp. 322-343.
2. Marilyn I. Levinson and Martha Lause, "Cataloging of Historical Photographs in Small to Medium-Sized Archival Operations," *Midwestern Archivist* 8 (May 1983): 25.
3. Paul Vanderbilt, "Filing Your Photographs: Some Basic Procedures, *History News* 21 (June 1966), AASLH Technical Leaflet No. 36.
4. Renata V. Shaw, "Picture Organization: Practices and Procedures, Part 2," *Special Libraries* 63 (November 1972): 505.

5. Margory S. Long, Gerald J. Munoff, and Mary Lynn Ritzenthaler, *Archives & Manuscripts: Administration of Photographic Collections* (Chicago, IL: Society of American Archivists, 1984).
6. Some caution is necessary here. The evidentiary values of many subjects — buildings or machinery among others — may be enhanced by multiple shots from different angles. For a full discussion of the various factors involved in appraising photo collections, see Long, Munoff, and Ritzenthaler, *Administration of Photographic Collections*, pp. 55-61.
7. Max J. Evans, "Handling Photographs in the LDS Church Archives," *American Archivist* 40 (April 1977): 173-177.
8. Mildred Simpson, "Photographs in a Business Setting: Atlantic Richfield Comppany," *American Archivist* 45 (Summer 1982): 315-319.
9. Susan Searcy, telephone call, October 9, 1984.
10. Even this meager amount of conservation took a year for three part-time workers. The brushes are manufactured by the Nuclear Products Company. Each contains a minute amount of radioactive material — not large enough to be hazardous — that generates a positive charge. The brush transfers the charge to the photographic negative, causing it to repel dust until the charge wears off.
11. Collections of metal images, such as daguerrotypes and ambrotypes, or of wet plate collodion negatives will usually be small enough to merit item level treatment.

BOOK REVIEWS

Native American Archives: An Introduction. By John A. Fleckner. Chicago: Society of American Archivists, 1984. 70 pp. Appendixes. Paper. $5.00 members; $7.00 others.

From 1982 to 1984, seven institutions with major funding from the National Endowment for the Humanities cooperatively administered a Native American Archives Project. Major products of the Project included a series of eight conferences on Native American archives held at different locations throughout the country, two slide-tape programs, and the publication *Native American Archives: An Introduction.*

Like the project itself, this publication is not designed to provide readers with in-depth knowledge of archival techniques; it is not a training manual on how to be an archivist. Rather, it is first and foremost a book about archives — how they are established, how they operate, and how they benefit the tribe.

Native American Archives is divided into six chapters and three appendices.

Chapter 1, appropriately entitled "What is a Tribal Archives?" attempts to identify and define basic characteristics and functions of a tribal archives. Fleckner is particularly effective in describing, often through the use of specific examples, how an archives can serve as an administrative and cultural resource for the tribal community.

Chapter 2 examines some of the basic issues involved in creating and operating an archival program. Among the topics discussed are the means of establishing the archives on a firm foundation, access to records, preservation of documentation, security measures, and arrangement and description of records. Again, it must be emphasized that the discussion of these issues is general in nature and is designed primarily to outline basic considerations or concerns. For more detailed information one must seek out other sources.

In the third chapter the principles of records management are outlined, and the value of basic types of records generated by tribal governments are briefly discussed. To illustrate these points, Fleckner makes effective use of three case studies, which examine the major features of records management programs created by the Navajo, Yakima, and Southern Ute Tribes.

Chapter 4 discusses the activities involved in searching for and collecting pertinent documentation created by individuals or groups outside and apart from the tribal government. In what the reviewer regards as the single best chapter of the publication, Fleckner identifies a variety of potential sources of records and describes the elements of a successful search strategy.

Chapter 5 focuses on photographs and sound recordings, records which traditionally are prominent within tribal archives. Topics briefly examined in the chapter include research value, collection development, arrangement and description, care and preservation, and oral history projects.

In the final chapter Fleckner identifies and describes seven essential steps in building an archives. Although primarily a summary of information presented earlier, this chapter is very helpful in focusing attention on those activities most critical in establishing and administering an archival program.

The role of the three appendices is to alert readers to major sources of additional information or assistance. They consist of a bibliography of published sources on archives and Native American history, a listing of organizations which offer services, and samples of forms used in archival programs.

Native American Archives: An Introduction fulfills all the functions of a good, introductory archival manual. It establishes basic definitions, identifies the major issues, briefly describes techniques and strategies, and provides sources for additional assistance. It is highly recommended to anyone seeking an introduction to Native American archives.

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A Modern Archives Reader: Basic Readings on Archival Theory and Practice. Edited by Maygene F. Daniels and Timothy Walch. Washington, D.C.; National Archives Trust Fund Board, 1984. 360 pp. Glossary, suggestions for further reading, and index. Paper. $10.00 SAA members, $12.00 others.

To commemorate its fiftieth anniversary and the thirty-ninth anniversary of its Modern Archives Institute, the National Archives has published a *Reader* for students of archival administration. It brings together twenty-nine selected contributions on aspects of American archival theory and practice. Two-thirds of them were published in the last decade; two-thirds were written by federal archivists and half originally appeared in *The American Archivist.* An attractive publication, the *Reader* includes eleven well-written introductory statements and articles which, if not "classics", are often "landmarks" of recent archival writings. They cover the European tradition, pre-archival functions, records appraisal, archival acquisition, arrangement, description, reference, public programs and establishing priorities. Intended for students at the Modern Archives Institute and as a supplement to the Society of American Archivists' "Basic Manual Series" and the books by Theodore R. Schellenberg, this volume is an example of the contributions of the federal archival program to American archival literature.

While not every area of archival responsibility can be included in such a volume, three omissions illustrate this limitation. The absence of "preservation" as a technical subject may account for the lack of a section on the physical protection of archives. This area is of primary importance in practical archival administration. A selection from Victor Gondos' *Reader* on archival buildings (1970), a recent essay on conservation and some references to Frank Evans' bibliography (1975) would have introduced the reader to the topic. The inclu-

sion of Ernst Posner's masterful 1940 article on archival development acknowledges that the roots of the American archival profession lie in Europe, but the present *Reader* passes over the work of J. Franklin Jameson, Arnold J.F. Van Laer, Victor H. Paltsits, Waldo G. Leland and Margaret C. Norton in bringing European concepts to American archivists. By including the Posner article, earlier contributions to American archival development have been overlooked. There is an element of occlusion in this volume as the topic of archival education itself is omitted. The ascending rhetoric obstructs the reader's appreciation of the impact of the National Archives on professional education. There is no "common formation" of American archivists, but publications of the national archival establishment have been a significant factor in shaping archival education. This influence is particularly evident in substantial modifications made in European practices by American archivists in the course of their work with the masses of modern records. From the *Staff Circulars* and *Information Papers, Preliminary Inventories, Bulletins, Records Management Handbooks*, staff editorship of *The American Archivist* and *Prologue* to the present volume, the National Archives has taken an active interest in the publication and dissemination of archival literature. The existence of the Modern Archives Institute is further evidence that the National Archives considers archival education to be an important concept in archival administration.

No single volume will include everything that should be studied. We should judge the *Reader* as a "door" to further reading. Its contents should attract and interest both students and practicing archivists. On this basis, it is a success.

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Information Design: The Design and Evaluation of Signs and Printed Material. Edited by Ronald Easterby and Harm Zwaga. Chichester, UK: John Wiley and Sons, 1984. 588 pp. Index, bibliographies. Cloth. $90.00.

An international group of psychologists, engineers, and graphic designers convened in the Netherlands in 1978 to apply research on perception and learning to the practical problems of designing printed information. *Information Design* is a compilation of research reports, essays, and guidelines that help us see more clearly how the form and structure of the printed word play as big a part in communication as the words themselves. Indeed, the messages words convey are inextricably tied to their presentation.

Thirty seven contributors look at ways to think about information displays, methods of evaluating them, and the application of theory and evaluation to specific areas. "Information displays" are words and symbols that carry a message, while taking such diverse forms as traffic sign systems, technical manuals, questionnaires and government forms for every conceivable purpose.

At first glance, archivists may not be attracted to this volume. "Archivist" does not appear in the index, and some selections are peppered with the jargon of unfamiliar disciplines. Those who even casually reflect on the frequent

unconscious design decisions inherent in the presentation of archival work to the public will be rewarded with fresh insight and useful guidance.

Signs that aid researchers, museum-goers, and other visitors, the first important impression that patrons receive, can be thrown together in an ad hoc manner or can form a meaningful system. While we often feel beleaguered by proliferating forms, guidelines, and manuals, the source of frustration can often be traced to their design. The whole system of archival finding aids — registers, inventories, guides, indexes — our vital link with users, are not always designed with efficient use in mind.

The complexities of evaluating and presenting information visually — integrating form, purpose, and content — are the central concerns of *Information Design*, itself a beautiful example of the graphic designer's craft. Twenty nine articles are grouped into six parts. The selections on traffic sign systems will probably have little direct application to daily archival work, even if they make for fascinating reading. For archivists the strongest contributions are those that look at the design of instructional materials, manuals, and forms. A few examples will have to suffice.

British psychologist James Hartley demonstrates the value of space between words, paragraphs, and information elements to guide and improve comprehension. Ohio University psychologist George Klare shoots holes in the "readability formula" literature and calls for a clearer understanding of just what comprehension is. West German engineer Eckhard Bohr, in detailing the proper design of nuclear power plant operating manuals, gives a very useful checklist that can be adapted to almost all printed materials.

British graphic designer Linda Reynolds emphasizes that sloppy presentation may unjustly imply inaccuracy in the content of information. British psychologist Patricia Wright, in perhaps the most brilliant contribution from an archival perspective, proposes a very useful design framework by applying the core concepts of cognitive psychology (perception, memory, language) to the structure of printed materials.

For archivists the net effect is the realization that graphic design is not simply a peripheral element that makes printed materials and signs look "sharp." It is a central part of effective communication. What messages we choose to present to the public may be open to debate; but by giving short shrift to information design, we risk muting the message itself. *Information Design*, complete with excellent bibliographies, is a good place to start exploring the discipline.

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Conflict and Change in Library Organizations: People, Power and Service. By Ken Jones. London: Clive Bingley Limited, 1984. 274 pp. Cloth. $19.00 from The Shoe String Press, Inc.

To this point, archives and archivists have not attracted nor been able to support adequate research on the nature of archives as organizations or on their

administration or management. There are some promising recent developments, including among others, study under the Mellon Fellowship program at the Bentley Historical Library; work on terminology, measurement, and reporting standards by the National Association of Government Archivists and Records Administrators; and efforts to gather data by the SAA Task Force on Institutional Evaluation. However, we must rely on the literature in other fields for much of what we need to know. This situation is not without some benefit as it can help us overcome a sense of isolation by showing that others share similar problems. Publications on library administration offer promise, both because many archival and manuscript repositories are within libraries and because of similarities in function and purpose. *Conflict and Change in Library Organizations* is one such useful resource from an allied profession. This particular book can also broaden our vision in other ways. Written by a senior tutor in librarianship at a British university, it reminds us that archivists in the United States have much to learn from colleagues in other countries.

The volume examines library organization and service in light of various organizational theories. It is essentially a book-length bibliographical essay, and therein lies its strength and its weakness. Ken Jones treats questions of the library as both a bureaucracy and a system, of human resources, and of organizational change. He considers theories from sociology, social psychology, and political science. He demonstrates a mastery of the recent works from both sides of the Atlantic about change in business organizations as well as research studies on library administration. Jones has a healthy skepticism about the application of any single theory; his own approach is decidedly pragmatic with due consideration for the people who will at once carry out and be affected by any organizational change.

Despite its value, this book is not an easy one to read. The treatment of each of the various topics and numerous research studies is brief — though not superficial — as Jones is clearly in command of his subject. The author's own writing is mercifully free of jargon. However, he must use others' terminology in analyzing organizational theories and management studies. For the reader unfamiliar, or even only vaguely familiar, with many of these terms, the full import of the discussion is often lost. This book would best be used as a guide to the publications which it surveys. Pick out a topic and heed Jones's pithy comments in your further reading. If you would like to understand the working of your institution, you might do well to begin here.

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Museum Public Relations. By G. Donald Adams. Nashville, Tennessee: American Association for State & Local History, 1983. 188 pp. Appendix. Notes. Sources for Further Information. Paper. $13.25 members, $14.75 non-members.

Archivists wishing to read something in the field of outreach face a difficult task. Beyond a few articles, and SAA manuals dealing tangentially with the

subject, there is nothing. It is necessary to glean from the fields of allied professions, but seldom do we find exactly what we need. *Museum Public Relations* is a perfect example of the limitations of these forays into non-archival professional literature.

The book is divided into nine chapters, dealing respectively with planning an overall program, research and planning techniques, potential publics, fund raising, working with the media, promotional campaigns, the daily operation of a public relations program, and troubleshooting.

Museum Public Relations does get us off to a good start. Adams makes the important point that actions produce attitudes which affect us in our professional work. He emphasizes the importance of knowing our constituencies, ascertaining their needs, and translating this knowledge into action. The strength of the book lies in the specific ideas it has to offer archivists interested in becoming more actively involved in outreach. The first two chapters will serve as a good planning guide, and if you don't know about a "publics audit," a "message base," or a "media list," take a look — this book will be very helpful. There are also useful suggestions about organizing a speakers bureau, and some good introductory tips about working with the news media (although the media portion is substantially the same as Adams' 1980 AASLH Technical Leaflet entitled *Working Effectively with the Press: A Guide for Historical Societies*). Chapter 8, dealing with promotional campaigns, provides a planning framework and some valuable specific recommendations.

But for those who have done *anything* in public relations, much of the remaining text is elementary. Sections dealing with audiovisuals, printing, editing, and newswriting introduce the basic terminology and concepts, but beyond that they have little to offer. For these latter three, better to spend an afternoon with the editor of your local newspaper.

Several of the appendixes also are useful. There are good models for visitor information sheets, questionnaires and institutional fact sheets. "Sources for Further Information" contains an extensive list of directories, professional associations and reference works (although one curious omission is the Association for Volunteer Administration, P.O. Box 4584, Boulder, Colorado 80306).

Despite Adams' assertion that his is "a basic reference for any type of public relations activity," and that the "concepts, procedures and policy recommendations apply equally to . . . [other organizations including] . . . archives," the perspective is much different. Museums have their peculiar orientation. Witness the admonition on page 55: "Every effort should be made to avoid waiting lines at the entrance." This is not an isolated example.

Adams also claims to emphasize "basic programs that can be conducted with small budgets." This apparently is a case where one's definition of "small" is crucial. Most of the text and examples take place in a world of public relations *departments*, media receptions with hot hors d'oeuvres, PR counseling firms, and VIP motorcades. Make no mistake: most of the book is oriented toward urban, well staffed organizations.

Adams defines public relations too narrowly. There is no mention of using the skills of museum curators, through workshops or demonstrations, as a form of public relations. Activities such as this have proven highly successful and represent another imaginative way to build an understanding of a museum or archival program.

Finally, there is the sense that much of the book simply restates the obvious, cloaking it in the garb of new knowledge that we need a public relations person to impart. Do visitors return for a second visit because the PR person has been able to "persuade" them that it was a "worthwhile experience"? Do we really need a PR person around to "Make curators aware that publicity for their . . . collection can stimulate public interest in it"? Or can curators determine this on their own? Do we really want PR people writing materials for the education department? In short, do we need someone to be the keeper of common sense? Is public relations the function of a department, or is it an attitude which influences what we do and how we do it?

Sometimes Adams' "PR mentality" leads him in peculiar directions. We read about one historical society that offers karate lessons and transportation to the local swimming pool. We see (many archivists for the first time) disaster planning from the PR point of view: "Emphasize the positive aspects such as good fire and security record and plans for recovery."

Museum Public Relations also makes some noticeable oversights. The text dealing with broadcast media fails even to mention public radio or television whose educational and local programming focus make them at least as important as public access cable channels which merited four paragraphs. Advice about using photographs fails to communicate clearly that black & whites are a virtual imperative in most cases involving local newspapers. And there is not one word about the effective use to which historical photographs may be put.

The book is adequate only as a starting point. If archivists wish to become well read in the field of outreach, ultimately we must develop our own professional literature.

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The Source: A Guidebook of American Genealogy. Edited by Arlene Eakle and Johni Cerny. Salt Lake City: Ancestry Publishing Company, 1984. 786 pp. Appendixes and index. Cloth. $32.00, members; $39.95, others.

This massive volume, aimed at genealogists with varying levels of expertise, is intended to provide "a solid introduction to the major American record types from their beginnings up to 1910." Record types discussed include family oral traditions and Bible records, censuses and employment records, and city directories and printed family histories. "How-to" is not the stated purpose of the book; yet the detailed explanations about the information that can be found in each record and where to locate it are invaluable for persons seriously interested in pursuing genealogical research. The editors have drawn on their own knowledge and research, as well as the expertise of twelve other professional genealogists, a historian, and an archivist. Each contributor speaks from a background of familiarity with and use of the sources described.

The book is divided into five sections: 1) an introduction to records and techniques, 2) major record sources, 3) published genealogical sources, 4) special resources, and 5) appendices, glossary, and indexes. Although the sheer size of the volume may be initially intimidating, a researcher who takes time to read the detailed table of contents will find it easy to locate the topic of interest. The subject index, in addition, pinpoints the pages in all chapters which relate to a given topic.

In the introductory chapter the authors present an overview of source materials and how to access them, comment on available "how-to" books, and discuss ethical and legal concerns such as freedom of information, right to privacy, and copyright legislation. Here, as well as in the remainder of the volume, tables are used to summarize information, and comprehensive reference lists and bibliographies point the way to other sources.

Part 1 — Major Record Sources, is divided into ten chapters, each chapter concerned with a particular record type. These include family and home sources, vital records and cemeteries, marriage and divorce records, census records, church records, court records, land and tax records, military records, institutional records, and business and employment records. Four chapters comprise Part II — Published Genealogical Sources. These chapters discuss city and other directories, newspapers, genealogical tools and indexes, and compiled biographies.

At the beginning of each chapter in these sections, and in the succeeding section, the editors have placed a chart juxtaposing types of genealogical information (e.g., birthplace, marital status) against the records to be discussed. A second table indicates the time periods for which particular records will be found and outlines reasons a researcher might need to use the records. Both are helpful in determining whether a particular chapter will be of benefit in answering a research problem.

Within each chapter the author describes the information that can be gleaned from the records or secondary source, where to locate the materials, and the inherent problems or limitations of the sources. Most chapters provide historical background on the records — why they were created, what time periods they document, and often, record-keeping practices unique to the source. In addition, ways in which secondary sources and manuscript sources can be used to complement each other and extend pedigrees or corroborate information are examined. Illustrations of some records and sample forms used by repositories are particularly helpful for beginning researchers.

Part III — Special Resources, addresses particular research problems that genealogists may encounter — immigrant origins, urban ancestors, and finding sources for tracing Native American, Spanish and Mexican Southwest, black, Asian American, and Jewish American ancestry. Using computers in genealogical research and synopses of the history, membership requirements, and publications of numerous heritage and lineage societies are the focal points of the last two chapters. Much of the information necessarily reprises what is found in earlier chapters; however, records unique to each group are discussed in some depth. The authors are careful to point out the scope of each chapter. The immigrant origins chapter emphasizes British and German records while the discussion of Native American sources focuses on those for the Five Civilized Tribes. Extensive reference lists and bibliographies, arranged by country, guide readers toward sources on other nationality and tribal groups.

The appendices include locations and addresses for federal records centers, state archives and historical societies, Genealogical Society of Utah branches, and selected research libraries. Also included is a state-by-state listing of where to write for vital records and a glossary.

The Source, while not written for archivists, is an extremely handy reference tool for those who number genealogists among their patrons. Although some of the information on addresses and forms may appear dated in a few years, the descriptions of record types and their merits and/or limitations for genealogical research will remain valid. Unexpected finds such as the appendix listing old names for trades and occupations (p. 342) extend the value of the book from reference work into arrangement and description functions. This volume has made a sizable contribution to the archival profession, both by reminding us of the potential value of much of our holdings for genealogical research and by consolidating vast amounts of information of diverse records and pertinent literature for our use and the use of our patrons.

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Museums for a New Century. A Report of the Commission on Museums for a New Century. Washington, D.C.: American Association of Museums, 1984. 144 pp. Appendixes and index. Paper. $13.95 to AAM members; $17.95 others.

This report of the Commission on Museums for a New Century deserves careful analysis by archivists. The report shows how a related profession has studied itself and its external environment as a basis for recommending ways and means to improve conditions in the future. It offers a basis for comparison of particular archival and museum issues, e.g. selection of materials, their preservation, uses of new technologies, cooperation among programs, and management and finances of institutions. It indicates how museum leaders view the role of professional museum associations, particularly the American Association of Museums. Perhaps most important, it demonstrates how a similar profession is attempting to communicate to key decision makers and to the general public about its role in society and about its methods and its needs. For these reasons, as well as its general overview of museum issues and conditions, *Museums for a New Century* is useful reading for all archivists, and essential reading for directors of archival programs, for leaders of the profession, and for those who aspire to these positions.

The reasons given for undertaking the project which led to this report will sound familiar to archivists. Despite the fact that museum staff research and analyze many aspects of our culture, "there had never been a serious, analytical look at the rich and complex museum community, its past and present, let alone its future." The Commission was established, "to study and clarify the role of museums in American society . . . . why they are important to our culture and what they contribute to the quality of human experience." Much of this is similar to justifications we have heard for recent projects in our own profes-

sion on "Archives and Society," on "Goals and Priorities," and on "Assessment and Reporting." Indeed, many of the findings and recommendations, and some of the broader lessons learned from the self study experience, will ring true for those of us who have been engaged in assessment of archival affairs.

Archivists may find some comfort in the fact that our problems, and solutions to some of them, have much in common with those discussed in *Museums for a New Century*. In fact, in some areas we seem to be further along in addressing problems than our museum colleagues. Our recent adoption of the MARC AMC format for archival description comes most readily to mind. Museums have no such standard. Creation of a continuing Committee on Goals and Priorities for the archival community is another example; the report points to the need for such in the museum community. In most problem areas, however, we appear to be at a similar stage. Examples discussed in this report include the lack of carefully considered and cooperative collecting strategies, the lack of a strong system for setting goals and objectives in many institutions, the absence of a reliable statistical base for a profile of institutions, the dearth of research into the way that people use our institutions and collections, the underrepresentation of women and minorities in leadership positions, and the failure of our leading professional organization to develop a strong national public awareness program.

Several observations on the assessment process itself seem not to have been recognized as clearly by the archival profession as by the museum community. Perhaps this reflects the fact that most of our analyses to date have been confined largely to dialogue with our fellow professionals. The co-directors of *Museums* note, for example, that the assessment process itself "expanded the community of museums to include people and institutions we should collaborate with in order to thrive and grow. This new network . . . may be one of the most valuable results of our work." Likewise, the project itself prompted many people "to think seriously about the nature of museums for the first time. In the process, they developed a new interest in the role of museums in society and a continuing interest in working with the museum community." For those who were involved in it, the Commission's process "strengthened our belief that the health of any institution or profession depends on a clear, unified sense of purpose and the capacity to think ahead." Finally, it became clearer that assessment is not a one-time exercise but should be a "sustained effort by the museum community to know its potential, to know the forces shaping the society museums serve and to use the knowledge in forging a productive role for museums in the world . . . " These are important points which have also begun to impress archivists engaged in broad evaluation and agenda-setting. We need to bring them to the forefront of our collective work in the years ahead.

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Automation for Archivists and Records Managers: Planning and Implementation Strategies. By Richard M. Kesner. Chicago: American Library Association, 1984. 256 pp. Index. Paper. $20.00 SAA members, $27.50 others.

Richard Kesner is knowledgeable about the application of automated techniques by archivists and is a prolific and capable writer. His numerous articles on archival automation and well-known bibliographies have provided guidance and encouragement to many archivists approaching computer use for the first time. This work combines the author's broad knowledge of electronic technology with a step-by-step approach to archival automation planning.

Kesner depicts an environment in which electronic data processing (EDP) plays a major role in the compilation, processing, and dissemination of information. In this context, archivists and records managers must be able to manage information in a variety of computer-generated forms and should also be proficient in interacting with systems personnel who play an increasingly influential role. To do this, archivists and records managers must become familiar with the terminology, techniques, and equipment employed in EDP and expand their capacity to perform the wide range of functions necessary for the management of both paper and machine-readable documents.

As the title indicates, this volume focuses on planning and implementation. Its primary strength is in its presentation of methods for analyzing existing goals and practices and for developing strategies for the effective integration of new technologies. The book begins with basic definitions. Chapters three and four provide detailed guidance through the process of selection and initial implementation. Chapters five and six examine the application of EDP to specific records management and archival administration functions. Chapter seven addresses the management of machine-readable records, and the concluding chapter provides a brief summary and the author's projections for the future.

As noted, the strength of this work lies in its presentation of initial planning and development strategies, and the early chapters should be useful to all archivists and records managers. However, the book's general value is lessened by its focus on archival and records management goals and procedures more common to corporate programs than to archives of other types. Indicative of this limitation is its failure to recognize archivists' long-standing interest in nationwide sharing of descriptive information. As a result, networking, for other than routine administrative purposes, is largely disregarded. In spite of the author's recognition that many archival programs are part of libraries (and the fact that this volume was published by the American Library Association), there is only cursory mention of library bibliographic networks. The potential value of integrating control and access to archival holding with other types of library materials is omitted. The interests of state programs in sharing either bibliographic or appraisal information is also largely ignored. All writers on automation topics must accept the likelihood that their work will become outdated. However, the author's failure to envision the impact of the MARC format for archival and manuscripts control on descriptive practice is unfortunate.

An additional shortcoming of this work results from the author's preference for using stand-alone microcomputers and off-the-shelf software. While there is little doubt of the value of using microcomputers and general-purpose soft-

ware, the consistent emphasis on this option could prevent archivists from reviewing all available alternatives. This approach discourages a detailed examination of the possibilities for integrating a variety of computer and telecommunication capabilities.

Although these limitations do detract, this work is still an excellent introduction to automation planning. It introduces planning concepts that are widely used and can be implemented effectively in archives and records centers. While providing a valuable guidance for all archivists and records managers, it is particularly well-suited for corporate records programs.

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A Culture at Risk: Who Cares for America's Heritage? By Charles Phillips and Patricia Hogan. Nashville: The American Association for State and Local History, 1984. 95 pp. Appendixes. Paper. $10.00

One can read the words in this book in an hour. One can take many hours to digest their meaning, sifting through the various charts, analyzing the data, looking for answers to "Who Cares for America's Heritage?" This statistics-packed volume provides evidence that America's heritage is at risk, protected by numerous small historical societies and museums with inadequate funding, few (if any) professional staff, and increasing difficulties as a result of Reaganomics' cutbacks for federal funding.

Few readers who have followed the developments in public history in the past few years will find much new here. They will find, however, the evidence to back up their intuition that local historical societies, historic preservation groups, and genealogical societies have proliferated in the years since the 1976 Bicentennial and the phenomenal success of *Roots*, supported by federal programs in historic preservation, the National Endowment for the Arts, and the National Endowment for the Humanities.

They will also find a very thoughtful, well-documented introductory essay by John Alexander Williams of the National Endowment for the Humanities, outlining institutional history in the United States, from the learned society to the library model to the progressive model and museum model. He provides a much-needed framework for the mass of statistics to follow.

The text itself starts abruptly as the reader shifts from Williams' last sentence — " Questions about the values that link cultural institutions to the larger society sustaining them need to be addressed if we are to understand fully the recent history of American historical societies and their guardianship of the past" — to the first paragraph of the first chapter — "Statistically, the state and local history movement is a mid-20th-century phenomenon. Only 8 percent of America's historical organizations were founded before 1900. Most of them — 53.2 percent — sprang into existence in the 22 years between 1960 and 1981, nearly a quarter in the 1960s and nearly a quarter in the nine years surrounding the bicentennial celebration of America's independence." And so the text

continues for the rest of the book, with tables summarizing the information presented in the text.

While the book never gets back to values (and the gap may be because Williams' introduction was not originally designed for the book), that is really not its purpose. *A Culture at Risk* was published to present the results of a survey conducted by George Kaludis [and] Associates Inc., a professional survey firm, for the American Association for State and Local History with funding from the National Endowment for the Humanities so that "the individuals and organizations working to save the nation's heritage get a clear picture of their place among other institutions, their common concerns and problems, and the significant economic, social, and historical trends affecting the work they do." The full survey data is available from NEH's Humanities Studies Program on magnetic tape, while the survey methodology and some of the questions are included as appendices to *A Culture at Risk*. AASLH is obviously the best organization to conduct this study and publish the results, as it has been working for decades to help promote state and local history.

By asking various questions about organization, staffing, program, budgeting, and cutbacks, AASLH hoped to glean as much information as possible from the 1,000 institutions that initially received questionnaires. These groups were randomly selected from AASLH's twelfth edition of its *Directory of Historical Societies and Agencies in the United States and Canada.* Final tabulations are the result of responses from 562 U.S. institutions, with no Canadian responses used. The responses were classified on the basis of the way the respondent described the organization's chief purpose, and archives have been separated out as a type of institution studied. No chart attempts to summarize all the statistics for a type of organization, unfortunately, nor can any individual organizations be identified in the survey.

The authors conclude that "the profile here is of many, many, small, young historical organizations . . . trying to provide a range of services and collect a breadth of material for local communities beyond any resources they have been able to muster. It is also a profile of a core of older, larger organizations, serving larger communities and constituencies, at the top of a burgeoning field of newcomers." An Urban Institute study notes that the entire nonprofit sector in the U.S. follows a similar trend.

Now that we have access to the data that provides the composite answers to the question of "Who Cares for America's Heritage?" we need to heed the larger question that ends this study: "If the small, community-based historical organizations cannot care for an essential part of America's heritage, who will?" Unfortunately, the study provides no answers, nor does it tell us how to help these small groups — the 35 percent of the archives surveyed who do not have professional staff — to deal with the problems of caring for our past. There is much to digest in this volume. In starts abruptly and ends equally abruptly. We need a follow-up volume to provide some answers to "who will" and, most importantly, "what is their future?" and "how can we most effectively help them?"

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University Archives in ARL Libraries. Washington, D.C.: Association of Research Libraries, The Systems and Procedures Exchange Center, SPEC Kit 107, 1984. 108 pp. Paper. $7.50 ARL members, $15.00 others.

The Systems and Procedures Exchange Center of the Association of Research Libraries serves as a clearinghouse for information regarding management of large research and academic libraries. The kits prepared by the Center are intended as practical sources of working documents selected for their usefulness to administrators and staff to aid them in the development of programs in their institutions.

SPEC Kit 107 includes a survey of archives in ARL institutions, reports, documents relating to records management, goals and objectives, policies, position descriptions, and a brief bibliography of literature regarding university archives. Of special interest is the survey of ARL institutions regarding the existence of archival programs, the organizational relationship to the library, scope, staffing, and records management programs. While this interest has been addressed by other research reports in the past, the currency of information associated with SPEC Kits is one of the main benefits of the survey. However, no attempt is made to examine the data collected except very briefly in the summary which serves as an introduction to the kit.

The kit is presented as a resource to help in the solution of problems encountered by academic institutions which are either commencing, revising, or reevaluating their archival programs. The various documents are intended to be used as models. The kit could, therefore, be useful to those unfamiliar with archival practice. Experienced archivists may not find as much value in the documents included in the kit except, possibly, in conjunction with the Society of American Archivists' *Archival Forms Manual* (Chicago, 1982).

Therefore, while the information and statistics presented in the kit could serve as a basis for discussion in a variety of archival settings, the kit may be of limited use to established archival programs.

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Archives and Manuscripts: Machine-Readable Records. By Margaret L. Hedstrom. Chicago: Society of American Archivists, 1984. 75 pp. $6.00 SAA members, $8.00 others.

When an overview is taken of human record keeping, it would seem that an unwritten law is in operation: the more sophisticated and permutable the record, the more transitory the medium. Thus, today, we are still able to study the mercantile transactions of the Sumerians pressed into clay tablets, while, simultaneously, we witness the deterioration of the documents of the World War II era patriotically printed on acidic pulp paper, and stoically resign ourselves to the probable loss of masses of data recorded on machine-readable media.

Over the last decade the archival profession has been warned repeatedly of the need to prepare for the impact of the new information technology or risk losing an important part of the historical record, but the change has come upon us so quickly that we cannot entirely blame ourselves for not being totally prepared. Archivists dealing with current records must realistically expect to encounter this new technology in the very near future if they have not already, and Margaret L. Hedstrom, in this manual devoted to arrangement, storage, management, and preservation of machine-readable records, provides basic guidance. This is a most appropriate complement to the SAA Basic Manual Series.

The author begins this manual with an introductory section on computers and automated record keeping intended to initiate the reader into the realm of computers and the various storage media presently in use. This is set forth very clearly, and the reader is not overloaded with computer terms, initialisms, and acronyms. This section is supplemented by a helpful glossary. Having presented the basics of computer information storage, Hedstrom then goes on to discuss the inner logic and organization of machine-readable data files; an understanding which must underlay any attempt to manage them.

The most valuable portion of the manual is the section on management and preservation of computer-generated records. Here Hedstrom applies basic traditional archival principles, modified to suit the different characteristics of machine-readable records. Very concrete advice is provided. Her suggestions on surveying such records stress the desirability of utilizing the expertise of the individuals who created and used the records by securing their involvement and cooperation, and the crucial importance of embarking at an early stage on a records control program to insure that all significant records are retained. She emphasizes the need to gather available technical documentation relating to the creation of these records such as special hardware and software requirements, data base management system type, file structure, record length, and storage medium.

The appraisal of such records must necessarily take not only these factors into account, but also include an evaluation of the condition of the storage media since deterioration could indicate a possible loss of data. One of the most knotty problems which will have to be faced in maintaining machine-readable records is hardware dependence and readability. The need for obsolete hardware can be circumvented by reformatting files onto magnetic tape. Preservation of such records promises to involve considerable maintenance time and expense. Since the expected life of magnetic tape can be as short as twelve years, even in optimum storage conditions, an ongoing copying program is essential, and backup copies are strongly recommended.

The "office of the future" has already made its appearance in many archival repositories with the use of word processors and computers, and from this use we are gaining some insight into such problems as determining whether a letter was sent to one individual or one hundred, and just how much of the stored data was utilized and for what purpose. It has become seductively easy to manipulate language and data without leaving a trace of documentation, and archivists are facing a totally new dimension in trying to establish provenance for such records.

This manual represents considerable thought and experience in this area, and the sample forms and procedures it presents should provide a most useful base which can be adapted to specific collection needs. Although the manual is extremely well organized, an index might have been helpful for quick reference. A bibliography of suggested further reading is appended.

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Popular Culture and Libraries. Edited by Frank W. Hoffman. Hamden, Conn.: The Shoe String Press, 1985. 312 pp. Bibliographies. Paper. $18.50.

Frank W. Hoffman, assistant professor in the School of Library Science at Sam Houston State University, has assembled essays by library professionals, ostensibly to examine how popular culture materials can be organized and used for the benefit of libraries and their patrons. The book covers a wide span of topics, almost as compensation for an acknowledged absence of a precise definition for pop culture and the inter-disciplinary nature of its study. Literary sub-genres such as science fiction, westerns, and detective novels are covered along with film, television and other media, collectible artifacts, and fads. While this approach limits the book's value in separating the popular culture wheat from the chaff, it nevertheless remains a good, broad introduction to many aspects of popular culture and a valuable reference source.

The book's forward identifies the intellectual landscape upon which questions about the library's role in preserving the popular culture are asked and answered: the culturally elitist biases of university faculty and academic librarians versus the demands of the contemporary citizen. The average citizen's world view is seen as "a combination of factual and fictional orbits that function interactively," informed by magazines, media, historical novels, comic books, popular songs, and other elements of the non-academic culture at large. As champions of organizing and circulating all information, librarians are described as free-lance academicians who have a responsibility to respond to inquiries into these non-traditional sources but who are often too conservatively trained to meet that responsibility.

Some insights are also provided concerning the position of the modern library in the current political climate. Hoffman observes that

> "at a time when librarians could and should be using their skills to help people to adapt to change, there are powerful political leadership elements which appear to believe that libraries of all types are so low on the public agenda of need as to have almost disappeared from it. There is a barely hidden feeling in some quarters that 'those people' — the great majority of the public — do not require much information anyway and that therefore it is perfectly all right to restrict access to the economic elites, through cutting public support funds at all levels of government."

The development of strong popular culture collections can help attract potential library patrons and re-establish the library as a vital force in the commu-

nity. Tables outlining instructional design models and substantial library programs using popular culture materials in educational ways offset an unmentioned countervailing sentiment: that much of the often profit-motivated popular culture supports economic elitism by depriving the mass audience of substantive ideas.

Similar tables and lists accompany the narrative portions of this volume. These primarily consist of time-line histories and bibliographies concerning mass media and popular book genres, which include the less well-documented juveniles and romances as well as science-fiction and comic-books, which have large, organized fan circles who share an intensely studied history.

Afficionadoes of any particular part of the pop culture might quibble with what has been left in or out of these bibliographies, narratives, and time-lines. Elvis Presley fans, for instance, might be distressed to see Albert Goldman's notorious biography of Presley quoted as a creditable source, one that attempts to diminish the impact of rock music as a catalyst for social change. The book does not mention Dave Marsh's *Rock'N'Roll Confidential* (Box 1073, Maywood, NJ 07607), a pop culture-meets-real-life newsletter fundamental to understanding current political issues involving rock. Similarly, comics readers may not be satisfied with the slight reference to Gary Groth's *The Comics Journal* (Stamford, Conn.), which for years has made admirable attempts to hold the commercial comics industry up to vigorous aesthetic standards and social responsibility. The chapter on the underground press fails to mention Paul Krassner's *The Realist*, the proto-typical alternative journal founded in 1958. The book nevertheless succeeds as a convenient overall reference to these topics in general.

William Schurk, the sound recordings archivist at Bowling Green State University, provides a narrative glimpse of that university's renowned collections, but there is an unfortunate lack of other contributions by archivists. Considering the time, energy, and money that private collectors put into the preservation and organization of their record albums, comic books, gum cards, and other collectibles, some discussion of what archivists can teach or learn from them might have added an important dimension to this book.

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Archives, Personal Papers, and Manuscripts: A Cataloging Manual for Archival Repositories, Historical Societies, and Manuscript Libraries. Compiled by Steven C. Hensen. Washington, D.C.: Library of Congress, 1983. 51 pp. Index. Paper. $10.00.

The task of cataloging the wide variety of manuscripts and archives which reside in our repositories is not an easy one. For the experienced cataloger, it offers untold difficulties; for the novice, it entails what may seem to be insurmountable problems. Acknowledging the shortcomings of both editions of the

Anglo-American Cataloging Rules, the Library of Congress sought to resolve this dilemma in cooperation with the Council of National Library and Information Associations and the National Endowment for the Humanities. The result is a manual as impressive as the editorial committee which compiled it.

Archives, Personal Papers, and Manuscripts: A Cataloging Manual for Archival Repositories, Historical Societies, and Manuscript Libraries proposes a cataloging format that is equally at home in both machine readable and manual cataloging operations. While not a guide to the new MARC Format for Archival and Manuscripts Control (AMC), both OCLC and RLG, the two national bibliographic networks, have recognized its importance in the field of cataloging archives and manuscripts and endorsed its usage even when it differs from AACR II.

Recognizing the shortcomings of AACR II, Steven Hensen's cataloging manual seeks to explain the intricacies of cataloging archival documents. The manual is divided into four sections: an introduction, a main section on the cataloging guidelines, examples, and an index. The introduction carefully defines the parameters of the work to be accomplished. It is based on the assumption that "library-based descriptive techniques" can be applied to cataloging manuscripts and archives with necessary changes in format. Both the large corporate record group and the single page manuscript are considered. Both the general and the detailed levels of description are taken into account. The manual's primary concern is to maintain consistency regardless of collection size or level of description. The result is a modification and expansion of Chapter 4 of AACR II to include "more specific interpretations, more archivally-oriented definitions, and more examples." The audience for which it is intended encompasses both the novice and the expert.

The manual's main section on cataloging guidelines includes sections on choosing access points (headings) for the descriptions; general rules on sources of information, punctuation, levels of description, and inaccuracies; title and statement of responsibility; physical description; and a final section on scope and content, arrangement, language, provenance, source/donor, restrictions, copyright, finding aids, published versions of the manuscript, and its physical description. This is not an exhaustive list, nor does it detail the extent to which the manual effectively simplifies the work of cataloging. One suggestion for this section would be the inclusion of a "worksheet" which the reader could fill in line-by-line while reading the manual with a sample from his or her own repository.

Examples for manuscripts and archives which have been cataloged according to the manual comprise the second largest part of the book - fifteen pages in all. Not only do they detail all aspects of the cataloging guidelines, but they are also "keyed" to the guidelines themselves so that it is possible to re-read a particular rule on that topic. This is the real strength of this manual. For without such detailed examples of applied cataloging, the guidelines would be lost on the novice. Examples include a little bit of everything: personal papers, corporate files, federal and state records, and university archives. A very complete index is a fitting conclusion.

Archives, Personal Papers, and Manuscripts: A Cataloging Manual for Archival Repositories, Historical Societies, and Manuscript Libraries is a slim volume which contains a wealth of information disproportionate to its size.

A systematic approach to cataloging archives and manuscripts was a long time in coming. Cataloging such a diverse body of information is not a simple task and setting up a system to accommodate so many exceptions to the established rules is a difficult one. It is a task which Steven Hensen and his committee have handled admirably. The reprecussions of their work will be felt in all of our institutions, regardless of size or type of system.

Sharron G. Uhler
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Hallmark Cards, Inc.