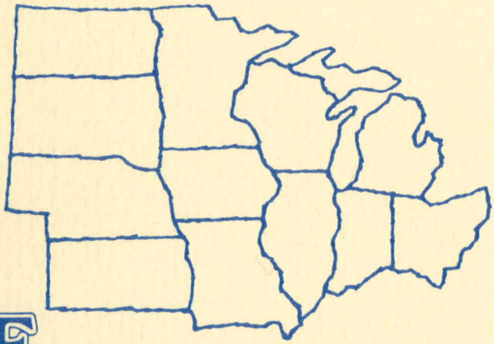

THE MIDWESTERN ARCHIVIST

VOLUME IV, NUMBER 1, 1979

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THE MIDWESTERN ARCHIVIST

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BOOK REVIEWS

Cover Design by Paul Hass

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. Articles relating to archival theory and current practice are solicited. Diversity among topics and points of view is encouraged, and material in a wide range of formats — including articles and essays, proceedings of seminars and workshops, review essays, and progress reports on special archival projects — will be considered for publication. Ideas and opinions expressed by contributors are not necessarily those of the Midwest Archives Conference or its Editorial Board.

Manuscripts should be sent to Lydia Lucas, Minnesota Historical Society, 1500 Mississippi Street, St. Paul, MN 55101. Decisions on manuscripts will be rendered within eight weeks of submission. Offers to review books or suggested books to review should be sent to Warner Pflug, Book Review Editor, Walter Reuther Library, Wayne State University, Detroit, MI 48202.

MAC members receive *The Midwestern Archivist* and the MAC *Newsletter* upon payment of annual dues of $5.00; single copies of the journal are available at $3.50 plus fifty cents for postage and handling. Inquiries regarding membership or purchase of the journal should be directed to James E. Fogerty, MAC Secretary-Treasurer, Minnesota Historical Society, 1500 Mississippi Street, St. Paul MN 55101.

Articles appearing in this journal are abstracted and indexed in *Historical Abstracts* and *America: History and Life.*

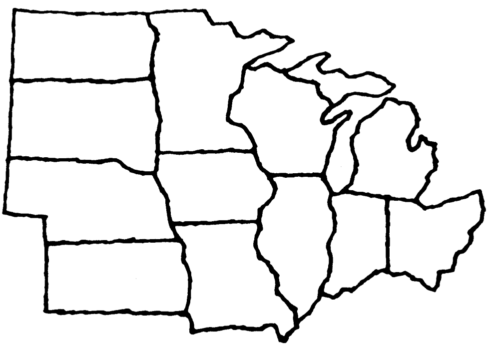
CORRECTIONS

A typographical error in Carolyn Clark's "The Status of Research and Techniques in Archival Conservation" (Vol. III, No. 1, 1978) was noted by an alert reader: the statement on page 18, line 2, that "encapsulation with deacidification leads to more rapid embrittlement..." should read "Encapsulation *without* deacidification..."

Pages 17-20 of William J. Maher's "The Importance of Financial Analysis of Archival Programs" (Vol. III, No. 2, 1978) were printed in incorrect order and minor errors in the statistics in one table were also made. Accompanying this issue is a replacement for these pages.

The Midwestern Archivist regrets these errors.

The Midwest Archives Conference



THE EDITORIAL BOARD

UNDERSTANDING THE MACHINE READABLE NUMERIC RECORD: ARCHIVAL CHALLENGES, WITH SOME COMMENTS ON APPRAISAL GUIDELINES

ALICE ROBBIN

INTRODUCTION

Quantitative social research has been considered necessary to understand the nature of our past and present society and its problems, carry out the research process, and understand the impact of social programs. For almost two centuries, social researchers have utilized governmental statistics to examine a wide range of social phenomena on individuals and social structures and to offer competing analyses of social research and policy. As early as 1828, Melchiorre Gioja, in his *La Filosfia della Statistica,* indicated that the essential scope of social science also embraced the collection of data on a wide range of social phenomena, such as affluence, poverty, knowledge, ignorance, happiness, civilization, and morality, "the set of data relative to a country, which in the daily conduct of affairs, can be useful to each one or to the majority of its citizens, or to its government, which is their agent, delegate, or representative . . . ."[1] In the late nineteenth century, Durkheim relied on published summaries of statistical data to illuminate the causes of suicide. Since the beginning of the twentieth century, technological and intellectual advances have made possible the recording of these statistics in machine readable form, the collection of new types of data, and increased utilization of governmental records.[2]

Recent decades have witnessed the enormous expansion of information recorded by government. Statisticians, economists, and program administrators have increasingly required more detailed and varied data on the status of state and local units of government; on the composition and characteristics of the population; and on the nature, scope, and effects of governmental programs designed to benefit the well-being and general welfare of the citizens of the state. Federal legislation has mandated the collection and analysis of this information as a prerequisite for the allocation of federal resources. Records are used to allocate resources at the state and local levels of government; to plan, audit, and evaluate the distribution of resources; and to ensure adequate planning for human needs and an equitable delivery of benefits to the citizens of the state. These records include information on taxes, public assistance payments, budgetary decisions, pollution, land use, energy consumption, transportation, education, surveys of the population or of particular groups, and of transactions and activities of individuals, businesses, associations, and other organizations. Some of these records have long-term value for historical and other research into social, economic, and political behavior as well as governmental activities and processes. These records offer an unprecedented range and detail for understanding the dimensions of social change.[3]

A major reason for the expansion and use of information and its expected increase in the future is that computer technology has radically altered government's record collection methods and management practices, and made available new tools for the scholarly manipulation of data. Computer technology has greatly increased the potential for information collection, storage, management, and utilization, and it also facilitates the collection and documentation of highly detailed information describing individual characteristics, human transactions, and organizational processes. The computer makes possible the more efficient and effective administration and management of government. It is a powerful tool for implementing programs and policies that require long-term maintenance of records. This tool also assists program administrators to identify human and social problems and to devise and implement solutions in a timely and more efficient manner.[4] Computer technology provides scholars with a variety of tools to manipulate large quantities of information, thus enhancing the dimensions of their investigations. Unlike the traditional published format, raw data in a form suitable for direct input to and manipulation by modern computing machinery facilitates analysis and reanalysis by permitting its reorganization and summarization at minimum cost and with maximum speed. Modern computers allow the scholar or analyst to order and summarize complex situations, make more understandable the "reality" of a particular subject, establish the relationship between independent events, and ascribe causality or make prediction. Where analysts differ in their needs, the computer allows them to reorganize, summarize, and analyze the same information from a variety of perspectives.[5]

The computerized record offers advantages to the archivist and scholar. Information in this form can be manipulated—sorted, edited, reformatted, counted, tabulated, and cross-tabulated—, selectively retrieved for visual inspection, and utilized for a variety of purposes in ways which were not possible with conventional records. Data gathered for specific purposes may be of additional utility for a variety of other purposes—not all of which were or could have been anticipated when the original data were gathered.[6] The facility with which data manipulation can now be accomplished has given a considerable impetus to the development of new social science theories[7] as well as the analysis of more complicated social phenomena.[8]

In the past, raw information was frequently destroyed because it could not be stored, thereby precluding effective scholarly use of the materials. Today's computer technology allows preservation and compact storage of enormous quantities of highly detailed information.[9] Maintenance of information in conventional paper format often required severe access restrictions to protect anonymity of particular cases, a problem which can be alleviated by utilizing the computer to delete or mask the identity of the individuals involved.[10]

The value of any archival record is enhanced by the existence of other sources, which when used in tandem more completely describe the social, administrative, or economic process. This is especially true of the machine readable record, where source materials from one file can be more easily linked with other files to provide more complete documentation of particular events and transactions, thus augmenting the potential value and increasing the analytic or explanatory potential of the original records.[11]

ARCHIVAL CHALLENGES

The machine readable record poses new problems for the archivist. The categories, volume, and detail of information in machine readable form require new appraisal criteria, techniques, and resources. These unconventional source materials will place an added burden on the archival staff to preserve and make available materials formerly not part of the archives accessions.[12]

As scholarly research increasingly depends on statistical analysis, the archivist must reevaluate traditional appraisal criteria and expand the scope of his accessions. Appraisal is complicated because there is often little information to describe the historical development of these records. Linkage of data items from a variety of other records makes it difficult to identify source documents. Complex logical and physical structures require special computational and software access and retrieval capabilities. Resources are unavailable to identify, accession, and preserve all the records.[13]

Once these records are accessioned the archives may be required to provide new services. Donor agencies may require retrieval and/or linkage of particular records. These activities may occur, for example, if particular data series require special archival protection because records contain confidential information or will be used for program evaluation in the future. The archivist will be required to learn new technical skills and to develop new administrative procedures to facilitate effective use of a new, rich source.[14]

Another problem relates to the technology which has produced these records. Most of the machine readable information will never be converted in its entirety to a form which can be examined without the aid of electronic or mechanical equipment. The archivist must identify available computer facilities because machine readable records are typically generated on a variety of machines. Because computer technology is changing so rapidly, the archivist must acquire advanced information about computer technology and future technological developments. Therefore, the archivist requires specialized technical skills and access to appropriate computational equipment and programs.[15]

Data quality is also a problem because many machine readable data files are poorly constructed and processed. Not properly edited and corrected during the processing stages, files contain many errors. No standards exist for what constitutes a "clean" data file, that is, what data checking and editing procedures ought to be carried out. Because data files are generally in poor condition, analysis can become a more expensive undertaking than generally assumed; more computer time and staff resources are needed to prepare a data file for analysis than are required to perform the actual analysis.[16]

Data are not always available at the microlevel, but have been summarized and aggregated. When data are aggregated to a higher level than their original state, significant distortions and biases may be introduced into the file. As a result, verification of the original data collection and reports, and analysis not envisioned by the original collectors of the data may be precluded.[17]

The development of idiosyncratic coding schemes for standard data items may create confusion and inconsistencies for all data analysts. Not only are these coding schemes developed on an *ad hoc* basis, they are incomplete and inconsistent with federal guidelines; therefore, they create expensive and time-consuming problems for the person doing comparative analysis or merging data files.[18]

Some of the characteristics which increase the value of machine readable records also create archival problems. Machine readable records are easily reformatted, updated, and otherwise changed, copied, and transmitted. These activities performed on the record make identification and definition of the record copy especially difficult. For example, machine readable files are often copied and diffused through numerous agencies, confusing the issue of which file or version of a file, is the record copy. The ability to update and the reusable nature of the medium lead to the mistaken notion that machine readable records are ephemeral. Unlike conventional records, which have a growing physical presence that demands attention, machine readable records can be painlessly and easily destroyed by deleting a few electronic or magnetic signals. Data processing personnel who typically control access to and retrieval of machine readable records and other individuals who have participated in the development of a data system are for the most part unaware of the potential future value of the information they handle. The archives faces psychological, political, and procedural difficulties in convincing agencies that machine readable records are not ephemeral and must be considered potential archival materials just as conventional records are.[19]

The documentation required to understand the contents of the machine readable records and how to access them is another problem for archivists. Access to machine readable records is possible only through a "map" or set of directions (typically called a data dictionary, codebook, or "user's guide"), information describing how to access the physical structure of these records (sometimes called file documentation), and information on the relationship of the records to associated software or hardware (sometimes called system documentation). Lack of information about the data's physical structure inhibits access. Many data files are transferred from one computing site to another without adequate description of the physical structure of the file and how the data were written. Few data files are received with accompanying technical information on the file structure, recording density, and character configuration. Computer center personnel typically have experience with one computer manufacturer and often only within one computing environment. As a result, there is no need to know about other computers and their internal characteristics. Although standards for writing data in transportable mode have been written, few programmers are familiar with them and few researchers know how to request data written in a transportable mode. The quality and amount of descriptive information about machine readable records vary greatly because there are no standards for what constitutes good documentation. There are also other reasons for the generally poor quality of documentation. Documentation has been perceived as unimportant. Inadequate attention has been given to its preparation. Most data collections have evolved to meet the needs of an individual researcher or program and there has been little thought that the data would be utilized by others not involved in the original data collection. Neither program administrators nor scholars are rewarded for data gathering, so it is not unexpected that they should not be rewarded for documenting their data gathering procedures and file creation and processing. Funds are rarely available to document a data collection. In addition, text documentation is poor because the operations necessary to produce the data file are not well understood; partly this is due to poor conceptualization of the research problem and a faulty research methodology. Most text documentation is created after-the-fact, that is, after the data collection and processing, or completion of the project, when most of the staff has disbanded and memories have faded. In the case of administrative records, documentation is often nonexistent. When documentation is insufficient or nonexistent, it becomes difficult to maintain control over the records. This lack of control has made it difficult to determine the provenance of the machine readable record and directly affects its appraisal, analysis, and classification.

Even if documentation is adequate, most machine readable records are stored on magnetic tape for long-term preservation and this medium is short-lived when compared to conventional storage media such as paper and microform. Although the quality of this storage medium has improved in recent years, magnetic tape is still a fragile medium of storage. Maintaining an archival file requires regular and systematic inspection, cleaning, and copying. This poses an archival problem unique to this type of record: a wholly new set of costs associated with preservation and maintenance.[21]

An official data gathering agency collects personal or confidential information for its routine administrative functions and for measurement of other governmental activities and functions. Sometimes this information is obtained through either implied, actual, or believed threat of retaliation, with no assurances that the information will not be used against the individual who provided it, but most often information is obtained by "good will" and voluntary cooperation, with assurances that it will not be released to third parties in any identifiable form. As official data gathering agencies fulfill their research, statistical, and administrative functions, the data they gather constitute a valuable resource for the social scientist's research and statistical activities. As funds for primary research become more difficult to obtain and greater demands are placed upon government to become more accountable for the programs it institutes, the research community is becoming a more active consumer of both research and administratively produced information of a confidential nature and is beginning to rely increasingly upon the archives to preserve information.[22]

The archives has always played an important role as custodian of sensitive information, providing both security for collections of sensitive information and legitimate access to scholars and individuals. Archivists attempt to balance the personal requirements of the individual subject's or organization's right to privacy and society's need for knowledge.[23] But while personal privacy and freedom of information have been cherished in our society, these concepts have created an ambiguous role for the archivist. A recent examination of confidentiality and the role of the archives elaborates on the problem.

> The keeper of the historical record has been placed squarely in the middle of a growing, ambiguous situation. The traditional passivity of the archivist no longer affords him protection. The archivist, in fact, has become a central element in the conflict. He has to become simultaneously an advocate and a protector of both sides of a complex and sensitive issue, while foregoing the sheltered and far more placid role of dutiful purveyor of the record.[24]

State laws as well as a growing number of federal laws define and limit access to information of a confidential nature, but do not define an archival role, set of responsibilities, or administrative guidelines.[25] The undefined status of the archives' responsibilities has resulted, in many cases, in a reluctance to deal with these records.[26]

APPRAISAL GUIDELINES

The value of all records series is enhanced when "there are enough examples over time to permit investigations of sufficient scope for drawing valid conclusions."[27] Archivists must consider the file's potential for linkage with existing record series in the collection or located at other archival institutions, since this condition is even more applicable to machine readable records. The machine readable record should be evaluated not only in terms of its record content, but its relationship to other machine readable record series, paper documents, and other information which may be translated into machine readable form. Machine readable records which record information over a period of time and record this information in a standardized compatible format (i.e., definitions of informational components do not change) enhance the archival value of the record series and enhance the "validity of research based on archival sources."[28] While informational records of this type should be appraised for retention, the unique record series may also have important research values and should not be rejected on the basis of its nonregularity.[29]

Documentation is the necessary component for evaluating machine readable records. Documentation provides a conceptual framework for the collection process, communication and coordination of processing staff, historical reference, general instruction for communication between specialist and nonspecialist, and is a report on successful output. Documentation should be comprehensive and include or anticipate all the normal questions a user might have about the data file. Documentation must identify sources and contents, creators of the record series, its statutory or functional origins, processing history, subject matter contents, and reports on and uses of the data.[30]

Maynard Brichford, archivist of the University of Illinois-Urbana, and author of the Society of American Archivists Basic Manual Series volume on *Archives and Manuscripts: Appraisal and Accessioning,* notes that "credibility" of the record "is a basic research value."[31] This notion can be transferred to the machine readable record and used as an important appraisal criterion for data quality. Data should accurately represent the original information when it was collected, reflect the subject contents described by the documentation, and be carefully edited, processed, or prepared.

Data are most useful when they are at the lowest level of aggregation. The archivist must place a high priority on retaining machine readable records which record the primary, original data, or those data which are not summarized or aggregated, because these records offer greater value for future analysis and linkage to other records. These data allow the scholar to examine interrelationships and changes over time among variables, and they enhance the potential of records which are not yet available to the public. While confidentiality rules may preclude access to some of these data, it is imperative that they be preserved in their original, microlevel form.[32]

Were the standard for machine readable records reserved only for carefully prepared files, few machine readable records would be appraised for retention. And, indeed, an evaluation of poor data quality should not mean rejection of the records. Machine readable records are evidence of the policies and practices of an agency; it is therefore important to preserve the information upon which an agency bases its decisions and justifies its activities. As Dollar notes, "the manner in which data is [sic] collected and used can reveal a great deal about the agency's perception of its mission." He cites the example of the data collection and analyses of the Immigration and Naturalization Service, which suggest that the Service dramatizes and even exaggerates the problem in order to "justify both the activities of the agency itself and future control over immigration into the United States."[33]

Technical considerations are a critical aspect of appraising the machine readable record. Much more than other records, the machine readable record is tightly bound to its storage medium and the equipment and programs required for access and retrieval. How records are stored and accessed depends on the computer on which they were processed and the software used to write them. Whether the data are independent from the software and computer will depend on how they were initially prepared and used. Information must be supplied on the physical characteristics of the file, whether the data are available in batch or interactive mode, and the logical composition of each record type. Proper computational equipment, software, and personnel (specialized data and computer expertise) must be available to the scholar and archivist, if they are to access and retrieve machine readable records.

The current computer storage and retrieval technology emphasizes development of data base management systems which create machine readable files in internal character configuration and structure that create difficult appraisal and preservation conditions for the archivist. Machine readable records, which need no associated software for processing and analysis offer the greatest possibility for increased future use by scholars. Appraisal policy must emphasize preservation of machine readable records which are software and computer independent. If the records are not independent, the appraisal staff must decide whether the records warrant their conversion to independence and whether resources can be allocated to convert the data.

The archivist appraising machine readable records must consider the costs of processing, preservation, storage, and use. These costs are higher than for other records, particularly because the records cannot exist without their associated documentation, computational equipment, and software. The medium of storage is fragile and requires regular and periodic examination (thus increased computation, software, and capital costs). Staff are required to have technical expertise beyond the training of a traditional archivist to process, describe, preserve, and disseminate these records.[34]

In addition to costs incurred in normal archival accessioning, the archivist must recognize the future cost of the machine readable record to the scholar. Those considerations include: Will the user have access to support personnel and resources necessary to access and retrieve the data? Will resources be available to process the data because they have not been properly prepared? Will resources be available to document the data? Will library and programming (consulting and software development), and updating capabilities be available to assist in understanding and analyzing the records? Any appraisal policy for machine readable records must weigh the archives' and users' costs of processing, preservation, storage, dissemination, and available resources and expertise against the future usefulness of the records.

Administrative rules and statutes have begun to restrict access to valuable information resources because these records contain identifiable and confidential data. The restrictions which limit or prohibit access, or destroy the quality of machine readable records reduce the archival value of a collection.

The value of administrative statistical records depends on their accessibility and thus restrictions should be established only to protect institutional security and individual privacy. The situation demands creative solutions if the individual's personal privacy is to be balanced against society's need for knowledge. The archives' policy should be to maintain the flow of information without compromising the integrity of the information, while protecting details which "identify individuals on the basis of unique characteristics or as members of an identifiable group."[35] Various administrative strategies and statistical procedures can be applied to reduce confidentiality-related problems, so that considerations of privacy and confidentiality are "independent of research values" and not the "primary justification for either the destruction or retention of records"[36] and so that there are guarantees to the security and controlled release and use of this information.[37]

CONCLUDING REMARKS

This article presents an introduction to some of the problems and challenges archivists will face with records in machine readable form. It offers a guide to understanding what criteria should be applied to judge the value of these records. These criteria do not differ markedly from those applied to other records. What is different however are the techniques and strategies for appraising these records.

Lest anyone believe that these remarks represent a definitive statement on appraisal guidelines for machine readable records, it is worth repeating Schellenberg's wise remarks on the subject of appraisal: "These standards serve as guidelines to steer the unwary through the treacherous shoals of appraisal work. They are often little more than general principles. They can never be very precise. They should always be applied with judgment and good sense."[38] In the Forward to the Schellenberg book, *Modern Archives,* H. L. White says that "archival establishments are in no sense cemetaries of old and forgotten records . . . ."[39] Nowhere is this more true than with machine readable records which record the processes and policies of government. Current machine readable records present an unprecedented opportunity and an exciting challenge for applying modern techniques and technology to the preservation of records for future use.

FOOTNOTES

1. Guido Martinotti, "Data Processing, Government, and the Public: Reflections on the Italian Case," *International Social Science Journal* 30 (1978) 147.
2. The design of the Hollerith punch card created a medium on which to document large amounts of information. With the computer, vastly higher data processing speeds and higher computing rates could be attained and therefore few limits applied to the amount of information which could be handled. With the development of the survey method social science had an alternative to census and other government records as valid sources of quantitative data on human behavior. John Lansing and James Morgan (*Economic Survey Methods*. An Arbor, Mich.: Survey Research Center for the Institute for Social Research, The University of Michigan, 1971, p.1) note that although secondary analysis has had a long tradition, it has not been until recent decades that "survey research has become a scientific tool, . . . able to produce quantified, reproducible information . . . used to test hypotheses or to provide unbiased measurement of quantities or relationships."

   But it has been the computer technology and software developed for file management and statistical analysis that have permitted the efficient and rapid analysis of data. For an extended description of these technological and intellectual advances, see Y. Lucci and S. Rokkan, *A Library Center for Survey Research Data* (New York: Columbia University School of Library Science, 1957), Stein Rokkan in "Data Services in Western Europe: Reflections on Variations in the Conditions of Academic Institution-Building," *American Behavioral Scientist* 19 (1976) 443-454, "National Primary Socioeconomic Data Structures, III: Norway," *International Social Science Journal* 30 (1978) 621-652, and Carolyn L. Geda, "Social Science Data Archives,"*American Archivist* 42 (April, 1979) 158-166.
3. Joseph W. Duncan, "The Demand for Regional and Local-Area Statistics: Issues Concerning the National Response," *Statistical Reporter* 78 (January, 1978) 97-100. Examples of programs requiring the collection and reporting of statistical information on particular populations include the State and Local Fiscal Assistance Act of 1978, part of the Crime Control and Safe Street Act of 1968 (as amended in 1971 and 1973), and the Education Amendments (1974) to the Elementary and Secondary Education Act of 1965. These laws in one way or another delegate responsibilities for data collection and analysis to state and local units of government.

   A number of rich data sources have been created as a result of federally mandated policies. These include large scale data gathering for research and policy analysis by the Office of Economic Opportunity (OEO) for the *Surveys of Economic Opportunity, 1966 and 1977* [machine readable data file], to examine the characteristics of the poor in the United States and the impact of OEO's action programs on those poor people, and, the U.S. Department of Labor's funded surveys, *The National Longitudinal Surveys of Labor Market Experience, 1966-* [machine readable data file], analyze sources of variation in labor market behavior for four age cohorts.
4. The Wisconsin Department of Health and Social Services illustrates the transition toward automation. In increasing numbers since 1977, county social service agencies have had terminals which provide on-line access to a central computer. Application information is in machine readable form instead of hard copy, and the data are updated to reflect changes in a client's situation.
5. David Nasatir, *Data Archives for the Social Sciences: Purposes, Operations and Problems* (Paris: Librarie de L'UNESCO, 1973), Chapter One.
6. The U.S. Bureau of the Census collects data on population characteristics for apportionment, production of goods and services, employment, distribution of

income, homeownership, and frequency of moving. These and other descriptive statistics are useful not only for measuring inequality or for looking at differences between parts of the population, they are also used in analyzing the impact of taxes or other governmental policies on different groups in society. When these data are repeatedly collected over time, they produce information on trends; provide excellent descriptions of the social and economic composition of the nation; and can be used to develop explanations of social, political, and economic processes.

7. Herbert Hyman argues that secondary analysis benefits science in many ways, "all stemming from one fundamental feature of the method. It expands the types and number of observations to cover more adequately a wider array of social conditions, measurement procedures, and variables than can usually be studied by primary surveys. Thus it produces a more comprehensive and definitive empirical study of the problems the investigator has formulated." See Herbert H. Hyman, *Secondary Analysis of Sample Surveys: Principles, Procedures and Potentialities* (New York: John Wiley and Sons, Inc., 1972), p. 11.
8. A good example is the following: In the early 1970 s, David Featherman and Robert Hauser's "Design for a Replicate Study of Social Mobility in the United States," (in Kenneth C. Land and Seymour Spilerman, eds., *Social Indicator Models* (New York: Russell Sage Foundation, 1975), pp. 219-251) replicated and extended Peter Blau and Otis Dudley Duncan's *Occupational Changes in a Generation* [machine readable data file], a survey of the extent and sources of social mobility in the United States. As Featherman and Hauser note, "the . . . value of our research lies in its potential contributions—substantive and methodological—to the construction of a time-series of indicators (both descriptive and analytic) of the distribution of social and economic opportunity in the United States . . . (1) in the assessment of widespread beliefs about equality of opportunity and factors affecting it . . . (2) in locating and defining the problems of specific population subgroups . . . (3) in providing an overall model of the process of social and economic achievement which can serve as a frame of reference for discussions about specific aspects of that process . . . (4) in providing a set of current trend estimates on major features of the process of social achievement . . . and (5) in improving the measurement of processes of social and economic achievement."
9. For example, the State Historical Society of Wisconsin has preserved corporate income tax returns, but until the availability of the computerized record, there was no possibility of maintaining the individual tax returns of all Wisconsin citizens.
10. Not only can the computer protect individual identities, by selectively deleting information, but it can also summarize information which in its raw state could compromise personal privacy. Special techniques can also determine the probability of inadvertent disclosure of individually identifiable information. Whereas archivists traditionally have been wary of accepting confidential information, they are now more inclined to accession this type of material, since they have a technology that assists them in their role of records custodians.
11. One example of data linkage is the *Wisconsin Assets and Income Project.* Here tax returns for a sample of Wisconsin taxpayers, containing summary data available from the archives of the State of Wisconsin for the period of 1946 to 1964, were linked with social security benefit payment and earnings records, supplemental data on ages and deaths from the Wisconsin Motor Vehicle Department (driver's license records) and from the Wisconsin Board of Health (death records), and personal interviews and reports of certain members of the interview sample to obtain reports on their portfolio holdings and recent portfolio changes for a household assets diary. See Martin H. David, William Gates, and Roger Miller, *Linkage and Retrieval of Microeconomic Data* (Lexington, Mass.: Lexington Books, 1974).

12. In the creation of machine readable records, raw data files which are input in the process of record development may be as valuable as the master files. Fishbein notes that "most of the literature about statistical records recommends, with occasional exceptions, the destruction of raw data sources and intermediate tabulations." He also notes that there are no "generally applicable criteria" for the preservation of records of science and technology, but because the interest in the history of science and the effect of technological change on society has increased, archivists must protect the research sources for these areas of history. (Meyer H. Fishbein, "A Viewpoint on Appraisal of National Records," *The American Archivist* 33 (1970) 147.)

Two other examples of categories of records which might and have not been considered of archival value are described by Fishbein and Mitchell. Fishbein cites a study by Robert W. Fogel on the role of railroads in the American economy at the turn of the century. Fogel used the series of Interstate Commerce Commission railroad tariffs to determine freight costs. Fishbein notes that "by our earlier standards such records were, at best, of dubious archival interest" (p. 182). Mitchell cites the destruction of prison records of the Ohio Penitentiary. Their value for sociological research, "to investigate the reasons for self-inflicted wounds among inmates, the reasons for recidivism, and the effects of the work-release program," could have justified their preservation, but they were destroyed on the basis that the information had no value for historical research. See Thorton W. Mitchell, New Viewpoints on Establishing Permanent Values of State Archives," *The American Archivist* 33 (1970) 166.

Charles Dollar, Director of the Machine Readable Archives Division of the National Archives and Records Service, has stated that over the last 25 years the National Archives has preserved only 3 percent of all federal print or textual records. Were the Machine Readable Archives Division to observe this "rule of thumb" for computer readable records, the National Archives "would face the prospect of preserving between 240,000 and 270,000 reels of computer tape as of 1977." (Charles M. Dollar, "Problems and Procedures for Preservation and Dissemination of Computer Readable Process-Produced Data," paper prepared for the QUANTUM-SSHA Conference on Quantification and Methods in Social Science Research: Possibilities and Problems with the Use of Historical and Process-Produced Data, Cologne, West Germany, August 9-12, 1977, p. 9.) Fishbein demonstrates optimism with his statement that the computer has made it possible to deal with voluminous records and suggests that archivists must reject "the idea that the volume of information is a deterrent to research." (Fishbein, p. 183). Nevertheless, recent public records *are* of a voluminous nature and are expected to increase exponentially in the coming decades. As a result, decisions about which records to retain become far more difficult than they were in the past.

Whereas once the paper record constrained the amount of information that could be retained, the computer imposes few constraints on the number of pieces of information which can be stored. For example, the *National Longitudinal Surveys of Labor Market Experience* [machine readable data file] contain thousands of items of information for each of four age groups (cohorts) surveyed. Each cohort has been interviewed on an almost yearly basis since 1966-67. The size of each logical record (information for one individual) now approaches 20,000 characters of information, some several thousand separate items, and increases by about 2-3,000 characters yearly. Documentation describing these items now exceeds 2,000 pages per cohort. To understand the informational items and the relationships to each other and across years and to retrieve selected pieces of information with appropriate computational equipment and software require resources available only to highly sophisticated and well trained analysts working in experienced computational settings.

13. Without proper documentation data items from several sources may appear to be from the same initial documents. It is useful when linking data from different sources to maintain a certain degree of redundancy of data items, since this facilitates validation of data origin. An analyst might link certain items from death records, other items from health records; several variables containing the same information would be retained as a check on the accuracy of the record linkage. Without proper documentation, another analyst (or even the individual who linked the data files) might not be able to identify and rectify inconsistencies or original errors. Many data files can only be used with special purpose statistical and data management software which imbeds the records in a specially designed internal structure. This structure constrains the use of these records to a computing environment which provides the same software and data base management systems. There are greater costs associated with machine readable records than with other records. Expenditures include more specialized archives staff, a greater capital investment in materials, equipment, and support services.
14. The National Archives Machine Readable Archives Division, for example, provides data dissemination services, tailored to meet individual user needs, rather than merely providing a full set of data; in this way, the Division takes on a new function, typically reserved for an information service.
15. Computer technology has progressed with extraordinary rapidity, to the extent that various computers used less than 15 years ago are no longer available. This means that data files designed to be used with particular computers may not be usable on contemporary machines. In fact, this is a problem faced by the U.S. Bureau of Census, where data files created in the early 1960s, cannot be transported to any other installation because only the Bureau has the equipment to read these data.
16. The creation of machine readable data files is not regarded as a legitimate administrative or scholarly activity because the file only serves the end of providing information or providing a tool for publication. For example, social scientists are not rewarded for producing clean data. There are few professional incentives for making data available to another analyst. Federal agencies, which provide the bulk of funding support for data collection, do not require that data be available as soon as primary analyses are completed or within a specified time period, thus providing incentives for good data preparation (which will more easily occur in an environment where it is known that the data will be evaluated at the time a report is made public). Professional journals do not require that a data file upon which an analysis is based be submitted at the same time the article is submitted for publication. The General Accounting Office is only now beginning to consider guidelines for data quality evaluation. (See Alice Robbin, "The Data Archive Perspective on Machine Readable Data for Secondary Analysis: Technical Standards for Text Documentation, Quality Data, and Improving Access to Information," paper prepared for the Alternative Designs Conference, National Institute of Education, Washington, D.C., October 30-31, 1978, pp. 21-22.)
17. Hedrick, Boruch, and Ross describe a variety of problems they encountered with inappropriate aggregation, problems which reduced the utility of evaluative data for answering specific research questions. Their examples range from data files where an individual's total achievement test scores and total inventory scores are retained, but not the individual's response to each item within a test or inventory; to RAND analyses which included data aggregated at the classroom level which led to conclusions that the Alum Rock Voucher Program had either no effect or

negative effects on student achievement scores. (Terry E. Hedrick, Robert F. Boruch, and Jerry Ross, "On Ensuring Availability of Evaluative Data for Secondary Analysis," *Policy Sciences* 9 (1978) 259-280.

18. These include such items as geographic location, occupational and work history, educational institutions, electoral districts, political affiliation, industry, payroll periods for employment reports, governmental agencies, nation-states, and biographical information on political elites. The federal government, through the Office of Federal Statistical Policy and Standards sets recommended guidelines for coding standard data items. For a further discussion of this issue, see A. R. Eckler and Thomas J. Mills, "Planning and Coordination of the Federal Statistics System," *Statistical Reporter* 78 (January, 1978) 97-108.
19. The rapidly growing computer storage and retrieval technology includes the development of data base management systems which allow a user to access different files from different locations, bring these files together, select elements of these files, and create entirely new files on a temporary basis. Dollar comments on the effect of this new technology: "Problems of provenance could become insoluble, since there would be no so-called audit trail to reveal the sources of data." (Charles M. Dollar, "Appraising Machine Readable Records," paper prepared for delivery at the Annual Meeting of the Society of American Archivists, Salt Lake City, Utah, September 30-October 4, 1977, p. 11.) Steve Johnson notes that "the universe of potentially accessionable machine readable data is so large and so little subject to intellectual control by librarians, archivists, or subject specialists, that the importance of a given record, relative to other files, is difficult to determine." (Steve Johnson, "File Documentation as a Key to the Appraisal of Machine Readable Data Sets," student paper prepared for F. Gerald Ham, Madison, Wisconsin, 14 September 1977.)
20. See Alice Robbin, "Characterizing Text Documentation as a Minimal Information Management System," *SIGSOC Bulletin,* 4/5 (1974/75) 56-68; Alice Robbin, "Systemic, Structural and Policy Problems of Access and Retrieval of Numeric Machine Readable Data, Some Modest Solutions To," *Proceedings of the Association for Population/Family Planning Libraries and Information Centers-International Eleventh Annual Conference,* (1978) 125-146; and Robbin, "Data Archive Perspective."
21. An example of the fragility of this medium is worth recounting. More than a year ago, the Data and Program Library Service bought 150 magnetic tapes which were guaranteed to last 20 years. These tapes were used to write data files which are intended for long-term retention. Within a year, these tapes had deteriorated. Obviously, there was poor quality control when the tapes were manufactured, but this could also have been exacerbated by tape drive problems.

    Poor humidity and temperature conditions hasten the deterioration of magnetic tape. Also, if the tape is not turned every 2-3 months and not rewound and used every several years, it can stretch and cause data destruction. Careless handling by computer operators and poorly balanced computer tape drives can harm the magnetic tape and its contents. However, recent technological developments in new storage media, such as the "miracle chip". suggest that within two decades, institutions will be able to retain enormous amounts of data on a very small device, which will also ensure more stable storage conditions. For a good discussion of the future of storage devices for machine readable data, see Carl Hammer, "A Brief Forecast of Computation Information and Management," *The International Journal of Management Processes and Systems* 1 (1977) 3-10.
22. See *Personal Privacy in an Information Society,* The Report of the Privacy Protection Study Commission, (Washington, D.C.: U.S. Government Printing Office, July 1977) for a full discussion of the principals and requirements of the Privacy

Act of 1974 and legislative recommendations made by the Commission to protect the privacy of individuals.

23. Alice Robbin, "Ethical Standards and Data Archives," in Robert F. Boruch (ed.), *Secondary Analysis* (San Francisco: Joseey-Bass, Inc., 1978), 7-18.
24. Laura A. Guy, "Personal Information Privacy and the Archive: A Dilemma for the 1970 s, . . . and Beyond," student paper prepared for F. Gerald Ham, Madison, Wisconsin, December 1978.
25. For a description of the various state statutes, see Charles Knerr, *Confidentiality of Research and Statistical Data: A Compendium of State Legislation* (Washington, D.C.: National Criminal Justice Information and Statistical Service, Law Enforcement Assistance Administration, U.S. Department of Justice, 1978). Increasingly, the federal government is applying strict criteria to what information may be collected, what information shall be released, and who shall have access to the information. See Robert F. Boruch and Joseph S. Cecil, "Privacy Legislation, Its Character, and Its Accommodation by the Social Research," paper presented at the Alternative Designs Conference, sponsored by the National Institute of Education, Washington, D.C., October 30-31, 1978, for a wide ranging discussion of the effect of federal statutes on social research. See also *Privacy and Security of Criminal History Information: Summary of State Plans (Washington, D.C.: National Criminal Justice Information and Statistics Service, Law Enforcement Assistance Administration, U.S. Department of Justice, 1978) for a description of the development of legislation at the state level to deal with the issues of privacy and security* of criminal history information. *Privacy and Security of Criminal History Information: Compendium of State Legislation* (Washington, D.C.: National Criminal Justice Information and Statistics Service, Law Enforcement Assistance Administration, U.S. Department of Justice, January 1978) is an important monograph for all state archivists.

    While the U.S. federal policy on access to microlevel data is far less restrictive than the policies of most West European nations, the federal government and research community are taking a conservative view and are erring, on the side of increased restrictions on access. See Paul J. Miller, ed., *Proceedings of the CESSDA/IFDO International Conference on Emerging Data Preparation and the Social Sciences' Need for Access to Data* (Cologne, West Germany: Zentralarchiv fur Empirische Sozialforschung, 1979).
26. Robert J. Anderson's student paper "Public Welfare Case Records: Archival Perceptions and Archival Practices," prepared for F. Gerald Ham, Madison, Wisconsin, 18 December 1978, describes the refusal of many state archivists to deal with public welfare case records because of their confidentiality problem. Confidentiality is deemed the most significant barrier to accessioning by archivists who participated in his survey.
27. Maynard J. Brichford, *Archives and Manuscripts: Appraisal and Accessioning* (Chicago: Society of American Archivists, 1977), p. 8.
28. The *Graduated Work Incentive Experiment in New Jersey, 1968-1972* [machine readable data file] is an excellent example of a machine readable record series worthy of retention because it documents the U.S. government's decision to fund a major research project with important policy implications. Data were collected with instruments designed to yield reproducible information which could be tested against data collection by other agencies (U.S. Bureau of the Census, *Current Population Surveys* [machine readable data files]; and University of Michigan Institute for Social Research, *Panel Study of Income Dynamics* [machine readable data file]). The records of the project, correspondence, original paper records (now microfilmed) provide a history of the personnel, relationships between data subjects,

project staff, and government, and outcomes of federal agency program support for policy purposes. See D. Kershaw and J. Fair, *The New Jersey Income-Maintenance Experiment, Volume I: Operations, Surveys and Administration* (New York: Academic Press, 1976) for a very readable discussion of this project.

29. For example, there are a number of important one-time surveys which have been made over the last 20 years, which although not replicated, provide us with important insights into the health of the nation. A number of surveys within the *Current Population Surveys* [machine readable data file] series contain questions which were asked at only one point in time. This does not mean that these questions will not be asked again in the future, as we see from an Institute for Social Research (University of Michigan, Ann Arbor) study made first in 1957 and just recently replicated *(How Americans View Their Mental Health* [machine readable data file]).
30. Robbin, "Characterizing Text Documentation." See also Paul T. Zeissert's position paper "Some Views on Good Documentation," in National Bureau of Economic Research Conference, *Standards for Documentation of Large Social Science Statistical Data Bases* (New York, April 18-20, 1974) 2.
31. Brichford, *Archives and Manuscripts,* p. 8.
32. Harold Watts, "Microdata: Lessons from the SEO and the Graduated Work Incentive Experiment," *Annuals of Economic and Social Measurement* (1972) 184.
33. Dollar, "Appraising Machine Readable Records," 12.
34. Ben DeWhitt, "Archival Uses of Computers in the United States and Canada," *American Archivist* 42 (April, 1979) 152-157.
35. *Personal Privacy in an Information Society,* p. 586.
36. Brichford, *Archives and Manuscripts,* p. 9.
37. A variety of technical procedures have been devised to prevent disclosure, but not inhibit or constrain secondary analysis. (See Robert F. Boruch, "Educational Research and the Confidentiality of Data: A Case Study," *Sociology of Education* 44 (1971) 59-95; Boruch, "Strategies for Eliciting and Merging Confidential Social Research Data," in P. Nejelski, ed., *Research in Conflict with Law and Ethics* (Cambridge, Mass.: Ballinger, 1976); and Donald T. Campbell *et al.*, "Confidentiality-Preserving Modes of Access to File and Interfile Exchange for Useful Statistical Analysis," *Evaluation Quarterly, A Journal of Applied Social Research* 1 (May, 1977) 269-300.) The recommendations of the Privacy Protection Study Commission on the release of and access to microlevel data for statistical research represent a sensible approach to the problems of data disclosure; but few members of federal or state agencies appear familiar with the Commission's recommendations. *Ad hoc* decisions on release and access by members of federal agencies will continue to be a problem until enough expertise exists to make rational decisions on access to microlevel data (Robbin, "The Data Archive Perspective," October 1978, p. 23).
38. T. R. Schellenberg, *Modern Archives: Principles and Techniques* (Chicago: The University of Chicago Press, 1956), p. 133.
39. *Ibid.*, p. viii.

MINI-CLASSES: A WAY TO INTRODUCE RESEARCHERS TO RESOURCES

DALLAS LINDGREN CHRISLOCK

"The census microfilms are located..., The card catalog..., Photocopies cost..., The inventories..., Calendars are..., The State Archives include...." These or similar phrases are well known to any archivist working anywhere at any time in reference service. Archivists make available to researchers a repository's thousands or millions of pieces of paper — letters, tickets, scrapbooks, diaries, journals, ledgers. After all of these pieces of paper have been collected, cleaned, arranged, described, and sorted, their ultimate importance rests with their use by the researcher and historian of today and tomorrow. Reference service is the point in the archival process at which these discrete materials make contact with a user. The user imposes an historical perspective, a subjective theory, an open questing search, or a preconceived conclusion on these myriad paper objects and produces from this research an article, a book, a government agency report, a school paper, a dissertation, a newspaper article, a family history, a children's novel, a drama. The culmination of all the archival processes of collecting, preserving, and preparing is the use of the materials by an individual.

Gleaned from bits of reading and conversations and formal sessions at archival and historical conventions, I have the following picture of the archives and manuscripts researcher of the not-so-distant past and of the reference assistance he or she received. The traditional user of manuscripts and archives was the academic scholar — one who, beginning with dissertation research and continuing with the publication of articles and books, would dutifully check for his or her topic in whatever manuscripts guides were at hand. He or she would write to an archives, announce an imminent arrival, and often produce a letter of introduction from a recognized scholar. Once at the archives the researcher would meet with the archivist. Researchers were few (for few knew of the sources), so the archivist would spend a great deal of time in the preliminary interview, continuing later with conversations over coffee. The pace was slow, the atmosphere congenial, the tone that of scholarly restraint. Prize bits of information, from the archivist's years of experience as collector, cataloger, and fellow historian, would be offered to the scholar. The archivist would sit back in satisfaction at this handmaiden's role in the scholar's production of knowledge. A bit overdrawn, perhaps, but I have heard lingering nostalgia for such good old days.[1]

My more recent experience with manuscripts research, both as a researcher and as a reference archivist, gives me a much different picture of the reference function. In the 1970s a great many Americans developed an historic awareness. The Bicentennial and "Roots" played their roles; even Gothic romances may have aided this growth of an interest in history. Researchers who did not necessarily have any background in the use of primary sources (or even of libraries) were using manuscript records to write church and community histories, to trace their families back through the years and across America to other continents, or to document the history of a building in order to restore or recycle the structure with historic integrity.

When I was a beginning researcher, I did not know of the basic guides to manuscript sources, nor did I realize the scope and usefulness of inventories. I wanted to have the papers in my hands and proceed to read. This approach was derived from research in published sources — with the book or journal in hand, on with the research. From this experience, I understand the initial hesitancy of many novice researchers in exploring finding aids and other reference tools. The reference service truly must be one of outreach.

A new outreach program in the Division of Archives and Manuscripts of the Minnesota Historical Society grew from a variety of factors: the increasing number of researchers, the knowledge that researchers have many unasked questions, and the problems resulting from having only a small reference staff to service a large collection of both private papers and public records. These provoked questions of how to provide the introductory reference aid that researchers need and deserve, how to lead the individual to the tools needed for digging into the masses of sources, how to serve both the professional and the lay historian.

The Minnesota Historical Society holds more than 55,000 linear feet of papers and records. Research use has grown from less than 400 in-person researchers in 1958 to more than double that figure by 1965, to 2800 researchers in 1975, and to almost 4000 in 1978. Minnesota history, recent U.S. political history, immigration, settlement, the fur trade, genealogy, lumbering, and railroads across the northwestern United States are among the topic areas of research available.

As the number of patrons grew, the number of questions and the need for all kinds of assistance grew as well. The number of reference staff did not increase proportionately. An efficient and effective way of providing basic information about research materials to the various users of the collections was needed, as well as a way of continuing to give in-depth assistance beyond the traditional entrance interview and one-to-one conversation.

In the spring of 1978, the Division of Archives and Manuscripts instituted the first in a successful program of mini-classes. They proved easy to implement, and could be adapted to almost any repository. Offered at a set time weekly or biweekly, they provide researchers with some of the background information necessary for successful use of the rich primary sources available. Because more than 50 percent of our researchers were working on family histories, the first mini-class was "Genealogy Research in Archives and Manuscripts." Originally aiming at 15 to 30 minutes for presentation and discussion, we quickly learned that 30 minutes was a good length but that care must be taken to keep within that time span. Within a year, we were offering five to six classes weekly.

Classes are held informally in the reading room. There is no registration, no fee. They meet around a table next to the card catalog and the other finding aids, so that these tools will be ready at hand for show-and-tell and explanation. On occasion no one appears for a class, but presentations have been given to one or to fifteen people, with an average attendance of five or six. (The reading room holds 29 people.) A class is offered at the same time and the same day of the week for at least two or three months. We then re-evaluate and if necessary reschedule in order to tap the busiest periods of use. At present there are six regularly scheduled mini-classes: "Introduction to the Manuscripts Reading Room," "Genealogy Research in Archives and Manuscripts," and "Introduction to Railroad Records," all offered weekly; and "Guide to Resources in the State Archives," "Research in Manuscript Collections," and "Genealogy Research in the State

Archives," offered biweekly. The teaching of these classes is divided among the three professional reference staff members. The classes, and their content, are keyed to the interests and expertise of the staff, and reflect the needs of our patrons and the research strengths of the collections.

Mini-classes can be held with a minimum of cash outlay. The major cost is in staff time, but this time is quite cost-effective. Rather than repeating the same information in individual interviews, basic information, plus more, can be presented to a group. Questions sparked by the group can broaden the individual researcher's perspective on the sources. Individual guidance is not eliminated, but is supplemented by these more general introductions. A researcher who cannot attend a mini-class will still receive needed information through one-to-one consultations with the reference staff.

The staff member responsible for developing a new class has to take some time to prepare a presentation and gather examples, usually one to four hours. Since the mini-classes draw on the existing knowledge of the reference staff, the preparation process mainly involves organizing a systematic approach. A course preparation outline (Figure 1) is made for each mini-class. The outlines are kept on file so that another member of the reference staff can take over a class if necessary. The information imparted in a mini-class is that which each reference professional should be able to provide to an inquiring member of the public. The class merely institutionalizes this process. Equivalent information is made available to all, not just to a favored few, or not just to those who happen to catch the reference person in an unhurried moment.

Whether in a public or private research facility, mini-classes such as these can ease the repetitious work in reference while enabling the staff person to provide more in-depth aid to the researcher who requires it. The genealogist may not need to know all the ins and outs of state archives arrangement; a mini-class on genealogy records in state archives will answer his or her preliminary questions. More time is then available to assist the researcher who is searching, for instance, for documentation of earlier legislative activity, such as the formation of the highway department, and requires some special aid.

There have been some interesting offshoots of the mini-classes. The common reference procedure is to have a researcher fill out a registration form, provide identification, state the research topic, and give the

FIGURE 1

Guide to Resources in the State Archives

Development Schedule:

1. **Goals of session**

   Review the holdings of the state archives, give a brief history of the archives, show examples of materials from such offices as Sec. of State, Governor, Territorial archives, and local records

2. **Preliminary research needed**

   Show the archives notebooks, checklist, and call slips
   Give history of archives (outline on back of sheet)

3. **Outline**

   1. Secretary of State- election abstracts
   2. Territorial Archives-enrolled laws
   3. Local records, Dakota Co., Eagen township
   4. Governor records

4. **Illustrative material**

   a. Actual items: Sec. of State., 58-I-3-6F, Governor 56-B-4-3B, Dakota Co. 46-A-5-6F, Mn. territorial archives 58-C-9-9B

   b. Good verbal examples: 22,000 linear feet. Records range from Athletic comm., to Bicentennial Comm., to governors records

   AA 16(Jan. 53: 39-44) "The Development of an Archival Program in Mn."
   AA 26 (July 63: 355-360) "Mn-The State Archives and Records Service Reconsidered"

   c. Specialized speakers:
   DPS on acquisitions and accessions. MM on arrangement

Time of presentation __________ Frequency offered __________

First offered __________

research purpose, such as a book or article. A hypothetical patron comes to do family research. She attends the genealogy mini-class and proceeds to search the census and church records. She is in the reading room when "Introduction to the Manuscripts Reading Room" is offered. Curiosity sparked, she attends this second class. It turns out that she is a high school American history teacher, whose hobby is genealogy. She now discovers that this repository has materials that can be adapted for use by her senior class, and that there are materials that some other students could use in an upcoming project. The traditional entrance interview and the registration form would not necessarily reveal this identity and interest of a genealogy researcher. As another example, an experienced research historian comes to work on his latest study, the settlement of a Montana town. He feels he knows all there is to know about this repository. But since he was last here, years ago, there have been changes. He attends the "Introduction to Railroad Records" class on the advice of the archivist, and discovers that these records might provide data on the early settlement of the community under study. In addition, he can pursue his model railroad hobby through use of steam locomotive drawings. Or a state government employee comes to use records in the state archives and discovers that the "Guide to Resources in the State Archives" class facilitates his dive into regulatory agency records. But he also discovers that this repository has more than state archives, and later returns to research the history of his church for a centennial publication.

A new addition to the program is subject-oriented mini-classes. Each is initially offered only once, but may be repeated from time to time if researcher interest seems to justify doing so. The first topics covered were business records, church records, and family papers. Descriptions of the types of materials available in the collections and the research possibilities inherent in the materials are emphasized.

The cash outlay for these classes comes in producing publicity materials. We are fortunate in having a bimonthly historical society newsletter that is mailed to all members. Announcements of the mini-classes appeared in this, but only after they were off to a successful start through hand-drawn announcements posted in the four historical society research rooms (library, newspapers, audio-visual, and manuscripts/archives). A quarterly calendar of historical events also lists the classes. People often come, calendar in hand, specifically to attend a class. After the hand-lettered signs, we daringly expanded and made thirty photocopies of a flyer. These were distributed to the various MHS buildings and to some libraries in the Minneapolis/St. Paul metropolitan area. When we received phone calls requesting more copies, we decided that a larger "printing" and distribution might be useful. For the next series we sent commercially photocopied flyers (at a total cost of $7.00 plus postage) to libraries, regional history centers, local historical societies, and history departments of area colleges and universities (see Figure 2). We do not know which publicity draws our audiences. But people do come specifically for a class; others come to research, hear or see an announcement for a class, and attend one or more.

One of the initial ideas was to produce reference leaflets that would summarize and reiterate the core information of each mini-class. These would be handed out at the sessions, they would be available to researchers who could not attend the class, and they could be used in mail responses. This idea is yet to be initiated.

Mini-class information can also be supplemented by less formal handouts; photocopied or mimeographed sheets are appropriate. Lists of significant collections in a given area, descriptions of basic financial records for the subject talk on business records, a summary sheet of suggested citation formats for differing forms of collections, a list of the available census records — these are only a few examples of handouts that can be inexpensively produced and provide useful information for the researcher.

The basic requirements for a mini-class are: information sources, a person with specialized knowledge of these sources, people who want to use the sources, a table and chairs, a flyer, 30 minutes a week, and initial preparation time of one to four hours. Whether in a large or small repository, the mini-class could prove a useful addendum to the reference services. All repositories have their publics, and most repositories wish to increase use of their resources by these publics. Outreach of this type, which requires little time and expense to prepare and carry out, can aid in attracting people to the resources by explaining them in a nonthreatening manner, can be adapted for use with college-level classes seeking an introduction to the tools of primary research, and can aid the archivist in providing relevant research assistance.

Teaching is part of the reference archivists's service. All reference archivists instruct, whether formally trained to do so or not. If an archivist can explain the sources and provide guidance for the project

FIGURE 2

M I N I - C L A S S E S

at the Minnesota Historical Society Research Center
1500 Mississippi Street, St. Paul, MN

Weekly Classes

INTRODUCTION TO THE MANUSCRIPTS READING ROOM
Tuesdays, 10:30 to 11:00

GENEALOGY RESEARCH IN ARCHIVES AND MANUSCRIPTS
Tuesdays, 2:30 to 3:00

INTRODUCTION TO RAILROAD RECORDS
Wednesdays, 10:30 to 11:00

Other Classes

GUIDE TO RESOURCES IN THE STATE ARCHIVES
Thursdays, (Dec. 14, Jan. 11, Jan. 25, Feb. 8, Feb. 22); 10:30 to 11:00

RESEARCH IN MANUSCRIPT COLLECTIONS
Thursdays (Jan. 4, Jan. 18, Feb. 1, Feb. 15); 10:30 to 11:00

GENEALOGY RESEARCH IN THE STATE ARCHIVES
Fridays (Dec. 8, Dec. 22, Jan. 5, Jan. 19, Feb. 2, Feb. 16); 2:30 to 3:00

for further information, call Reference Services, Division of Archives and Manuscripts, Minnesota Historical Society (612)296-6980 of one researcher, she or he can do the same in a small group situation. There need be no cash outlay for the classes, if the budget is limited. A sign in the reading room announcing regularly scheduled classes will inform the researchers, intrigue them, and attract them. Mini-classes do not remove the opportunity and need for one-to-one reference guidance, but do provide more opportunity for this. Because most researchers will receive the basic information in a group situation, there is more time to work with individuals on specific problems. When a researcher cannot attend a mini-class, the archivist can provide the information on the one-to-one basis, as in the past. The group dynamics of a class situation enable researchers to learn more from the interaction of their questions; both neophytes and veterans can ask questions in a nonembarrassing setting.

Within the first year we heard that another manuscript repository was interested in the mini-class idea and has instituted classes for its patrons. Even in our world of copyright concerns, imitation can be flattering.

FOOTNOTE

1. An interesting discussion of "archival atmosphere" is found in Laurence R. Veysey, "A Scholar's View of University Archives," in *University Archives*, ed. Rolland E. Stevens (Ann Arbor: Edwards Brothers, Inc., 1965), pp. 82-93, especially pp. 88-93.


AUSTRALIA
DARWIN
NORTHERN
TERRITORY
QUEENSLAND
WESTERN
AUSTRALIA
SOUTH
AUSTRALIA
BRISBANE
NEW SOUTH
WALES
PERTH
ADELAIDE
VICTORIA
SYDNEY
CANBERRA
MELBOURNE
TASMANIA
HOBART
AUCKLAND
PALMERSTON NORTH
WELLINGTON
CHRISTCHURCH
DUNEDIN
NEW ZEALAND

KIWIS, KANGAROOS AND BALD EAGLES: ARCHIVAL DEVELOPMENT IN THREE COUNTRIES

THOMAS WILSTED

Comparisons are always difficult, and the person making the comparison is often accused of trying to liken apples to oranges or bananas to watermelons. In trying to compare archival development in the United States to that of Australasia — that is, Australia and New Zealand — I too may be treading this path.

Certainly the United States is considerably more advanced than either Australia or New Zealand in archival development. To discover any pattern that explains this is difficult. However, one area I have investigated is that of the ratio of sheep raised to the entire population. In New Zealand, probably the least developed archivally, there is one person for every 20 sheep. Australia, slightly more developed, has one person for every 16 sheep. The United States, much more advanced, has only .07 sheep for each person. Following the promulgation of Wilsted's Law Number One (i.e., archival development is inversely proportional to the number of sheep per person), I tested this hypothesis on our neighbor, Canada. This clearly verified Wilsted's Law, since there is only .02 sheep per person, indicating what we already know — that the archival profession in Canada is advanced over that in the United States.

In many respects Australia, New Zealand, and the United States could not be more unlike. The United States was discovered in the fifteenth century, explored in the sixteenth, and settled in the seventeenth. While beginning as a colony of Great Britain, it broke these bonds in the eighteenth century, formed a republic, and grew during the nineteenth and early twentieth centuries into a highly industrialized nation of over 200 million people. It is an urban country, with archives at the federal, state, and local levels, along with numerous university, business, and specialized archives.

Australia and New Zealand are in striking contrast. Both countries were discovered and charted by the Dutch during the seventeenth century, but remained unsettled. They were "re-discovered" by Captain James Cook during his monumental three voyages of exploration from 1769 to 1778. Cook's accurate charts and reports of the new countries kindled an interest in the South Pacific, and the settlement of Australia began in 1778 with its first penal colonies. New Zealand, however, remained largely unsettled during the eighteenth and early nineteenth centuries, with the exception of whalers, sealers, and missionaries sent to convert the native Maoris. Organized English settlement began in 1840, with the first ship sent out by the New Zealand Company.

In addition to being much younger countries than the United States, they are unlike in a number of other significant ways. New Zealand is only about the size of Colorado and has a population of just over three million. It has always maintained a strong link with Great Britain and the British Commonwealth, and Elizabeth II is recognized as Queen of New Zealand. It is largely dependent upon agriculture and the export of beef, sheep, and dairy products. It has a strong central government composed of a prime minister and a House of Representatives. Official archives are held at the national and local government levels, and private papers are in perhaps a half dozen other repositories, including the Alexander Turnbull and Hocken libraries, the two largest outside of the National Archives.

While Australia is approximately the same size as the United States, it has a population only slightly larger than that of Pennsylvania. Although its population is largely urban, much of its wealth comes from agriculture and from large mineral deposits. It, too, remains a member of the British Commonwealth, but under a federal form of government, with a central and six state governments as well as local government bodies. Each creates archives, as in the United States. There are the National Archives, six state archives, and a number of strong archival programs located in universities and public libraries.

While these differences between Australasia and the United States are significant, there are some similarities that are important. The first is that they are all "modern" countries with only a short history of record keeping. Nearly all of their documents are in the English language and composed on paper. All three countries are relatively young and dynamic, and all went through a frontier stage. Each had a native population that was overpowered by white settlers who fought to obtain land so that it could be owned and farmed according to European methods. Immigrants in later years brought new customs and, of course, documents in languages other than English. Although neither the American Indians nor the Australian Aborigines left any substantial volume of records in their native languages, the New Zealand Maoris were introduced to a written language by nineteenth-century missionaries, and a significant amount of both government and private papers of the nineteenth and twentieth centuries are written in the Maori language.

In archival development, a pattern of similarities and differences continues. The development of archives in the United States came much earlier than in either New Zealand or Australia and it had a different impetus. While much work remains to be done on the archival history of the United States, it seems clear that the professional historian and the American Historical Association were major factors in bringing about professional archival institutions in the United States.

European-trained historians saw the need for the proper arrangement and preservation of records, and with the development of the "Scientific School of History" and an emphasis on institutional history, the involvement of the historian in archives became inevitable. Led by Dr. J. Franklin Jameson, the American Historical Association formed the Public Archives Commission in 1899. Through the use of state archival surveys, varying considerably in quality, they were able to convince many states to establish state archives and enact archival legislation.[1]

While historians played an equally important role in establishing the National Archives, their success did not come as quickly or as easily. Beginning in 1907, J. Franklin Jameson led the fight to impress upon presidents, senators, and congressmen the need for a National Archives building and a National Archives bill. Although supported by the AHA, the struggle to create a National Archives took more than twenty years, with the cornerstone for the National Archives building being laid by Herbert Hoover in January, 1933, and an archives bill finally being passed in June, 1934.[2]

The greatest activity and expansion during the 1940s and early 1950s lay with the National Archives; but by the late 1950s both official archives and collections of private papers in universities and other repositories were expanding rapidly. From a handful of programs, the 1960s saw an unprecedented expansion that matched the growth of higher education. This expansion continued on into the 1970s, encompassing business, religious, and other special archives, as Americans' interest in their history and in the importance of one's heritage helped create a continuing interest and support for archival programs.

While archival development in the United States came later than in European countries, the development in Australasia began even later. Its subsequent growth and maturation have also been much slower and less spectacular.

ARCHIVAL DEVELOPMENT IN NEW ZEALAND

There were several schemes to establish government archives in New Zealand in the late nineteenth and early twentieth centuries. The first concrete step was the appointment of Dr. G. H. Scholefield in 1926 as Controller of Archives, in addition to his responsibilities as Parliamentary Librarian. Although this responsibility was added as a rationale to increase the Parliamentary Librarian's salary, Dr. Scholefield was extremely interested in New Zealand's history and made a concerted effort to collect and preserve important government archives.[3]

Material from government departments throughout New Zealand was stored in the attic of the General Assembly Library in Wellington. Eric McCormick, secretary of New Zealand's Centennial Historical Committee, made an attempt to organize them during the period leading up to New Zealand's centennial celebration in 1940, but the onset of World War II halted progress along these lines.

However, the war brought a new opportunity for archival development. McCormick was appointed to collect and collate the military records being created as a result of the war effort, so that a detailed and accurate history of New Zealand's involvement could be written. This project grew with the size of the country's war effort, and in 1944 McCormick was named Chief War Archivist and given a number of supporting staff.[4]

New Zealand nearly moved into a full-scale archival program at the end of World War II, when McCormick made a proposal that would have included an adequate staff, physical facilities, archival legislation, a survey of noncurrent records, and a microfilming program. This proved too ambitious for a government trying to readjust to the post-war situation, and McCormick soon left for a teaching post at the University of Aukland.

For the next eight years, the National Archives struggled along with a staff of from one to three people (none of whom had professional training when they started), with no archival legislation, and for the most part still working in the attic of the General Assembly Library, with records stacked on the floor because the floors could not support the weight of archival shelving.

In 1950, archives in New Zealand began to attract some public interest. The need for a strong government archives was first raised publicly in an address by the chancellor of the University of New Zealand, Sir David Smith. This resulted in some publicity, but involvement and support in a more formal way came not from historians but from librarians. The number of historians was small, nearly all were doing research on European or British topics, and there was not even a New Zealand history course taught at the university level.

The New Zealand Library Association held an archives seminar at its 1950 conference, to discuss means of upgrading the National Archives and of preserving records in local areas. In addition, the Library Association's president approached New Zealand's Minister of Internal Affairs, who was responsible for the National Archives, to express the concern of his members over its low status and poor working conditions.

Led by Frank Rogers, an archivist and the librarian of the University of Otago Library, Dunedin, the Association formed an archives committee in 1951 and continued its active involvement over the next few years. A survey of records in local areas was carried out by committee members, the committee appointed people with some archival knowledge in various geographical areas to give aid and advice to local authorities in disposing of records, and a basic manual on the care of archival materials was published.[5] In addition, the Department of Internal Affairs approved a plan to allow national government archives in areas outside of Wellington to be deposited in regional institutions, including university libraries and historical societies. This program was one of desperation since the National Archives had neither space nor staff to deal with records in the Wellington area, let alone outside the capitol.

While librarians were the main nongovernmental force supporting a strong government archives, fate entered into the decision-making in the form of a fire in a government building housing three floors of departmental records. The vocal reaction by librarians and two or three historians was strong, but the bureaucracy's response was slow in coming. While the fire took place in 1952, it was 1954 before the National Archives moved out of the attic of the General Assembly Library and 1957 before a national archives act was passed.

ARCHIVAL DEVELOPMENT IN AUSTRALIA

The archives situation in Australia was slightly different from that in New Zealand, with records being generated first by the states, and after the establishment of the Federal Commonwealth in 1901 by the national government. At the state level, little happened before World War II, with the exception of the establishment of an archives department in the Public Library of South Australia, Adelaide.[6] As early as 1926, professors Ernest Scott and George Arnold Wood had recommended to the Library Committee of the Commonwealth Parliament that a Commonwealth Record Office be started.[7] Little came of this recommendation and, as in the case of New Zealand, the gathering of wartime records proved the impetus for regularizing the collection and preservation of the records of the national government.

Following the report of a War Archives Committee in 1943, two persons were appointed the next year to collect and evaluate wartime records. One represented the Australian War Memorial, whose special concern was the unit records generated at the front lines. The other represented the Commonwealth National Library in Canberra, whose purview included official government records in all other areas. While the Australian War Memorial's active involvement ended with the war and the writing of the official histories of the various military units, the Commonwealth National Library continued as an official archival agency and its staff had grown to nine by 1956.[8]

During and immediately following World War II, there was a rash of archival appointments and archival legislation. Authorizing legislation was passed in Tasmania and Queensland in 1943, and archives officers were appointed under the jurisdiction of the state libraries in Western Australia in 1945, Victoria in 1948, Tasmania in 1949, and New South Wales in 1953.[9] The close link between archives and libraries was furthered through the fact that the only training and organizational affiliation for archivists was under the auspices of the Library Association of Australia and its archives committee. The Australian Society of Archivists was not established until 1975.

The first break in library dominance came when the Archives Division of the Commonwealth National Library was separated and renamed the Commonwealth Archives Office under the Prime Minister. At this point, it was still operating without enabling legislation, and the Interdepartmental Committee on Commonwealth Archives, which met from 1962 to 1964, never presented its final report to the Prime Minister.[10]

PRIVATE PAPERS

While government archives were being established in the 1950s and 1960s in Australia and New Zealand, the collecting of private papers began to grow. In Australia, the premier collection was undoubtedly in the Mitchell Library, Sydney. This was established by a private collector soon after the turn of the century and was later incorporated into the State Library of New South Wales. In its early period it collected the papers of influential pioneers and politicians, but during the 1950s it moved out into a wide range of subjects. The Commonwealth National Library in Canberra had also emerged as an agressive collector by the 1950s, with the aim of building a "national collection." With the long lead established by the Mitchell Library, this was to prove an impossibility; but with large sums of money it was able to buy or otherwise acquire a large portion of the nineteenth- and twentieth-century material still available, as well as to build a substantial collection of twentieth-century political papers.

The 1950s also saw the development in Australia of collections built with the support and interest of professional historians. These were connected with both the national and state universities and came out of a growing interest and involvement by historians in the history of Australia as opposed to British, European, or Commonwealth history. The main area of collecting interest was in business and labor records, an area neglected before this time by state libraries through a lack of interest and because of the volume of records.[11]

New Zealand collections of private papers followed a similar pattern. An important collection created by Dr. T. M. Hocken was given to the University of Otago, Dunedin, shortly after the turn of the century. Although the collection languished over the next few decades, it grew rapidly during the 1950s, both as a regional depository for official New Zealand government records and as a center for the Otago region of the South Island.

On the other hand, the books and manuscripts collected by Alexander Turnbull, the son of a pioneer merchant, were donated to the New Zealand government upon his death in 1918 and formed the basis for a national collection at the Alexander Turnbull Library in Wellington. It contained many of the most significant collections of private papers in New Zealand. During the 1960s and 1970s it moved out of the narrow range of pioneer and political papers into labor and business records, the arts, farm records, and organizational archives.

With the exception of the Hocken Library, New Zealand universities had little or no interest in archives until the 1960s. Because of a developing interest in New Zealand history, and following the Australian example, the universities of Auckland and Canterbury (Christchurch), and Massey University (Palmerston North) developed collections centered on business and labor records. These were on a much smaller scale than in Australia, and to date all have been administered by librarians.

RECENT ARCHIVAL LEGISLATION

While this brief overview can give only a hint of the activities involved in the development of archives in Australasia, some specific issues may bring its more recent history into focus. The area of archival legislation has been a topic of some divisiveness and concern in Australia, where the Australian Archives still operates without enabling legislation. This has been a matter of concern for more than twenty years, but the small archival establishment was unable to move any government to draft, let alone pass, legislation.

However, during 1973 W. Kaye Lamb, former Dominion Archivist of Canada, visited Australia at the invitation of the Gough Whitlam government to make recommendations on the development of the Australian Archives. One of his primary recommendations was the passage of archival legislation. While this call went unheeded at that time, another was acted upon: that of the appointment of a Director-General of the Archives.[12]

An Archives bill was finally introduced in 1978. The legislation establishes the Australian Archives in law and defines its functions and powers. The bill calls for an Advisory Council with limited power to advise the minister in charge of the Archives or the Director-General of the Archives. It defines the types of records that may be accessioned by the Archives, and includes provisions governing access to materials and disposal of official records. Records are generally available after a period of twenty-five years, but departments may decline to transfer records to the Australian Archives on a number of grounds or may close to researchers those that are transferred. The bill has been, in general, favorably received by the Australian Society of Archivists. It is now before two Parliamentary committees, but it is uncertain whether it will become law in the near future.[13]

New Zealand, on the other hand, has had archival legislation since 1957, although the National Archives has not had adequate staffing to effectively administer many of its provisions. The law is a liberal one, even though written in a conservative era amid the Cold War rhetoric of the 1950s. It allows the opening of archives more than twenty-five years old to researchers, although in some cases even this "twenty-five year rule" is flexible. It also outlines the powers of the Chief Archivist, allows records to be held in approved regional repositories, and outlines procedures for access to and disposal of public records.

However, the law allows departments to withhold some records more than twenty-five years old for reasons of security, with no clear policy on declassification. As a result, the departments of Foreign Affairs and Defense have retained a large portion of their records and have allowed access only under their own terms.

In April, 1978, a Local Government Act for New Zealand came into force, containing clauses that protected archives at the local government level. While not establishing a records commission, the law allows the Chief Archivist of New Zealand to specify certain categories of local records that may not be destroyed without the Chief Archivist's permission. If the records cannot be retained locally, but the local government unit wishes to dispose of them, they must be offered to the National Archives. Following passage of this legislation, a fifteen-page list of protected records was written and circulated. To date, however, there have been no additions to the Archives staff to coordinate or supervise the local authorities affected by the legislation.[14]

OVERSEAS CONTACTS

It is only slowly that a profession develops confidence in its own abilities. As American archives developed during the 1930s, 1940s, and 1950s, a group of professionals with a professional literature was formed. Some of this was based on European literature and experience, but in many cases the American experience called for new ideas and techniques. This experience was leavened with visits to and from Europe, as well as with the infusion of ideas from a foreign-trained archivist, Ernst Posner.

Australia and New Zealand have always had few archivists to discuss mutual problems and have felt isolated by distances of up to 12,000 miles from the remainder of the archival world. The solution to this problem has been not only visits by Australasian archivists overseas, but also invitations to prominent archivists from other countries to visit and in some cases to make reports on Australasian archives.

The earliest visit of an overseas archivist was that of Dr. Theodore R. Schellenberg in 1954. He came on a Fulbright Scholarship, visited both Australia and New Zealand, gave lectures to archivists, and talked with government officials. Schellenberg's visit promoted archives among the populace as no local person could. He was newsworthy and received attention. In addition, his expertise carried weight with local politicians.

The results of such a visit are hard to quantify, but certainly one lasting result was the publication of Schellenberg's first book, *Modern Archives,* which was based on the lectures he gave. Certainly there were others, including the encouragement of Australasian archivists to receive training at the Archives Institute offered by the National Archives in Washington.[15]

The emphasis on overseas advice and experience is also reflected in visits by overseas experts to give advice on specific archival problems. While the National Archives of the United States has had two commissions meet and make recommendations on its future, both of these have been composed of leading native experts in their fields. The Hoover Commission and later the Joint SAA-AHA-OAH Committee were composed of American public officials, historians, and archivists. There was no consideration given to inviting overseas experts, since the opinion of persons intimately connected with the situation made the reports all the more useful.

Australasia, on the other hand, has fewer archivists with wide-ranging experience, and there has been a tradition of bringing overseas experts to comment in particular areas. It is thought that these consultants will have greater experience and knowledge than native archivists, that they will get more public attention, and that therefore their recommendations may be heeded more readily.

This practice has produced, for instance, W. Kaye Lamb's report to the Australian Labour government in 1973, which was alluded to above. The report was limited only to the Australian Archives, and Lamb spent six weeks talking with government officials, archivists, and historians before making his recommendations. While the report prescribes the right medicine, it said little more than any experienced archivist would have said: the Archives needed more money, more staff, an archives act, better facilities, and higher status.[16]

New Zealand followed the Australian example in 1978 with a visit by the present Dominion Archivist of Canada, Dr. Wilfred Smith. This visit was initiated by the Archives and Records Association of New Zealand and called for an evaluation of the entire archives structure, including national and local government records, as well as organizational archives and private papers held by university libraries. Smith's report is a comprehensive document covering all of these areas, making recommendations on business, labor, church, and university archives, oral history, photographs, conservation, archival education, and the need to upgrade the National Archives staff, status, and facilities.[17]

As Bob Sharman, an archivist and now State Librarian of Western Australia, recently commented in a review article, "Will the publication of the Smith report help them to achieve their objectives more quickly, more thoroughly? That is the question."[18] In other areas of New Zealand life, particularly in the library world, the outside expert has been a catalyst in achieving professional objectives. The results are not yet in in New Zealand and they are mixed, to date, in Australia.

PROFESSIONAL ORGANIZATION

One measure of professional development in any field is the activity and support of representative professional associations. In the United States, archivists were closely allied with historians during the first three decades of the twentieth century, but soon struck out on their own with the establishment of the National Archives. However, this came about with the support and involvement of historians, and there remained a close link between the two professions for the next two decades. While archivists and historians have grown farther apart in recent years, there remains a strong degree of cooperation and understanding between the two professions.

In both Australia and New Zealand, professional archivists remained closely linked to librarians, in some cases because the individual had dual responsibility but also because archives remained administratively under librarians until quite recently. While this has had some advantages for a very small profession, it has also had disadvantages. In Australia, for example, large libraries like the Mitchell and the National Library appoint department heads, such as a manuscripts librarian, on the basis of seniority and overall ability, with specific experience and training as an archivist being only a secondary consideration.

In Australia, archivists operated as the Archives Section of the Library Association of Australia. They began publishing their periodical, *Archives and Manuscripts,* in 1954, and met annually at the LAA annual meeting. It was clear for some years that the archivists were at a disadvantage operating under the aegis of the librarians. Although those looking for advancement in a library were obliged to become members of the LAA, there was a large growth during the late 1960s and early 1970s of people employed as archivists outside of any library structure.

By 1975, a steering committee was investigating the means of forming a separate association for archivists. Because of the distance between each of the states, smaller groups met in each state. After it was found that there was support among archivists for a separate association, there remained the question of membership. Should it be open: 1. Only to professional archivists (with some standard definition); 2. To professionals and nonprofessionals but with only professionals having voting rights; or 3. To all persons interested in archives with each person having one vote. It was argued that only professionals could speak with authority, and there was some concern that if nonarchivists were able to vote the association might be directed toward areas that were not in the best interest of archivists.

During these discussions various models, such as the Society of American Archivists and the British Records Association and Society of Archivists, were used as a basis for comparison. However, at the organizational meeting of the Australian Society of Archivists in Canberra in April, 1975, it was decided that while membership in the Society would be open to all, only qualified professionals would be able to vote or hold office.[19]

While the Australian archivists were busy organizing in Canberra, the New Zealand archivists were not far behind in forming their own organization. Professionally employed New Zealand archivists number less than two dozen, even including librarians with some archival responsibilities. Like their Australian counterparts, they had been closely allied with librarians and had operated as a committee of the New Zealand Library Association in the 1950s. This had been an active group: surveying records, holding seminars, and publishing *An Elementary Guide to Archive Practice* in 1955 to assist librarians and others responsible for archives.

Interest by librarians waned during the 1960s and the Archives Committee dropped from sight, but by 1973 a new generation of archivists had revived it. It started a newsletter, *Archifacts*, and held meetings and seminars. By the beginning of 1976, members of the committee had begun to explore the possibility of a separate association. After some initial discussion, a steering committee found that there was support for an organization. The inaugural general meeting of the Archives and Records Association of New Zealand (ARANZ) was held in October, 1976, and as the newsletter editor wrote, "Conception, labour and birth were all comparatively painless."[20]

Because of the small number of archivists, it was decided to follow the membership and voting patterns of the British Records Association and the Society of American Archivists. Membership is open to all who support the objectives of the organization, with each person allowed one vote. In the initial stages, its officers encouraged the membership of all persons creating, preserving, or using archives. This has proved, so far, to be a successful pattern, with membership of ARANZ standing near 400 and coming from the ranks of archivists, librarians, records managers, historians, genealogists, and local officials.

OUTREACH

One of the main areas of concern for archival organizations has been professional education, and in Australia a graduate program has been developed that is the equal of any in North America. While this is a statement of praise, it must be said that neither Canadians nor Americans have played the leadership role in archival education that they have in so many other areas of the profession. While they have pioneered in the 4-6 week seminar, they are only now developing graduate programs in archival administration. One of the causes of this stunted archival training has been indecision on the part of archivists as to whether graduate training should be part of history or library science programs.[21] This lack of direction by North American archivists has meant that training is haphazard, and until recently without standards. If archivists and their professional organizations do not soon make their presence felt in this vacuum, they will find that their place has been taken by librarians and historians looking for new programs that will help them place their graduates in jobs.

Among the western countries that hold only modern records, Australia has taken the lead in developing a one-year graduate program in archival administration at the University of New South Wales, Sydney. While the program reflects the fact that it is attached to the School of Librarianship and that eight session hours out of thirty were library school courses modified for archives administration, it has regularly been training archivists for the South Pacific and Southeast Asia since its accreditation in 1974.[22] It has the support of both librarians and archivists; and Peter Orlovich, the lecturer in charge of the diploma course, is also vice-president of the Australian Society of Archivists.

In cooperative programs, Australasia has made a number of advances in both national and international ventures. Certainly, the earliest was the Australian Joint Copying Project, developed just after World War II. This was designed to make microfilm copies of material in British repositories relating to the Pacific, for deposit in Australian and New Zealand libraries and archives. The great majority of material copied so far has come from the Public Records Office in London, from the records of the Admiralty, Colonial, and Foreign Affairs offices.[23] In recent years, the project has moved into other repositories, and this has been assisted by the publication of Phyllis Mander Jones' monumental *Guide to Manuscripts in the British Isles Relating to Australia, New Zealand and the Pacific,* (Canberra, 1972) compiled under the auspices of the AJCP.

Another international program is the Pacific Manuscripts Bureau (Pambu), operated under the auspices of the Australian National University but supported by a consortium of institutions in Australia, New Zealand, and the United States. Established in 1968, Pambu has been microfilming deteriorating collections of archives and manuscripts held on a number of Pacific islands and has made two forays into the United States to film whaling logs of vessels that made journeys to the South Pacific. The latter project has resulted in over 400 reels of microfilm and is indexed by the names of the ship, captain, and places visited. Copies of the film are deposited in member institutions and can be purchased by others.

Unfortunately, the strictly national programs of cooperation in the form of joint guides have not been as successful. While in the United States joint efforts at describing archival collections are only in their nascent stages, the National Union Catalog of Manuscript Collections has nearly two decades of experience and achievement behind it. During Dr. Schellenberg's visit to Australia in 1954, he encouraged archivists there to develop a national format for describing their pre-federation archival holdings using a format similar to the NARS preliminary inventory. After some initial involvement and enthusiasm, led by Tasmania and New South Wales, the program languished and remains in limbo.[24]

The description of manuscripts has been pushed along by librarians with some success. In New Zealand, plans were developed between 1954 and 1957 for a national union catalog of manuscripts. The basis for this publication was catalog cards submitted by participating institutions. The first segment was published in 1959, and a cumulative edition came out in 1968-69, reprinting directly the cards submitted. These were in alphabetical order, with no index.[25]

During this same time, Australian librarians and archivists developed a loose-leaf *Guide to Collections of Manuscripts Relating to Australia*. An instruction booklet for preparing entries was published in 1963 and the first entries came out in 1965, submitted principally by the larger state libraries. These were issued in sections of 300 entries with an index to speed the publication. Four sections made a complete volume, and at the end of each volume there was a cumulative index. While this format offered definite possibilities, with a simplified format and loose-leaf construction, it has languished in recent years and cannot be said to adequately reflect Australian manuscript holdings.

Following the publication of the first two cumulative volumes of New Zealand's union of catalog of manuscripts, there was discussion of a revised format. The Australian loose-leaf volume offered many advantages, but it contained only a limited index of prominent names and the names of collections. After considerable discussion, New Zealand adopted a similar format but included both archives and manuscripts and developed a fixed index based on T. R. Schellenberg's area, time period, and activities headings but geared to New Zealand subjects. This received a good response, and the first section of the *National Register of Archives and Manuscripts in New Zealand* with an appropriate index was published in 1979.[26]

CONCLUSION

In comparing the archival development of different countries, one learns that each experience is unique. Nonetheless, it is important also to realize that we are unique and to accept the fact that another country can do the same task differently and do it just as successfully and sometimes better.

To assume that the close relationship between archivists and historians in developing the archival programs of the United States is the standard for the world is, of course, folly. In our situation, it has proved invaluable; but where the historical profession has been small or underdeveloped, archivists have turned to others for support.

Likewise, the strong leadership exerted by the National Archives has been a positive force in supporting the American archival establishment. In the early days, it underwrote many SAA activities and still supports an editor who can spend much of her time on *The American Archivist.* In Australia and New Zealand this strong central leadership is lacking, and the slower archival development in these countries can be partially attributed to that fact.

Such strong support has its disadvantages as well. Certainly, the 1970s saw considerable dissatisfaction among non-NARS archivists who felt that NARS had too much input into the decisions being made by the SAA. While NARS provided considerable leadership in records management, the development of finding aids, and the publication of records through the National Historical Publications and Records Commission, its failure to take the lead in archival education caused this area to develop slowly and unevenly.

In this International Archives Year, we should look at our own archives experience and compare and contrast it with that of the rest of the world. There is much to see, and in the comparison we will perhaps begin to better understand our own experience and development.

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THE ARCHIVAL EXPERIENCE IN ENGLAND AND CANADA

HUGH A. TAYLOR

We have generally committed human memory and oral communication to writing for two reasons: to ensure an accurate statement "for the record" of courts of law, parliaments, and similar institutions that have (we hope) an unlimited life, and to transmit over distance information on the conduct of human affairs and the execution of human transactions.

The English archival tradition evolved for the most part from the record keepers of the courts, where the continuity of documentation since the twelfth and thirteenth centuries is unique in Europe. With no violent invasion since the Norman Conquest to contend with, bureaucratic organisms large and small laid down their great beds of parchment and paper in a society that is profoundly "oral" by tradition (in contrast to the United States). England, with its tradition of common law and an unwritten constitution, set great store by customary rights and precedents that were accorded to individuals and duly recorded down the ages. This kind of record, which the Normans virtually initiated with the Doomsday Book in 1086, has provided a remarkable "oral history" from that day to this.

In time, these records evolved from a vital record of legal decisions, financial accountability, and disposition of land and property, maintained by various institutional Keepers, to become the raw material for historical writing. It was quite natural, therefore, that the Public Record Office should become the repository for this material, drawn from a wide range of national courts and departments of government to be serviced by a Keeper or Assistant Keeper in the same tradition. Organic continuity of custody was continually stressed as being evidence of legal integrity and, as defined by Sir Hilary Jenkinson, became a characteristic of the authentic "public record." Historians, as we know them today, had very little input into the establishment of the Public Record Office, and the English archivist does not generally engage in historical research during the professional part of his life, despite his historical training. We have always felt secure in our profession and have never seen ourselves as historians *manques*. This is partly because an English archivist requires considerable paleographical training to master a wide range of mediaeval and later court and legal hands, and to unravel the intricacies of institutional and administrative history which lie behind the records and which are so much a part of his discipline.

So much for the records of the central government. Within English counties the Courts of Quarter Sessions provided local administration and government with their own courts, hand in hand with the ancient corporations of the cities and boroughs. The modern profession of the archivist developed usually from history graduates with archives diplomas, running "record offices" attached to the office of the Clerk of the Peace for the County, who was also Clerk of the County Council, symbolizing the continuity with modern county government.

In England these record offices also became custodians of private manuscripts. Since many of these collections came initially from the great landed estates of the county, with extensive records of tenants and the old manorial courts on the one hand, and often private papers of ministers of the Crown on the other, they clearly had a semi-public quality which was generally recognized. From here it was a small step to receive all kinds of material from persons and institutions in the private sector. The richness of central and local archives in England has to be experienced to be believed. "Permanent loan" is a contradiction in terms that is widely utilized to recognize the archivist as a kind of trustee (during good behaviour!) of collections which owners recognize as a heritage to be shared by the public without charge, so long as such material is properly maintained and serviced by the archivist. However, the increasing monetary value of this material is beginning to place some strain on this typically English compromise.

In other respects, the English archivist is much like his Canadian and American colleagues, for we have much in common professionally. In England, however, there has been a tendency in the past to concentrate on the earlier legal records and early material in the private sector to the neglect of the more modern records of public administration. This is quite natural and human, given the riches that have come down to us and the demand for their availability, but this situation is now changing, as indeed it should.

Canada has inherited the English tradition in archives as in so much else.[1] As in England, we expect government to preserve a large part of the national heritage as a public service. We are perhaps more "governed" than our friends south of the border, and we tend to place an emphasis on "peace, order and good government" as the British North America Act has it, in contrast to "life, liberty and the pursuit of happiness."

In consequence, the Canadian provincial archives (as with county archives in England) take custody of both public records and private manuscripts, and because provincial and federal governments have many similarities of method and function, there is a close relationship between them. As in the United States, there are many nonpublic alternatives such as the universities, but the dominion/provincial archival axis is very strong and is a marked feature of the Canadian scene. The Provincial Archives of Nova Scotia in fact pre-dates the Public Archives of Canada by 15 years, and its foundation in 1857 makes it the earliest public archives in North America. Now in 1979 its new building is set fair to be the first in North America to use solar energy as a power source.

In further contrast to the United States, the Canadian federal archives helped into being the Canadian Historical Association, which again has placed Canadian archivists in a less dependent relationship to Canadian historians. There is, of course, close cooperation but we do not over-emphasize historians among our users; they remain first among equals.

With so much emphasis these days on access, freedom of information, and "the right to know," it is perhaps interesting to reflect that it was Joseph Howe, a publisher and newspaper proprietor famous for his defense of freedom of the press, who helped establish the public archives in his native province of Nova Scotia, as a means of securing public access to the historical record. Likewise the first dominion archivist to preside over the federal archives in Ottawa was also a journalist, charged not only with assembling the record but, by so doing, making it available. This emphasis on access has been a prominent feature of the archival scene in Canada, surpassed only by that of the United States.

From the United States we have adopted the record group, which has led (perhaps less happily) to the manuscript group. The record centre concept is another most valuable import. In general, however, archives and archival systems should reflect the cultural assumptions of nations and communities, and we have to remember that mediaeval administration had a profound effect on English archives and on the European tradition in general. The United States is the first great nation to have been founded entirely on a literate base, and the early emphasis on the printed word quite naturally led to a priority for libraries, literature, and private correspondence in contradistinction to public records. This dichotomy is reflected in the configuration of U.S. archives and is further emphasized by America's preference in the past for a minimum of government expenditure in the public sector. The general absence of a European-style registry system in government departments also reflected a profoundly different attitude toward public documents as public record.

As we move into an age in which social organization and information are becoming increasingly decentralized and the media of record are becoming more visual and oral, less linear and textual, we are seeing the archival scene adjust in a corresponding manner, with the proliferation of small repositories presided over by "cloistered" archivists, and with the growth of regional associations to serve them. These are profound and important changes, which national archival associations will do well to heed and respond to. I believe that the SAA is becoming more aware of these changes, and I personally look forward to closer relationships with the "regionals" in a manner which preserves their proud record of autonomous action in the best American tradition.

FOOTNOTE

1. For a more extensive survey of Canadian archival development, see Hugh A. Taylor, "Canadian Archives: Patterns from a Federal Perspective," *Archivaria* 1 (Summer 1976): 3-19.

BOOK REVIEWS

Guide to Archives and Manuscripts in the Chippewa Valley Museum, Eau Claire Public Library, University of Wisconsin—Eau Claire Area Research Center & Archives. Madison: State Historical Society of Wisconsin, 1977. 68 pp.

A cooperative guide to the manuscript resources of a community is always an encouraging and informative endeavor. This *Guide to Archives and Manuscripts* for three Eau Claire, Wisconsin, repositories was produced jointly by the Chippewa Valley Museum, the Eau Claire Public Library, and the Area Research Center (ARC) and Archives at the University of Wisconsin—Eau Claire.

This common guide to historical research resources is a benefit to both the institutions involved and to the researchers. A researcher interested in Wisconsin lumbering history can find that in the town of Eau Claire there is available the nineteenth-century business records of the Daniel Shaw Lumber Company at the Chippewa Valley Museum, further materials on the Shaw Lumber Company in the William W. Bartlett Papers at the Eau Claire Public Library, and at the Area Research Center the papers of Orrin H. Ingram, an Eau Claire lumberman. All three repositories have more materials on lumbering in the papers of individuals and businesses and in photographic collections.

Each agency produced its own section of the Guide, an approach that illustrates both the advantages and the problems of such a joint venture. All follow a common format of brief description of the agency, hours and location, summary of the holdings, availability of further finding aids, and an address for reference inquiries. Holdings are listed under the general categories of manuscript collections, public records, and other collections. Such an approach facilitates comparative examination of holdings, for, unfortunately, there is no index to this otherwise helpful guide. As so many common events, people, places, and concerns are represented in the three institutions' holdings, an index would have aided the researcher in his/her perusal of the guide's descriptions.

The Museum's 113 manuscript collections emphasize genealogies, reminiscences, and reports on local history. Most of these collections are not large, ranging from one page to fifteen volumes. The Library's collection of 36 manuscript groups includes the records of the Library, some genealogies, local history papers, and materials on local organizations and businesses. The Area Research Center's manuscript listing of 53 collections begins with the records of the *Bricklayers, Masons and Plasterers' International Union of America* at Eau Claire, 1902-1939, through the papers of the *Farmers & Merchants Bank* at Cochrane, Wisconsin, during the same period, to the records of the *Women of the Ku Klux Klan,* Chippewa Falls, 1926-1931. Nine microfilm collections are separately described. Both the Chippewa Valley Museum and the Area Research Center have county and local government records, listed by county, agency, and record description. The ARC is a state-designated repository for the local records of the nine-county area. The University Archives of the University of Wisconsin—Eau Claire, described in 13 pages, provide historical documentation of the institution from 1916.

All three repositories list miscellaneous groups of materials. The researcher discovers collections of 12,000 photographs at the Museum, 2,500 at the Library, and an unspecified number at the ARC. Maps of the region for various periods are available at all the institutions. For the genealogist a further aid at the Museum is its cemetery transcription file for most of Eau Claire County's cemeteries. Newspapers are likewise available at all repositories, but the listings do not enumerate those available or the time periods.

The Guide exhibits a problem of joint productions — the need for an overall editor. Although the common format aids the researcher and is easy to follow, there is a jarring effect in the absence of thorough proofreading and the necessary, yet obvious, differing type styles of three typewriters. Papers of a prominent local historian are available at two institutions, but his name is misspelled in one entry. A minor problem is the lack of an obvious publication date. When reading each of the three sections, the researcher finds that the information reported is current as of January and March 1977. These problems mar what otherwise seems to be a quite useful reference tool for the local history resources available in Eau Claire.

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Minnesota Historical Society

Manuscripts Collections of the Minnesota Historical Society: Guide Number 3. Compiled by Lydia A. Lucas. St. Paul: Minnesota Historical Society, 1977. 189 pp. Index. Paper. $7.00.

A printed guide to the manuscripts and archival collections housed at an institution serves two purposes: first, it lists the individual collections giving a brief description of the contents, including dates, quantity of material, and restrictions on use; second, it serves as a progress report to the staff and community of researchers, indicating the actual acquisitions policy, not the one theoretically espoused. Both of these purposes are well met in this *Guide Number 3* compiled by Lydia A. Lucas, Head of Technical Services.

Guide Number 1 appeared in 1935 listing entries for 455 collections — those acquired since the founding of the Society in 1849. Twenty years later a second printed guide appeared listing an additional 1,189 entries. Now *Guide Number 3* appears with 1,194 entries, continuing the numbering sequence of the two preceding guides. All entries are arranged alphabetically within each volume. An excellent analytic index accompanies each guide — in Number 3 it covers 29 pages.

State Archivist Lucile M. Kane points out in the introduction the strong emphasis on 20th century materials — over 70 per cent of the entries — in *Guide Number 3.* She also notes that the vast collections, particularly political papers and business records, are a product of this century. The papers of Hubert H. Humphrey alone cover 1,700 feet of shelving (not including the microfilm of his vice presidential papers), and the records of the Northern Pacific Railway Co. and the Great Northern Railway Co. require 13,800 feet of shelving. In referring to this space problem, Kane points to the need for formulating "more discriminating appraisal standards as well as new techniques for surveying, selection, accessioning, arranging, and describing material."

Entries relating to the 19th century, particularly subjects popular in the first two guides, are also present. Noteworthy are the fine collections added since 1955 relating to pioneer life, fur trade, Civil War, land, and agriculture. In fact some 19th century material is seen in more abundance in *Guide Number 3* than in earlier guides, particularly papers relating to immigrants. Since single letters, brief reminiscences, and oral history transcripts are not included in this guide, it can be assumed that additional 19th century material is available, and although small in quantity it may be of high research value.

The index is outstanding. Researchers, however, would benefit from an explanation of the authority file used — presumably the staff has selected the subject headings rather than using Sears or Library of Congress headings. As expected there is some inconsistency with the previous guides, as through the years the use of "Negro" has become "Afro-American" and improvements have been made such as listing family genealogies under the family name rather than grouping them under "genealogy."

One notable item in the index with a large increase in number of entries is the subject "women." *Guide Number 1* had no index references to "women" although there were two entries listed for "women suffrage." *Guide Number 2* had nine entries under "women." The 1977 guide lists 232 entries with six additional women-related subjects involving another 100 or so entries. This index heading has been subdivided to include subjects such as "in politics" or "in military" and types of collections such as "diaries" or "writings by." It is the most complete index for women's sources I have found in a published guide to collections. Only two women-related collections apparently were not included in the index under "women": Maternity Hospital (Minneapolis) and Buffalo Bird Women.

One other small ommission: the "Afro-Americans" heading in the index does not include entires on Paul Robeson. Also, using the subject heading "Indian" and then subdividing by tribal name may have been preferable to indexing only under the tribal name since some researchers are not familiar with the latter — however this is a small complaint when only 29 pages of index are to be considered. For some reason, the print in the index of my copy was much lighter than the print for the entries, and therefore it was more difficult to read.

Both Lucas and Kane are to be complimented on their introductory remarks which are informative as well as clear and brief. Lucas succinctly describes the use of the guide, its inclusions and exclusions, and informs the reader that more detailed inventories for the collections are available in the Manuscripts and Archives reading room or may be purchased by mail. Kane points out the major acquisition fields, the importance of transfer programs of noncurrent records, and the continued policy of acquiring photocopies from other institutions. She lists the major neglected areas of acquisitions, gaps being partially filled through acquisitions by the network of eight regional research centers throughout the state. (These records are not entered in this guide, thus revealing a strong emphasis on the urban center of Minneapolis-St. Paul.) Kane's progress report in this introduction should be read by archivists interested in the problems of 20th century collecting and in the solutions being found at the Society.

Kane speaks "with a slight blush" when referring to the twenty-two year period between the publication of the second and third guides, but there is no need for this. The embarrassment belongs to those major institutions who have not yet published a guide or to those who have published only a single volume, having exhausted both staff and budget in the process. Archivists should look at the simple, straightforward approach used here and be impressed at the low cost of $7.00.

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California Historical Publications & Records Commission

A Guide to Resources for the Study of the Recent History of the United States in the Libraries of the University of Iowa, the State Historical Society of Iowa, and in the Herbert Hoover Presidential Library. Compiled by Boyd K. Swigger. Iowa City: The University of Iowa Libraries, 1977. 283 pp. Index. $10.00.

The title of this guide indicates its general scope and purpose. To accomplish its goal of better informing researchers, the guide follows the organization of the *Harvard Guide to American History,* including the same chapter titles and subchapter headings. There are introductory chapters on research methods and materials, chapters on special subjects, and six chapters for main historical periods in the twentieth century. This arrangement works well in the *Harvard Guide,* where the subject and chronological chapters and subchapters are confined to lists of publications. The arrangement is less satisfactory in the Iowa guide, where chapters written in narrative form discuss primary as well as secondary materials in each of three repositories. As most archivists know, manuscript collections do not often lend themselves to easy description along topical lines or, for many large and important collections, within brief chronological periods such as "the Depression of 1919-21" or "the 1952 Election." These organizational problems are not substantially alleviated by the uneven index.

Other problems arise not so much from the arrangement of the guide as from the failure of the compiler and his advisory board to adhere closely to their own guideline to place emphasis on "unique holdings and on documents and collections of unusual research value." Although unique collections receive much attention, there are many tedious references to numbers of published titles held by the University of Iowa Library in particular subject areas. We learn, for example (and 100 others could have been chosen), that the University of Iowa Library has 154 of 160 books on Native Americans listed in Section 20.11 of the *Harvard Guide*; 158 of the 160 books cited in Donald McCoy's *Calvin Coolidge: The Quiet President*; more than 100 contemporary books on economic policy during the Truman Administration; and 619 of 629 titles listed in section 10.3 of the *Harvard Guide* relating to the 265 names in the *Guide* sections pertaining to the 20th century, and 4,000 total biographies and writings of these persons. Although such statistics may be of some interest to prospective graduate students at the University of Iowa, this reviewer doubts that such information warranted the use of scarce resources which must have been used in compilation.

Despite the above reservations, this *Guide* should prove very useful to researchers seeking topics in recent American history which can be researched largely in the Iowa City area. The Iowa guide may also save staff members of the cooperating repositories many hours of written and oral explanation to researchers from more distant areas. One hopes that the guide will be available in many libraries throughout the country. The Hoover Library, the State Historical Society of Iowa, the University of Iowa, and the University of Iowa Foundation, which supported the project, deserve commendation for their joint effort to make their combined holdings more widely known.

If not entirely successful as a model, this guide and others, such as the recently published *Guide to Historical Resources in Milwaukee Area Archives*, demonstrate the benefits of cooperation among historical records repositories.

Larry J. Hackman
National Historical Publications
and Records Commission

Guide to the Seattle Archives Branch. Compiled by Richard Hobbs. Seattle: General Services Administration, National Archives and Records Service, 1977. 140 pp. Appendices. Paper. Free upon request to FARC, 6125 Sand Point Way N.E., Seattle, WA 98115 or order on fiche from ERIC.

This is an excellent example of obtaining a needed, useful product by utilizing the talent of a student intern. Those directing the archival intern program of Western Washington University at the Seattle Archives Branch are to be commended for encouraging those enrolled in the program to devote their time and effort to the production of finding aids, exhibits, and other items which are of value to the institutions and the researcher. Other institutions having archival training programs could benefit by doing the same!

The *Guide* is divided into six parts: United States Government—General; Records of the Legislative Branch; Records of the Judicial Branch; Records of the Executive Branch; Records Relating to other Governments; and Other Holdings. There are also six appendices which include data on the ten other regional branches, chronological and numerical lists of microfilm holdings, and a brief glossary.

Both the General Records and Legislative Records series contain only microfilmed records, which are also available at the other ten branches. However, in addition to about 200 rolls of microfilmed records of the Supreme Court, the Seattle Branch has custody of almost 6,000 cubic feet of textual records from the Federal Court system (Record Group 21) in the states of Alaska, Idaho, Oregon and Washington for the years 1859-1973. Included in these files are data on bankruptcy, land disputes, naturalization, and most other phases of social and economic history. Court records are one of the most underutilized records series available to the researcher. There are several thousand rolls of microfilmed records of the Executive Branch offices, including the census film for 1790-1900. Over 7,000 cubic feet of textual records from various federal agencies in the states of Alaska, Idaho, Montana, Oregon and Washington are also available for research in the Branch. Included are the Bureau of Indian Affairs, 1854-1952, which total 5,039 cubic feet; the Alaskan Territorial Government, 1884-1958, which total 297 cubic feet; and the Bureau of Land Management, 1841-1972, totaling 772 cubic feet. Some portions of these and other series have finding aids for the researcher's use. The explanation of the difference between and availability of "archives" and "records center" series is well done.

Since being issued, the loan restrictions listed on pages 3 and 64 relating to borrowing of the 1900 census microfilm have been removed and rolls may be obtained on inter-library loan. There is no explanation as to why some federal agency records from Montana offices are at the Seattle Branch and others are in the Denver Branch. This is due to a change in regional boundaries in 1971 which placed Montana in the Denver region but which did not transfer those records already housed in Seattle.

Those having microfiche facilities may desire to obtain a copy of the guide on fiche from ERIC or the Washington State Archives in Olympia.

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A Bibliography on Historical Organization Practices: Care and Conservation of Collections. Compiled by Rosemary S. Reese and Edited by Frederick L. Rath, Jr. and Merrilyn Rogers O'Connell. Nashville: American Association for State and Local History, 1977. viii+107 pp. Appendix and index. Cloth. $7.50, members; $10.00, non-members.

This is the second volume of the projected series, *A Bibliography on Historical Organization Practices,* which developed out of the 1966 publication by the New York State Historical Association of *NYSHA Selective Reference Guide to Historic Preservation.* Four years later this first comprehensive bibliography was much expanded into a hardcover edition, *Guide to Historic Preservation, Historical Agencies, and Museum Practices: A Selective Bibliography.* In 1971, the National Museum Act, administered by the Smithsonian Institution, granted funds to continue and expand the bibliographic project, envisioned as a continuing record of all significant references in the field. The wealth of available writings made publication of a single-volume bibliography impractical, if not impossible, prompting the current format of a set of separate volumes on the several topics considered in the two earlier editions of the NYSHA bibliographic guides. The first volume of the new series, published in 1975 by the

American Association for State and Local History, is a selective bibliography of publications relating to historic preservation, historic buildings and sites, preservation law, and urban development and redevelopment.

The second volume of the series concentrates on resources for the care and conservation of paintings, documents, books, photographs, and museum artifacts. There are chapters on general reference and conservation organizations, the philosophy, history and principles of conservation, conservation laboratories and their instrumentation, and the training of conservators. Following the entries relating to general considerations, conservation theory and training, the book considers environmental factors in conservation, including security, packing and shipping, and disasters. The last four chapters of the book are devoted to technical resources. The first of these deals with the techniques of conservation of library materials: the books, manuscripts, maps, photographs and sound recordings of particular concern to the archivist and librarian. Through these first 48 pages, the publication is a reference tool every bit as vital to the administrator and professional staff of the historical library or archives as to the curator of the museum or art gallery, the conservator or restorer.

The three final chapters, however, are directed to the conservation of paintings, works of art on paper, and museum objects. Many of the publications listed are highly technical and specialized, and although these sections are fine comprehensive bibliographies, the layman is well-advised to leave the technical procedures to the professional restorer. The literature is often fascinating, but the techniques call for craft skills as well as scientific and technical knowledge beyond the ken of the amateur. A few guides for the uninitiated are mentioned in these later chapters, such as: Carolyn Keck's *How to Take Care of Your Pictures: A Primer of Practical Information* and *A Handbook on the Care of Paintings*; and everyone's basic manual, *Curatorial Care of Works of Art on Paper* by Anne F. Clapp. The editors also acknowledge that many procedures can be performed by archivists and librarians "who have acquired, at workshops or seminars or through special courses, the necessary background for understanding what to do and what not to do." Per E. Guldbeck's *The Care of Historical Collections: A Conservation Handbook for the Non-Specialist* is recommended for the basic reference shelf as is Harold J. Plenderleith and A.E.A. Werner's very technical, conservator-oriented, *The Conservation of Antiquities and Works of Art: Treatment, Repair and Restoration.*

The editors point with justifiable pride to that section of the book titled the "Basic Reference Shelf," which "includes volumes, booklets and reprinted articles that should be part of the working library of every organization and individual involved in the care of collections," and from which one could pick and choose those volumes and articles pertinent to his collections. It is not a basic reference shelf in the sense that all the volumes listed are of value for every depository; it is too general, perhaps, for any depository to stop with the publications listed there relating to its collection. Unfortunately, a few standard books are not mentioned in the basic reference list, including Peter Waters' *Procedures for Salvage of Water-Damaged Library Materials.* This publication is of at least potential interest to every librarian and archivist, and may, in fact, become a vital reference in the event of a disaster. It would be helpful to have read it beforehand and to have at hand if needed. (This title does appear elsewhere in the book.) Also, the basic list could have been strengthened for librarians and archivists if, in addition to Carolyn Horton's *Cleaning and Preserving Bindings and Related Materials,* Douglas Cockerell's textbook for bookbinders and librarians had been added here, even though it, too, is listed elsewhere in the bibliography.

The scope of the book is selective, emphasizing publications released after 1945. Older and superseded references found in the earlier one-volume editions of the bibliography have been purged, and articles published in "obscure or unattainable" periodicals have not been included in the 1977 edition. However, seminal and definitive works published before the 1945 cutoff date are noted.

In sum, the editors and compiler of *Care and Conservation of Collections* have put together a very usable bibliography. The 20-page index is a work of art. Derived from a punchcard retrieval system anticipating future conversion to computerization, it is "deliberately comprehensive, so that most obscure references, coauthors, editors, or even allusions can be tracked down easily." All entries for books and pamphlets follow Library of Congress main headings and include necessary annotations. The same reference may appear in more than one chapter so as to be included under all applicable headings. Literature on the care and conservation of the collections entrusted for preservation to the archivist, librarian and curator is burgeoning.

This selective, up-to-date, carefully edited and annotated bibliography, therefore, is a "positive good" for the practicing archivist or librarian.

Joanne Stranberg Hohler
State Historical Society of Wisconsin

The Wright Brothers Collection: A Guide to the Technical, Business and Legal, Genealogical, Photographic, and Other Archives at Wright State University, Dayton, Ohio. By Patrick B. Nolan and John A. Zamonski. New York: Garland Publishing, 1977. 187 pp. Illustrations, appendix, and index. Cloth. $19.00

Wilbur and Orville Wright of Dayton, Ohio, successfully designed the first flying machine, which flew four times on December 17, 1903 on the beach at Kitty Hawk, North Carolina. The co-authors clearly describe the provenance of their collection in the preface to this guide. After Wilbur Wright's death in 1948, the executors gave the collection to the Library of Congress, which selected material for shipment from Dayton to Washington. The Wright State Collection, therefore, includes about 6,000 items of books, documents, photographs, and memorabilia rejected by the Library of Congress in addition to negative photostats of some materials in the Library of Congress collection.

This guide to the Wright Brothers Collection at Wright State University in Dayton, Ohio provides researchers with an annotated container list and an excellent list of the photographs in the collection. Researchers seeking reproductions of photographs can browse through this list and easily select those images they would like copied; although the guide fails to mention restrictions on copying, the care with which the photographic list has been compiled implies that the university will make and sell copies.

However, this volume does not follow the Society of American Archivists' guidelines for finding aids to archival collections. While the annotations to the container list entries admirably indicate the quantity of items in a file folder, their condition, or their importance, there is no historical sketch of the Wright Family. Since a portion of the manuscripts, genealogical papers, and photographs document the family in extensive detail, the guide should present a brief overview of family interrelationships, accomplishments, and important dates. To indicate the confusion that arises, note on page 1, item number 1 in the list of technical books, an 1845 German language text autographed by Susan Koerner; not until page 66 does a caption to a composite family photograph indicate that Susan Koerner Wright was the mother of Wilbur and Orville Wright. The guide also lacks a scope and content section, which would have provided an overview to and analysis of the strengths and weaknesses of the collection. Comments in the preface and notes to sections of the container list attempt with little success to overcome this defect. For example, on page 59 begins the annotated container list of the Milton Wright papers and genealogical files; Milton was the father of Wilbur and Orville Wright. The series title has an asterisk leading researchers to a biographical note concerning Milton Wright; the last sentence of the note indicates that he was "active in a scandal." Not until page 72 can one learn of the nature of the scandal and Wright's part in exposing wrongdoing. The guide abounds in similar teasers of inadequate information on one topic scattered about.

Obviously Nolan and Zamonski expended great effort in preparing this collection and compiling the processor's notes. It is unfortunate that they concluded their efforts before preparing a standard finding aid with all the necessary components. The index to persons, places, and selected subjects, while thorough, cannot overcome the basic deficiency of this volume. In sum, this guide, which is number 76 in the series, Garland Reference Library of the Humanities, is as incomplete and unprofessional as others in the series. Let us hope that the authors learn from their mistakes in this volume and do not repeat them. And the publisher, in charging $19 for a cloth-bound offset of a typed document prepared on an IBM typewriter, is charging an excessive price.

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Transcribing and Editing Oral History. By Willa K. Baum. Nashville: American Association for State and Local History, 1977. 128 pp. Includes 33⅓ RPM record. $6.75.

Of the growing number of "how-to-do-it" books on oral history, this manual, based on Willa Baum's extensive experience as head of the Regional Oral Hisotry Office of the University of California's Bancroft Library, is to date the most complete and explicit, within its clearly defined limits. And one of its chief beauties is that it does accomplish just what it sets out to do — to present an authoritative and detailed guide to the processing of oral history.

Setting aside for the moment the other three steps in oral history — creating, caring for, and using — Willa Baum deals here exclusively with processing, which she defines broadly as including both transcribing and editing. She further declares at the outset certain premises about the nature of a majority of oral history projects — those to which this book is principally directed. She assumes first that the program is "underfunded and understaffed," second that community use is a primary goal with specific academic research secondary, and third that the information "is primarily about historical events, institutions, places, persons, and ways of life, and only secondarily about how the narrators feel about life or how they relate to the interviewer."

From this base, and starting with the moment that the tape recorder is turned off at the conclusion of the interview, the author proceeds in an orderly way through each successive processing step. In many instances choices of methods are introduced, problems and pitfalls are identified, and recommendations for possible solutions offered. Much more, too, than just transcribing and editing is discussed. Tape auditing, the narrator's review, illustrative material, final typing and assembling, and indexing are each dealt with in turn and in detail. Even questions of legal agreements and copyright are considered, and the book concludes with the choice of a depository and the presentation of the bound volume to the narrator. Further, the author does not stop with simple discussion of methods and processes. At significant points all along the way she gives illustrative examples and samples to clarify the steps she describes, with the ultimate example being the included 33⅓ RPM recording of the transcription shown on pages 31-33, which allows the reader to hear the voices as he notes the editorial marking of the sample transcript.

Central to the discussion in this book, of course, is the assumption that a transcript is desirable and should be made. Willa Baum presents her reasons for deciding in favor only briefly and as though obvious. Some readers may take exception here. She does, however, recognize the pressure — usually financial, she says — on some projects not to transcribe, and for these she offers a few suggestions on what to transcribe, what not to transcribe, and how to index the tape.

The usefulness of Willa Baum's book for many infant oral history projects — especially the community based, volunteer programs at which it is aimed — is, of course, apparent. The need for such a guide has become increasingly clear as the application of oral history techniques has grown. But does it have value for the already established, ongoing program? I believe yes. While much of the ground covered may sound familiar, a thoughtful reading of this book can hardly fail to generate a fresh appraisal of the procedures for any project, which in turn may stimulate new ideas and constructive changes. Moreover, taken by themselves, the section on advice to the transcriber and the chapters on legal agreements and on indexing provide useful reference guides, as does the topical annotated bibliography. Provided one keeps in mind that there are no rigid rules for any phase of oral history — each program must determine for itself what its own goals and methods will be — and notes that the author makes no pretense that the methods described here are the only ones — just that they have worked for her — then I believe this book can serve as a concrete and practical yardstick against which to measure oral history programs, new or established.

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Preserving Yesterday for Tomorrow: A Guide to the Archives of the Lutheran Church in America. By Joel W. Lundeen. Chicago: Lutheran Church in America, 1977.

One of the benefits of getting a grant to develop an archival collection is that a report has to be written. The Lutheran Church in America (LCA) received such a grant in 1972. The present volume is the result of five years of work by Joel W. Lundeen, a librarian-turned-archivist whose library training is clearly evident in the way the report is organized and whose dedication to the archival task is evident in the way he molded many disparate elements into a single coherent information storage and retrieval agency.

The LCA, formed by a merger in 1963, is the largest of the three major Lutheran church bodies in America and has been the last to call a full-time archivist. Among the antecedent church bodies there had been gathered some strong ethnic collections and some strong regional archives, some of which have been consolidated into the LCA Archives and some of which have not. One of the strengths of the present volume is that the relationships among the various regional, ethnic and national archival repositories of the LCA are neatly spelled out. In addition, in the 81 pages of introduction, Lundeen gives his concept of what archives should be, rules of access to his holdings, and the service the LCA Archives is prepared to render.

The best part of this book is the bibliography. Not only does the author include a comprehensive bibliography on the LCA and its constituent and antecedent synods, but he also includes in the inventory for each record group the most significant secondary literature on the subject.

The weakest part of this book is the archival inventory itself — largely because it is immediately out of date. But is is helpful to know how the LCA Archives is organized. I do not like his record grouping (perhaps because it is different from the way I do mine) but if it provides a place for all the records he receives, and he is able to find records when asked, it is a good system. The only other thing I do not like is that after the introduction (pp. 1-81) there is no further pagination in the book! By and large, however, this is an indispensable tool for anyone studying Lutheranism in America.

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