

Archival Issues

Journal of the Midwest Archives Conference

Volume 19, Number 1, 1994

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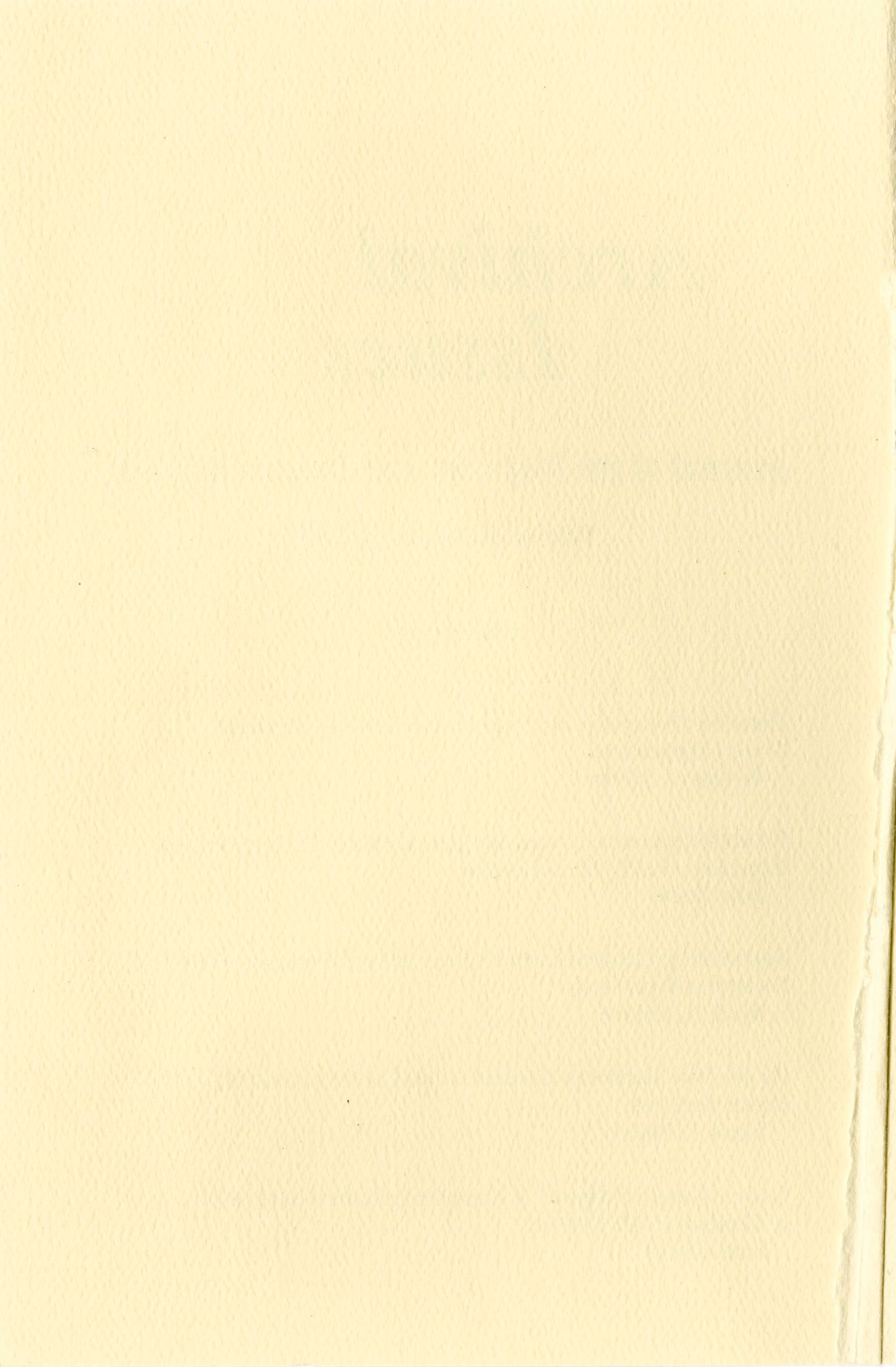
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EDITORIAL POLICY

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

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

Manuscripts should be sent to the board chair, Ann Bowers, Center for Archival Collections, 5th Floor, Jerome Library, Bowling Green State University, Bowling Green, OH 43403. The editorial board uses the current edition of *Chicago Manual of Style* as the standard for style, including footnote format. Decisions on manuscripts will be rendered within ten weeks of submission. Offers to review books or suggestions of books to review should be sent to the book review editor, Dennis Meissner, Minnesota Historical Society, 345 Kellogg Blvd. W., St. Paul, MN 55102.

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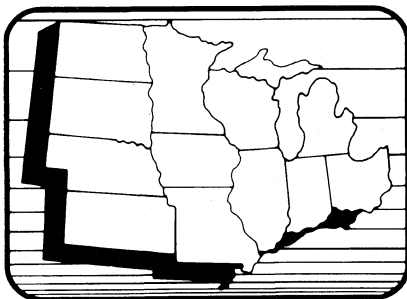
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ENSURING CONTINUITY AND PRESERVATION THROUGH ARCHIVAL SERVICE AGREEMENTS

WILLIAM J. MAHER

ABSTRACT: Associations and organizations need not hire their own archival staff or establish an in-house archives to ensure the preservation of their documentary heritage. Fee-for-service deposit agreements with institutional archives and manuscript repositories provide a mechanism for meeting an association's archival needs. Such agreements also can help ensure that a repository has the policy and resource base to fulfill its responsibilities for records that document the important role that multiple and diverse volunteer, professional, and trade associations play in modern life. This article describes over twenty years of experience at the Archives of the University of Illinois at Urbana-Champaign in contract-based relations for managing the archives of external organizations such as the American Library Association and provides a sample deposit agreement.

For archivists, an essential part of being a professional is advancing the profession's growth through the establishment of ever more archival programs. The basis for this aspiration is not simply a wish for more colleagues, but also a belief that a very large scope of historical documentation needs to be protected and made available by persons knowledgeable about its proper care. Typically this missionary vision takes the form of advocacy for the establishment of new archival programs in every conceivable type of institution and activity. In the United States, the decades since mid-century have seen a significant fulfillment of these aspirations through the expansion of archives beyond national and local governments, especially in the corporate, academic, and religious sectors. Although much room exists for improvement in the quality and depth of these archival programs, reasonably good coverage has developed so that it is possible to document and research a sector even if some specific institutions are left out of the fold.

However, entire categories of institutions still evidence very little in the way of archival programs. This is especially true in two areas: small-to-medium local and regional businesses, and non-profit organizations and associations from the local to the national level. While the nature of these two types of institutions is very different, an important element drawing them together is that the best route to meeting their archival documentary needs may *not* be through archivists' instinctive approach of having such businesses and organizations establish their own archival programs. Despite the pragmatic and cultural value

of preserving and making these records accessible, overwhelming problems exist in providing sustained professional archival care for such records programs. Establishing a corporate archives, while an option for many larger businesses, is often beyond the reach of smaller corporations and many non-profits. Another option, archival consultants, can provide valuable professional assistance but cannot assure sufficient continuity or resources for a stable institutional environment.

Another response to these problems has been for organizations and businesses to donate their records to a local historical society, museum, or college library. If the institution has modern manuscripts or archives departments, professional archival care can be obtained, materials can be stored under environmentally controlled conditions, and reference access can be provided. Too often, however, the donation and acceptance of such archives are hurriedly conducted, often with great public relations flourish, but with little consideration of either party's responsibilities or long-term needs. As a result, problems emerge. For example, repositories accustomed to dealing with more highly selected manuscript collections suddenly are faced with bulky corporate records requiring different appraisal and processing standards. The organization or business may then find its information and archival needs being assigned a low priority. Furthermore, as much as the repository may welcome such collections, it faces major challenges when it expands collecting beyond internal records, personal manuscripts, or records of defunct organizations. Key problems include a potentially unlimited volume of additions, increased use demands, and struggles over records management and appraisal issues.

Thus, the mere convergence of the archival interests of repositories and external organizations does not in itself solve each other's historical records problems. Without sufficient attention to the terms of such relationships, great risk exists that the outside organization will deem the venture a failure, and the repository may see the organization as a nuisance in conflict with its basic programs. In such cases, one solution may be for the organization and repository to go their separate ways. Institutional archivists with a strong commitment to broad cultural documentation, however, may have a better option—the use of contracts that include partial cost-reimbursement. This paper will explore this most effective method for dealing with the documentary needs of external organizations and the management needs of repositories.

Association Archives

Although a cost-for-services model can be applied to business archives, its most compelling application may be for the records of non-profit associations, organizations, and societies. The importance of association archives to the documentary record needs to be understood as context. If for no other reason than their multitude, associations are a significant and growing part of American life in the twentieth century. Directories of associations for the United States list over 23,000 national and over 53,000 regional, state, and local membership organizations.¹ To skeptics these associations, including the Midwest Archives Conference or the Society of American Archivists, often seem to be little more than self-perpetuating engines of meetings, educational products, and self-promotion. A more analytical view recognizes that these organizations have vitality

because they respond not only to practical or political needs, but also to complex personal needs for social, intellectual, and organizational contexts in which members can express convictions about who they are and how they want the world to see them. Whether you are an archivist, a steamfitter, or a burial-vault manufacturer, you can look to associations to amplify your interests and address your needs through affiliation, education, and advocacy.

The pervasiveness and strength of this phenomenon require that archivists and manuscript curators attend to the documentary record of associations. Even though finding clear documentary evidence of such personal and philosophical dynamics can be quite difficult, the best approach is to start with association records. Admittedly, the records of all such organizations may not merit long-term retention, but if asked, few of the current leaders of these societies would consciously decide to destroy their history. Even repositories uninterested in association archives often find that fulfilling their collecting mission requires them to consider the acquisition and preservation of a number of association records.

Many practical problems develop when a repository acquires the records of outside organizations and businesses because of the discontinuities between the repository's mission and the information needs of the organization. The problems are not irresolvable, especially if attention is paid to the mission of the repository at the outset and programs for outside organization records then are sculpted around that mission. The Archives at the University of Illinois at Urbana-Champaign (UIUC) has had twenty years of experience dealing with professional and educational associations. This experience illustrates how these issues can be addressed to preserve the heritage of many associations while also protecting fundamental archival needs of the university. The UIUC experience is not presented as a model, but as an outline of elements to be considered when a repository takes responsibility for records of living organizations or institutions. Because the tactics developed are a response to one institution's circumstances, specific elements (e.g., the emphasis on use of graduate student assistants) may not be widely transferrable. However, the environmental influences should be recognizable, and the management principles will be broadly usable in academic and historical society settings.

Association Archives at the University of Illinois

The UIUC archives were established in 1963 when the university hired its first full-time archivist, Maynard Brichford. Although care for the archives had been a topic of administrative and faculty concern since World War I, it was the need to support historical research for the university's centennial that provided the critical impetus in the early 1960s. The archives' mission was, and still is, to identify, acquire, arrange, describe, preserve, and make accessible university records, publications, and related manuscripts. Given the impending 1967-68 centennial and the long neglect of university records, most of the attention in the first years was focused on creating an arrangement and descriptive system, planning space, acquiring and processing records, and answering many reference questions about the university's past.

Despite the centrality of university history, it was inevitable that the program's scope broadened. The way it broadened is typical of the evolution of

many repositories. Most important was a symbiotic combination of the archivist's wide interest in historical research with conditions endemic to colleges and universities. Among those conditions is the fact that since these institutions claim the universe of knowledge as their province, academics pursue highly diverse disciplinary and avocational interests. With higher education's emphasis on the communication and preservation of knowledge, it is often only a small step from each person's special interest to their desire to preserve the documentation of that area.

Most college or university archivists and manuscript curators have had the experience of a campus faculty member, perhaps a long-time archives user, asking them to accept and preserve the records of an organization, institution, or individual dear to his or her disciplinary or avocational interests. For historical societies, it may be a board member, a corporate donor, or a long-time user, but the dynamics are very similar. For example, an engineering professor who was also an environmentalist and geographer, as well as an archives user, approached the UIUC archives in the late 1970s to acquire the records of a citizen coalition organized a decade earlier to stop the Army Corps of Engineers from constructing a dam on the Sangamon river. Because of the involvement of campus faculty and students in the anti-dam movement, the records were a logical and valuable addition to the archives. This type of experience has been repeated many times and has laid the basis for the acquisition of many association archives.

In a few instances, the archives has taken the initiative by approaching associations with promising records. Most often, this interest in external records emerges from processing and providing reference service for faculty papers or institutional records that contain significant documentary material on a discipline or organization. For example, based on documentation about the National Association of State Universities and Land-Grant Colleges (NASULGC) found in UIUC campus administrative records, the archives approached NASULGC to acquire its archives to build on current strengths. Personal papers are also a common bridge to association records because faculty and alumni often serve as officers or even staff of associations. Since many associations do not have their own records programs, these personal collections of volunteers often provide the best documentation of the association.

In this light, it should not be surprising that many of the early association archives acquired were direct outgrowths of UIUC faculty papers collections. For example, the American Society for Quality Control (ASQC) archives project was initiated in 1970 in connection with the acquisition of papers collected by mechanical engineering professor John Henry, who was a founding member of ASQC. Similar circumstances explain holdings of records of the American Philosophical Society Western Division and the Council for Basic Education.

By 1971, the UIUC Archives had expanded to include the documentation of a handful of modestly sized extra-institutional organizations. Many of these arrangements were made on a relatively informal basis through a letter of understanding drafted after initial inquiries from the archives or the association. Existing archives staff would accession the records, process them, and make them available for research use.

The Need for Formal Arrangements

A major change occurred when the UIUC approached the American Library Association to acquire its archives. Because of the size of the ALA records—estimated at 500 to 900 cubic feet—and the obvious fact that such a large organization (then over 31,000 members) would continue to create records, it was clear that more formal arrangements would be necessary. Following examination of earlier reports and proposals prepared by archivists and ALA officers, the archives began working with university administrators and ALA staff to create a formal agreement for archival services. To address concerns of the many parties involved, several key principles were incorporated into an agreement:

- Before it could accept the ALA archives, the archives would have to articulate the benefits the ALA records would bring to the university's educational and research programs. Furthermore, the ALA archives would have to be open to campus researchers and students as well as to ALA members and staff.
- The ALA records would remain the property of ALA and thus be held on deposit. Although archivists normally prefer to obtain collections as gifts, a deposit agreement was a logical answer to many of the questions that arose. It was, however, unfamiliar to the campus legal and contracts officers, who could only understand this in the context of the Illinois warehousing legislation and who worried about whether acceptance of the ALA records might expose the university to liability in the case of copyright claims.
- In the midst of the first of a long run of financial crises, the university did not have funds to staff the ALA archives. The association had earlier determined that it did not have funds to support a full-time professional archivist at its headquarters. However, the archives, through the UIUC Graduate School of Library Science, had access to a relatively inexpensive source of capable graduate-student processors. Thus, the agreement would need to ensure that ALA would fund graduate assistants and incidental costs.
- As much as the ALA was prepared to pay for space, the campus legal counsel would not approve of the university becoming a landlord. Therefore, association archives have had to be accommodated within space already allocated to the university archives. This increased the necessity of accepting association archives only when there is a good prospect of research use.
- To ensure ample opportunity for review and reconsideration by both the archives and the ALA and to protect both parties' interests, the initial agreement was placed on a three-year basis with the option of renewal.

A document incorporating these principles was drafted, reviewed multiple times, and revised. The more than two years required to develop and revise an agreement seemed unduly protracted, but twenty years later, it is clear that the final agreement was very sound. Moreover, this lead-time is not dissimilar to subsequent experience with other associations. The agreement clarified relationships and responsibilities. Although minor revisions have been needed in a few paragraphs, the agreement has been renewed several times with three-year supplemental deposit agreements.

An essential part of this and other agreements has been that the association provides an annual payment to the university archives to cover a portion of the project's costs. Typically, the funds are used for graduate assistantships, student

hourly wages, supplies, equipment, photocopying, travel, shipping, and related costs. The predominant expenditures (87.1 percent) are for personnel.

From an administrative standpoint, the ALA agreement has been so successful that it has been used as a model for agreements and renewals with several other associations.² In some instances the archives has taken the initiative of approaching associations, such as with the Ad Council. In other cases, such as the Association of American Law Schools, success in related areas had led the association to submit a request-for-proposal to the archives and a number of other institutions. In a few instances, associations making such inquiries have decided not to place their records at the University of Illinois. In these cases, it may be that the costs are a deterrent, but we would rather "lose" the collection than take on a responsibility without sufficient resources and without the organization acknowledging, through modest payments, the cost of maintaining its heritage. In a few other cases, the collection has been "lost" to other institutions that also charge for archival services.

By mid-1993, the UIUC Archives had acquired the records of approximately forty associations and professional societies, with a total volume of over 2,500 cubic feet (about 1,000 of which are other than the ALA archives). Of the forty associations, ten have provided significant financial support. With seven, ongoing agreements exist, including regular payments comparable to the ALA model. In several cases, especially with small, defunct, or relatively inactive associations, funding needs are much less significant. From the larger associations, budgeting and staffing experiences are drawn for use when prospective donors, archivists, and faculty members request the archives to take on smaller bodies of non-university records and manuscripts. Referring to the agreement-for-archival-services model in such negotiations has helped secure one-time financial contributions sufficient to cover initial processing.

Conceptual and Practical Issues

These successful experiences suggest that there are distinct advantages to formal cost-for-service agreements between repositories and external organizations. However, considering agreements solely from an opportunistic or financial perspective overlooks several important philosophical and practical dimensions of such initiatives. These include benefits, institutional relationships, economics and ethics, goals, limitations, and outcomes.

Benefits of Association Archives. It is not only appropriate, but also desirable to solicit and preserve association archives within an institutional repository. Organizations are major players in modern society, reflecting and contributing to the growth of specialization and professionalization. At the same time, relatively few have the funds to initiate and sustain a free-standing professional archives. Linkages with institutional archives or manuscript repositories provide a means to secure professional archival help, continuity, and an orientation towards historical research and use. For archives, important strategic benefits exist to being involved with association archives. Through development of an organization's archives, a repository can reach a broad constituency and quickly illustrate the value of records and history to a captive audience. This enables an archivist to develop a national constituency and base of support to lend credibility to one's program with local resource allocators. For example, exhibits at the

national conventions of the American Association of Law Libraries, National Panhellenic Conference, and the Third Armored Division Association reach much larger audiences than otherwise would learn of the UIUC Archives.

Institutional Relationships. A college, university, or other institutional manuscripts repository that commits itself to the care of an external organization's archives may face questions from administrators in the parent institution. For example, a UIUC vice-chancellor once responded to the archives' request for more space with a lengthy inquiry as to why the archives was taking on what he saw as someone else's responsibility. Reference to how use of a contract for archival services ensured reimbursement for key expenses strengthened the archives' response. Perhaps equally important was the explanation of how these archives brought benefits that supported the university's goals for expanding its public constituencies.

At a university, the contracts can also fund graduate assistantships and thus enhance support for graduate education, because the association archives function as laboratory-like resources for training and research. Nevertheless, it is inevitable that the responsibilities involved in contracts may divert attention away from collections that constitute the repository's original mission. For these reasons, before taking on responsibilities for outside organizations, a very clear understanding of how the project can be tailored to support an institution's mission and services must exist.

Economics and Ethics. When the University of Illinois first began accepting money for archival services, a few archivists saw this as a mercenary endeavor more appropriate for the business world than higher education and cultural institutions. As limits on resources for archives and the costs of retention have risen, the fee-for-service approach has been more readily understood. In fact, professional colleagues now facing some of the cruel budget realities Illinois first saw in 1971 occasionally seek advice now on how to establish a fee-for-service archival agreement.

The primary justification for this approach is neither that it provides "income" nor that others are now trying to do the same. Instead, becoming a contractor for archival services is simply a matter of responsible stewardship—the circumstances require the acquisition of support along with acquisition of records. It is unrealistic to expect an archives' parent institution to have unlimited resources for the records of all those organizations that need and desire archival services. Furthermore, it is irresponsible of external organizations to regard their documentary heritage so lightly that they are unwilling to pay some very modest costs.

Although securing funds is essential to negotiations with external organizations, economic issues change the relationship between the archivist and the donor of records. For example, the zeal with which an archivist solicits manuscripts from potential organizational donors may be altered by the need to request funds as well as records. In an archetypical manuscripts solicitation program, one may be fairly aggressive in asking organizations to donate their records and papers, but a more qualified approach may be needed if one is also to request funds. Thus, sometimes an existential, if not ethical, dilemma exists—if an archives really wants an outside organization's records, dare it tarnish its appeal by saying it wants not only the files but also money to manage them? There is no single answer to this question, but the response should be

conditioned by the archives' institutional mission, the importance of the proposed collection, its relation to the collecting policy, and the archivist's assessment of whether the repository can handle the records with existing funds.

Requests for funds should not become the predominant issue in working with outside organizations. Obviously, one should not pursue an archives on the basis of its ability to pay. Rather, the best basis for such acquisitions is a clear relationship to existing collection strengths or user demands. At the University of Illinois, most association-archives programs have grown out of research areas that are already well-documented in faculty papers collections. For example, the acquisition of the archives of the national Panhellenic Conference was a natural outgrowth of extensive UIUC holdings in student affairs, fraternities, and sororities.

Setting Goals for Fee-for-Service Agreements

The most effective way to preclude the potential ethical and administrative murkiness in cost-for-service arrangements is to understand their fundamental purposes and develop responses to each situation based on goals rather than expediencies, even though specific objectives of a given agreement will vary with circumstances. The goals of the repository and those of the external organization will have much in common, but the best relationships will develop when each party understands its goals as distinct from, albeit related to, the other party's.

For an archives, the most important goals of a cost-for-service agreement are:

- 1) To enable the repository to ensure the selection, preservation, and research accessibility of the records of external, ongoing organizations that would otherwise not be manageable with existing resources.
- 2) To expand or strengthen the repository's research holdings in subject areas that address present or prospective future user needs and that complement existing archival programs and holdings.
- 3) To define the parameters of a relationship with an external organization and thereby clarify the archives' responsibilities.

For an external association or organization, the three primary goals of a cost-for-service agreement are:

- 1) To resolve records problems and ensure continuity of professional archival care for its documentary heritage and thereby provide for its preservation and accessibility.
- 2) To associate its records with an institution and repository involved in and committed to research and cultural preservation.
- 3) To clarify expectations and thereby provide measures of accountability for the archives' use of funds that the organization commits to the repository.

By starting relations with an understanding of such goals, and by developing objectives therefrom, the repository will be in a stronger position to deal systematically with the unique requirements of each organization.

Perhaps one of the most difficult issues for the repository is to decide when it may elect to provide archival services for one organization at reduced or no cost while still charging other organizations. By combining an understanding of the goals and objectives of cost-for-service agreements with a mutual understanding of resource limits, both the repository and the organization can negotiate this

difficult problem. Although it is important for the organization to accept that the costs of ongoing operations should include funding archival and records services, the repository must consider the prospective agreement in light of the organization's financial condition as well as such obvious variables as volume of records and level of use. It would be imprudent and irresponsible for the archives to require substantial immediate and ongoing funds if the organization is currently laying off staff, moving to smaller offices, or otherwise reducing operations because of decreased revenues. At the same time, the extent that the archives may be willing to reduce or provisionally waive its fee should be conditioned by how directly related the documentation is to its collecting policy and institutional mission.

Two final variables that might contribute to a repository varying its fees for services are the relative size of the organization's records and the alternatives the organization may have. Should the current volume be small and prospective future additions be modest, the repository might be prepared to reduce or forego fees at least at the outset, especially if the material is in the repository's core documentation areas. Similarly if the organization is unable to meet the usual fees but has found another repository willing to accept its records at no fee, one should be prepared to forego the acquisition rather than follow inconsistent practices dictated more by market conditions than by established policy. Because each circumstance will be different, it is impossible to develop a simple policy that covers all of the options for each main variable (size, resources, relation to collecting policy, etc.). The inevitable variations that will arise in practice will be most defensible and instructive if they are approached as a means of adapting repository and organizational goals to specific real-world circumstances. The archivist needs to ensure that decisions on each case proceed in a deliberative fashion and that he/she addresses each variable so that the ultimate decision can be explained clearly and confidently.

Limitations. Given the great variety of circumstances, both the repository and the external organization need to recognize the liabilities of cost-for-service arrangements. For the organization, these include removing records from its own physical control, ongoing costs, and the possibility that records reflecting negatively on its operations will be made accessible. For the repository, the agreements carry several liabilities. Even if income from fees provides for all space, processing, and reference services, the added records and activities will stretch existing resources for supplies, environmental control, overhead, and, most importantly, administrative planning and supervisory time. A second liability is that such well-supported and steadily growing bodies of records can begin to shift attention and focus away from other collections and programs until, in extreme cases, the repository becomes known more for the records of external organizations than for its more fundamental purposes. Maintaining focus can be made more difficult as result of a "snowball" effect of an archives' success—further organizations, sometimes with overlapping members, may also wish to deposit their records, perhaps stretching the archives even more.

No guarantees exist that such problems will not develop, but they need not become unduly burdensome. Even though it is highly unlikely that many archival service agreements will start from either an archives or an organization's strategic planning processes, the most effective strategy is to utilize a goals-oriented process in developing an initial agreement. Because no advance

planning can anticipate all or even most of the difficulties that may arise, it is important to establish archival service agreements for a fixed term. Three- or five-year renewable and revisable contracts will give both parties the flexibility to adjust resources, responsibilities, and expectations in a systematic fashion without exposing either to burdensome permanent commitments or worrisome mercurial relationships.

Outcomes. Is providing contractual archival services a mercenary overlay on archives or an entrepreneurial intrusion into business and association archives? In reality, it should be seen as providing a systematic way for establishing sound relations between an archives and an external organization. Such relations are inevitable as associations, businesses, and repositories work to the mutually desirable goal of documentary preservation. Through development of an agreement or contract document, one can clarify the ownership of archival material, the general kinds of documentation needed, and regulations for archival use. Most importantly, the authority of the archivist within the association and the responsibility for the records are clearly established. Without a financial incentive, it is too easy for outside organizations to simply ship records to the archives without ever completing a proper deposit or gift agreement.

Furthermore, by requiring the outside organization to pay for archival services, the organization is moved to recognize the value of archival materials and services. When faced with a carefully written archival services agreement, many associations realize for the first time that they truly need ongoing professional help if they are to properly manage their documentary heritage. For archival institutions, such agreements provide an important "reality check" by ensuring that archivists or institutional constituents, such as faculty, board members, or development officers, do not proceed too far in acquiring the records of large outside organizations without first determining whether resources will be available to provide minimal care. Otherwise, a repository may face processing backlogs or risk giving less attention to other, more directly pertinent, collections.

Conclusion

Overall, fee-based archival service agreements have provided a significant tool to promote archives' documentary and research service missions. At the same time, such agreements do not fit all circumstances. For example, the UIUC has been successful with non-profit service organizations, but work with medium or large for-profit corporations might require access restrictions that would be hard to justify in a public university setting. In such cases, corporate archives or sustained consultant services might be more appropriate. If the organization or corporation has a large body of historical records *and* can provide sustained financial resources to support a full-time archivist, the development of its own archival program would be a preferred way to ensure the preservation of its documentary heritage.

Despite these limits, the reality of the 1980s and 1990s suggests that developing a way for repositories to receive compensation for providing archival services is essential if archivists are to expand their reach and care for the records of the many institutions and organizations that are too small to support their

own archives. Establishing relationships involving fees for services offers an answer, but it can involve both legal and ethical complexities. It should be seen not as an opportunity to gain new resources and financial support, but as a responsible way to support program expansion so that archivists can increase the benefits they bring to society through the selection, preservation, and use of historical records.

ABOUT THE AUTHOR: William J. Maher has been Assistant University Archivist at the University of Illinois at Urbana-Champaign since December, 1977. He is a past-President and past-Secretary-Treasurer of the Midwest Archives Conference, and he served as Treasurer of the Society of American Archivists (1991-94). Earlier versions of this paper were presented at the Fall 1992 MAC meeting in Cleveland and the September 1993 meeting of the American Association for State and Local History in Columbus, Ohio.

NOTES

1. These numbers are based on listings in *Encyclopedia of Associations: National Organizations of the U.S.*, 28th edition (Detroit: Gale Research, 1993) and *Encyclopedia of Organizations: Regional and Local Organizations*, 3rd edition (Detroit: Gale Research, 1992).
2. A copy of a "model agreement" that the UIUC Archives uses as a starting point for negotiations with associations is included at the end of this article.

APPENDIX

At the University Archives of the University of Illinois at Urbana-Champaign, the following "boiler plate" text is used as a starting point for discussions with professional and educational associations interested in depositing their records in the Archives. Once the general terms have been agreed to by the Archives and the association, final text is reviewed, revised, and approved by legal counsel. For comment on some of the legal issues involved in deposit agreements see: Gary M. Peterson and Trudy Huskamp Peterson, *Archives and Manuscripts: Law* (Chicago: Society of American Archivists, 1985).

DEPOSIT AGREEMENT

THIS DEPOSIT AGREEMENT made this _____ 1994, by and between the Board of Trustees of the University of Illinois (the "University") whose principal office is at Urbana, Illinois, and the [organization name and address].

WHEREAS, the Archives of the _____ [organization name] are a valuable resource for scholarly research on the development of field of _____; and

WHEREAS, the resources of the _____ [organization acronym] do not permit the _____ to provide the essential elements of archival control; and

WHEREAS, it would be desirable to locate the _____ Archives in a large research library with adequate book and manuscript resources; and

WHEREAS, the University would realize a major benefit by accepting the responsibility for the _____ Archives in augmenting its resources for scholarly research in _____ and _____;

NOW, THEREFORE, in consideration of the premises and of the mutual covenants hereinafter contained, the University and the _____ hereby agree with each other as follows:

1. The _____ Archives consist of source or primary materials which are currently being housed in _____ offices in _____ and in private hands and shall be shipped to the University Archives as located, identified, and appraised. The term, Archives, also includes such other materials which the _____ shall ship to the University during the term of this Agreement. _____ archival material shall include, but not be limited to, the following materials:

- A. Material relating to the history, activities, and accomplishments of officers, committees, sections, and _____ in general.
- B. Historical incorporation, founding papers, and constitutions and by-laws.
- C. Statements of function or duties of officers and committees.
- D. Directories of members and lists of officers and committee members of committees.
- E. Annual reports, committee, and board reports.
- F. Agenda and minutes of meetings of the Executive Committee.
- G. Correspondence.
- H. Conference programs and proceedings.
- I. Inspection and accreditation files.
- J. Budgets, treasurer's reports, and records of investment, audits, and tax exemptions.
- K. Publications and press releases: one copy of all publications issued by _____ and its constituent groups.

2. The _____ Archives are to remain the property of the _____.

3. The _____ Archives shall be administered by the University Archives.

4. The _____ Archives shall be subject to such restrictions upon use as may be mutually determined by the Executive Director of the _____ and the University Archivist, provided that such restrictions upon use shall not be inconsistent with the legal duties and obligations of the University.

5. The term of this Agreement shall be from July 1, 1994 to June 30, 1997. This Agreement may be extended for additional periods under the same terms or such other terms as may be mutually agreed upon. This Agreement may be terminated by either party upon one year's written notice at the end of the period.

6. The _____ agrees to pay to the University as its full obligation under the term of this Agreement the sum of \$xx,xxx to cover the expenses contemplated by this agreement. Those expenses include, but are not limited to, the services of graduate research assistants; supplies and equipment for access to and conservation of archival material; photocopying; and the provision of telephone service. Such payments are to be made according to the following schedule:

- \$ x,xxx on July 1, 1994
- \$ x,xxx on July 1, 1995
- \$ x,xxx on July 1, 1996

(If payment is made by check, it should be drawn payable to the "University of Illinois" and sent to the Bursar, University of Illinois, Urbana, Illinois.)

7. The money contributed by the _____ under this Agreement shall be held as a special fund and shall be so carried on the books of the University.

8. All technical, clerical, and other personnel necessary to fulfill the purpose of this Agreement shall be employed by the University. Such personnel shall be considered to be employees of the University and shall in all respects be subject to the rules and regulations of the University governing staff members and employees.

9. The University shall provide the professional supervision of the University Archivist, who, with the approval of the appropriate representatives of the _____, shall exercise archival responsibilities for the evaluation and selection of records having long term value; the organization, processing and preservation of such records; the preparation of control documentation and descriptive finding aids and advising researchers.

10. The University shall provide the quarter-time services of graduate research assistants preferably in library science or history, who, under University archival supervision, will be responsible for accessioning, processing, describing and providing routine reference service for the Archives.

11. The University shall provide a secure, heated, lighted and shelved storage area to accommodate the _____ Archives. It is contemplated that the initial transfer shall not exceed 200 cubic feet of materials.

12. The Executive Director of the _____ and the University Archivist may agree to the transfer of any non-current records of the _____ to the _____ Archives. The University Archivist shall prepare appropriate guidelines and reports to facilitate the regular selection and transfer of archival documentation from offices to archival custody. Following consultation with _____ and the records creator, the University Archivist may discard or return material without long-term research value.

13. The University shall provide archival quality containers and acid-resistant folders for the _____ archival material.

14. The University shall provide a cumulative descriptive guide to the _____ Archives.

15. Within the limitations of the research assistant's work schedule, the University shall provide telephone reference service to the _____ headquarters office. Visiting scholars shall use _____ archival materials in the University Archives search room in the Main Library Building.

16. The _____ and the University shall prepare and issue rules governing access to and reproduction of _____ archival material by third parties. These rules shall not be construed so as to restrict the right of the _____ to consult or withdraw _____ archival material needed for administrative purposes.

17. This Agreement may not be assigned.

18. Notice hereunder to the University will be deemed to have been given when it is mailed, postage prepaid, to the University Archivist, University Library, University of Illinois at Urbana-Champaign, 1408 West Gregory Drive, Urbana, Illinois 61801. Notice hereunder to the _____ will be deemed to have been given when it is mailed, postage prepaid, to the [organization, address].

19. This Agreement shall be governed by the law of the State of Illinois, to which reference shall be made for its interpretation.

20. This Agreement may be amended by written agreement signed by both parties hereto.

21. Upon termination of this Agreement or any extensions thereof, _____ shall remove the _____ Archives from the University Library and shall pay shipping costs and expenses incident to such removal.

22. In the event all or any portion of the _____ Archives in the possession or under the control of the University are destroyed, damaged or lost, the University shall be obligated to pay to the _____ the sum of \$100.00 as liquidated damages and not as a penalty. Nothing herein shall preclude the _____ from securing policies of insurance at its own expense covering the _____ Archives which is in the possession or control of the University nor shall the sum of liquidated damages stated herein fix the insurable value of such _____ Archives.

IN WITNESS WHEREOF, the parties hereto have hereunto set their hands and seals the day and year first above written.

THE BOARD OF TRUSTEES OF THE
UNIVERSITY OF ILLINOIS

ORGANIZATION

By _____
Secretary

By _____

Approved for the University By:

Archivist/Project Director

Dean or Director

FROM CLASSROOM TO COMMONS: DOCUMENTING THE TOTAL STUDENT EXPERIENCE IN HIGHER EDUCATION

JOHN STRAW

ABSTRACT: As educators and researchers in higher education increasingly recognize the importance of the out-of-classroom experience in the education process, academic archivists are challenged to better document student life. Recent literature, sessions at professional conferences, and an admittedly non-scientific survey on the Archives Listserv attest to archivists' continuing efforts to collect documentation on this elusive, but significant, part of higher education. Using an endowed student life and culture archival program at the University of Illinois Archives as an example, the author examines the issues related to documenting the total student experience in American colleges and universities.

*Students Linked To Humans:
New Evidence Suggests that Students
Could Be More Like Us Than Previously Believed*

The headline above was printed on the first page of *The Onion*, "a satirical weekly" newspaper distributed on the University of Illinois campus. A photograph accompanying the article showed a student strapped into "scientific" apparatus and the caption stated that "at the Institute for the Study of Student Behavior, scientists monitor students around-the-clock for signs of intelligence." The article reported the Institute's findings that "students can and do exhibit behavioral traits which until now were thought to be exclusive to humans and some higher apes."¹

This article, which is preserved in the university archives, provides an example of student humor in the 1990s. But as with all satire, it works on another level as well. In its biting (and perhaps slightly sophomoric) way, it gives credence to the question that educator Michael Moffatt posed to his colleagues in higher education: "Why should we care about anything as nonintellectual and low-life as college life often turns out to be?"²

Academic archivists struggle with the same question. With the perennial problems of shortages of staff, space, money, and time that afflicts almost all of us, why should archivists expend their limited and over-taxed resources on try-

ing to document student life? Where should they place the documentation of student life in their crowded and continually growing list of priorities? The limited archival literature on the subject, plus responses to a non-scientific survey that I conducted over the Archives Listserv, suggest that archivists understand the need for documenting student life. However, it is also apparent that most efforts in this area have traditionally been sporadic and often serendipitous.³

Recent literature on college and university archives and sessions at professional conferences attest to an increased awareness and interest in the topic of documenting students and student life.⁴ Developing new documentation strategies, conducting oral history interviews, monitoring student electronic conferences, and even establishing an archival program dedicated to documenting student life are all innovative approaches being undertaken in academic archives. These new efforts encompass and complement many of the traditional means of documenting student life, including collecting and preserving scrapbooks, photographs, student and alumni papers, student publications, and student organizations material. But an awareness exists among archivists that many of these traditional forms of documentation do not capture enough of the constantly changing phenomenon that is student life. Technology has created even more challenges as new generations of students and student groups employ computers in increasing numbers.

Defining Student Life

Prior to any discussion of the value of documenting student life or how to document it, a definition of student life is essential. Defining student life is not an easy task. It is a diverse concept with often shifting and sometimes obscure lines. Helen Lefkowitz Horowitz called it "campus life," while others have referred to it as college life, campus culture, the undergraduate experience, and the outside-the-classroom experience.⁵ Traditionally, it has most often and popularly been referred to as extracurricular activities. It is definitely outside the curriculum, but is perhaps broader than that term implies. Student life encompasses the social, recreational, cultural, political, religious, and all other aspects of the student experience beyond the classroom.

Educators and researchers in higher education are increasingly recognizing the importance of out-of-classroom experiences in the education process. Mayhew, Ford, and Hubbard found that "virtually every study of the impact of college on students underscores the out-of-classroom collection of experiences as being the most potent educational force affecting the student's development."⁶ When examined as a percentage of time in a student's educational life, the significance of this "hidden curriculum," as some researchers refer to the out-of-class experience, becomes clear. Ernest Boyer illustrated this point well when he presented the following analysis of a typical week in the life of a college student:

There are 168 hours in a week. If the student takes 16 credit hours and spends 2 hours in study for each credit hour of instruction (a generous estimate!) that means 48 hours of the week are devoted to academics. If 50 hours are assigned to sleep, that leaves 70 hours in the student's life unaccounted for, a block of time greater than either sleep or academics.⁷

Whether we agree with the specific numbers that Boyer estimates or not, it is evident to educators, parents, the media, and archivists, that a significant amount of a college student's time, and thus his or her educational experience, is spent outside the classroom. To capture the total student experience in higher education, academic archivists are challenged to find ways to document the elusive phenomenon that is student life and culture.

Documenting Student Life and Culture

In their recent books on college and university archives, Helen Samuels and William Maher have discussed some of the basic ways archivists document student life and many of the problems.⁸ Each archives determines the amount of time and effort it can assign to the task of documenting student life based on factors such as available staff, finances, and institutional support. An example of an increased effort to document student life can be found at the University of Illinois Archives where a student life and culture archival program has been established. While this program may be unique in many aspects, the documentation efforts being attempted, services being offered, and problems being faced may provide some guidance for other archives in the area of student life.

Background information on the program may help to understand its goals and objectives. The University of Illinois Archives began acquiring records relating to student life as soon as the archives was established in 1963. Soon after that, Stewart Howe, a 1928 graduate, became a regular user and supporter of the archives. Ultimately, he provided the impetus, and financial support, for the development of the student life and culture archival program.

Howe was founder of the Stewart S. Howe Alumni Service, which provided management, public relations, and fund-raising assistance to fraternities, sororities, and institutions of higher education. He had a life-long interest in higher education and was a dedicated collector of material dealing with fraternal organizations and other areas of student life. When he died in 1973, the materials that he had collected for 40 years were willed to the archives and became the "nucleus of our research collection for the study of student life in the American university."⁹ In 1989, the Stewart Howe Foundation, through its president Carlyle Anderson, signed an agreement with the University of Illinois that created the Stewart S. Howe Archival Program Endowment to develop archival holdings in this area. Supported by this endowment, the student life and culture archival program was established and a full-time archivist for the program was hired in 1991.

While documentation of the student experience at the University of Illinois remains at the center of the archives' efforts, the endowment allows the student life and culture archival program to expand its scope to documentation of student life on a national basis. The basic goal of the student life and culture archival program is to provide a centralized research collection in the area of student life. The program's growth and development reflect the issues involved in documenting student life and offers some responses to these issues.

Collecting the Collectors

Maynard Brichford has written about the process of "collecting from the collectors" as being an important way of strengthening research collections. By

relying on "the specialized skills and detailed knowledge of persons who invest their time and money in building unique collections," archives can collect sources that augment existing holdings.¹⁰

Adding materials that others have already collected is an effective way of enhancing the documentation of student life. An example of this type of documentation activity can be found in most archives with the collection of scrapbooks, photographs, diaries, correspondence, and other items from alumni. The University of Illinois student life and culture archival program has benefited from acquiring personal collections from individuals who specialized in the area of student life. A primary example is the Stewart S. Howe Collection.

The Howe Collection contains over 335 cubic feet of books, journals, newsletters, clippings, photographs, correspondence, and other documentation on student life and higher education. A few highlights from the collection include *Manners and Customs of Ye Harvard Students* (1877), a scrapbook of a Yale student from 1867-72, and scrapbooks from Berkeley and other campuses with materials on student demonstrations from 1964-72. The collection is strong in the area of "political and social literature relating to student life" especially in the 1960s.¹¹

Howe's primary interest was in fraternities and sororities, so the collection is particularly strong in that area. It contains publications and files of clippings, brochures, and other documentation on over 223 different fraternities and sororities dating from 1867 to the present. An already sizable collection of fraternity/sorority journals was more than doubled by the transfer of a large number of volumes from the University of Illinois Library to the Howe Collection in 1992. Stewart Howe was instrumental in bringing two other student-life related collections to the archives: the Clyde S. Johnson Fraternity Collection, 1931-70, and the Leland Publishers Records, 1933-71. Johnson was professor of Educational Psychology and Social Foundations at California State University. He was an important supporter and chronicler of the American college fraternity and author of *Fraternities in Our Colleges*. The research materials for this book are central to the collection, which is also strong in bibliographic materials relating to fraternity and sorority issues and especially on the topic of fraternity autonomy in membership selection. The Leland Publishers Records are the papers of Leland F. and Wilma S. Leland who published *Fraternity Month*, an interfraternity magazine, from 1933 to 1971. Primarily containing documentation used in compiling articles for the magazine, the collection contains photographs, correspondence, and other materials on fraternities and sororities.

In 1992, the archives received another important collection in the area of fraternity and sorority life: the Wilson Heller Papers, 1937-83. Heller was known as "Doctor to the Greeks." His College Survey Bureau provided annual comparisons of college fraternities and sororities. The comparisons were based on surveys of student views of the "importance, prominence, and power" of individual chapters on each campus. Heller also published *Fraternity Insider* from 1960 until his death in 1983. His papers consist of correspondence, notes, surveys, and other documentation used in compiling the annual comparisons. The collection provides a unique view of the college fraternity world.

The program is further strengthened in the area of Greek-letter societies by the archives for the National Panhellenic Conference (1902-92), Alpha Lambda Delta (1924-93), Beta Alpha Psi (1927-92), and Phi Eta Sigma (1927-80), as

well as a wealth of information on University of Illinois fraternities and sororities.

Including Student Subcultures

The archival documentation of fraternity/sorority life has its own set of difficulties, from the secrecy of most fraternities and sororities to the sheer number of organizations that exist. However, documenting this traditionally small but influential subculture of student life is important. This subculture is just one of many in need of better documentation.

Just as American society is made up of subcultures (and college students are one of those subcultures), so is student society.¹² Many of the divisions are the same as in society at large: racial, ethnic, gender, sexual preference, and political philosophy. In addition to the fraternity/sorority one ("Greeks"), student subcultures form along lines such as dormitory residents ("Dorm Rats"), athletes ("Jocks"), and by curricular, social or other special interest groups. Evidence of student subcultures can be found by examining the names of student organizations. On most campuses, each year usually brings new organizations that reflect the political, moral, intellectual, cultural, and social interests of students.

Like other archives, the University of Illinois program attempts to collect publications and other materials from student organizations, flyers and posters from bulletin boards, and brochures or other items from student activities and programs. A student intern assisted in compiling a list of student organizations, past and present, to contact about material. A graduate assistant is working with the University's Housing Division to obtain materials from them, such as residence hall newsletters, flyers, announcements, and any other student-generated documentation on residential life and activities.

Computer technology is affecting all areas of modern life including student life. Monitoring electronic student discussion lists is one way of capturing some documentation (in electronic form) on student life and student subcultures. The University of Michigan has done some pioneer work in this area.¹³ At the University of Illinois, the local Gopher system is a means of accessing information on student organizations and events, including the student newspaper index. We also are exploring options for monitoring a group "Chat Line" that is open to students and other groups, recognizing that issues of privacy, copyright, and literary rights need to be addressed first.

Specialized subject guides to student subculture materials in the archives are useful for researchers and for the archivist to see where documentation efforts are necessary. For example, as part of the student life and culture archival program, the archivist is compiling a guide to African-American Sources in the University of Illinois Archives. A guide to women sources is also available. A database and printed finding aid to materials on fraternities and sororities have been created. Guides on materials documenting other subgroups may be prepared in the future. In 1991 Maynard Brichford and Melba Kurman compiled a *Guide to Student Life and Culture Sources in the University of Illinois Archives at Urbana-Champaign*. This guide details 675 collections and record series related to student life and can be used to identify materials on student subcultures as well. It and the specialized guides on African-American and women sources are being prepared for inclusion on the Gopher system.

Capturing the Elusive

While certain aspects of student life, such as student organizations, publications, athletics, and other activities, are more easily identified and documented, much of student life is unorganized, individualized, and transitory. A significant part of the education process never gets into print or recorded anywhere but in the student's memory. Innovative and proactive methods are necessary to document these personal and elusive elements of student life.

Oral and video history interviews are an effective way of capturing the more personal aspects of student life. For the student life and culture archival program, we have made an appeal through the Library Friends newsletter for funds to purchase a video recorder to record video histories at class reunions and of individuals' reminiscences of their student experiences. As an example of traditional oral history, the archivist recently taped an interview with an alumnus from the class of 1933 who worked for twenty years as a manager of the Illini Publishing Company overseeing the production of the student newspaper, yearbook, and other student publications.

Any oral history program is very time-consuming. An alternative to the archives staff doing oral histories on student life is to collect those done by other individuals. In preparation for a book about student unrest in the 1960s, a retired administrator from the University of Illinois is recording interviews with some campus "radicals" from that period. The university archives will receive copies of these tapes when the project is complete.

Another proactive way of gathering information on student life is by surveys of alumni. At Illinois, the archivist for student life and culture has worked with the Alumni Association in preparing a questionnaire asking alumni about their student days. These surveys will be included as part of class reunion packets. Alumni are presented with some specific questions about experiences outside the classroom and given a chance to relate some stories in more detail. They are also asked to rate the importance of their out-of-class experiences and provide information about housing, student organizations, and other activities. Finally, they are asked if they have any materials on their student days and are given instructions on how they can donate them to the program. This survey provides an opportunity to collect data about student life and to inform alumni about the student life and culture archival program. Since the first set of surveys has not been distributed at the time of this writing, the results of the project cannot be reported.

Documenting Different and Broader Views

In attempting to document student life, it is necessary to be aware of the student perspective and the administrative/faculty perspective. These views of student life are seldom the same. Moffatt states that "for reasons of perspective—differences of age, generation, and institutional location and agenda—college is never the same for adults who run it as for the late-adolescents who typically make up most of its residential undergraduates."¹⁴

This is not to say that preserving the "official" view of student life is not important. Many official records of the university hold significant information on the life of students in higher education. Examples from the University of Illinois Archives include the records of the Dean of Students office. Thomas

Arkle Clark was known as the first Dean of Men in the nation. His papers hold a wealth of information on the development of that office and how it affected the lives of students. His successor, Dean Fred Turner, was also prominent in the student affairs world and his papers are a valuable source of information on student life. The papers of the Deans of Women are excellent sources for examining women student life in higher education. Examples of other official records that are useful in documenting student life include those from the offices of housing and residential life, registered student organizations, and Greek Affairs. The interaction between these offices and students is important in achieving a balanced perspective of student life. No source, no perspective should be overlooked or undocumented. The University of Illinois Archives has over 1,700 cubic feet, or 5.1 million items, that relate to student life, including many of the official records of the university.¹⁵

When documenting student life, it is also important to take into account the fact that student life and culture does not occur in a vacuum. There may have been a time, though some would argue that such a period ever existed, when the college campus, and thus the student experience, was viewed as an idyllic oasis, divorced from much of the realities of the outside world. Such a place and time is long passed. The evidence conveyed in our daily newspapers and on television tells us that the days of academic insulation are long over. Aids, drugs and alcohol abuse, sexual harassment and assault, racism, serial murders, and other violent crimes have flung wide the mahogany doors of academe. As the student population has changed, the university has become a microcosm of society. It is important to remember that the student's world is shaped by "general American culture, and especially nationally defined, media-born youth culture."¹⁶ Evidence of this influence can be found in student life materials such as both student-produced and administration-produced publications on the problems that today's students face. The impact of the "real world" on student life is also reflected in the advertisements, personals, and editorials in student newspapers, the issues that students address in their electronic discussion groups, and the types of organizations that students form.

Outreach and Development

Outreach activities are important for developing a collection of student life material and for bringing in users. Examples of outreach efforts by the student life and culture archival program include exhibits, publications, talks to student groups and leaders, and working with the Office of Student Affairs, the Alumni Association, and other groups.

Subjects of exhibits which have used documentation from the collection have included student scrapbooks and memorabilia illustrating student life, fraternity and sorority history, student organizations, student interests, preservation of Greek housing, and student humor magazines. Students in the archives course offered through the library school have been given options for preparing exhibits that have included such student life topics as student traditions and folklore, history of a student organization, and fraternity pledging and rushing. A student intern did an exhibit on the early history of fraternities and sororities at the University of Illinois. The university archives loaned material from the Stewart Howe Collection to another university for an exhibit. The Black Greek-

Letter Association used items on the African-American student experience at Illinois in an exhibit for Martin Luther King's birthday celebration.

Talking to student groups is an effective way to promote collection efforts. By having groups such as the Panhellenic and Interfraternity Councils hold meetings in the Archives Research Center, we have been able to tell them about the student life and culture archival program. The results have been increased awareness of the program on campus and by students, acquisition of new material, and new users and supporters.

A close working relationship with student affairs and alumni association personnel can result in materials documenting student life coming to the archives. At Illinois, the Office of Student Affairs frequently sends material to the student life and culture archival program and helps promote its use. The Alumni Association passes along scrapbooks and other items received from alumni.

Working with the University of Illinois Library Development and Public Affairs Office, we have sent out press releases about new collections and developed handouts and brochures about the program. An article in the *Chronicle of Higher Education* and a short piece by a public radio station have been beneficial to promoting our collection efforts as well.

Uses and Users

An examination of potential uses and users is helpful in justifying the collecting and preserving of student life material. The areas of sociology, education, and history provide a natural constituency for scholarly investigation in the realm of student life. Another group of users are the university administrators, especially those involved in student affairs or services. Development officers often use student life sources in their fund raising efforts, especially photographs for promotional publications and historical film clips for videos. Alumni Association personnel are frequent users and allies. Student life sources also are popular among alumni and the media.

In a time when many universities seek to enhance programs for undergraduates, it is important for archives to cultivate the undergraduate user. Material on student life provides numerous ideal opportunities in that area. Undergraduates are often some of the most enthusiastic users as they learn about the resources available. During the 30 years since the University of Illinois Archives was established, student use has been a significant percentage of the annual usage of the archives. An examination of usage statistics from annual reports shows that undergraduate and graduate student use was 36% in 1963-64, achieved a high of 59% in 1975, and has been in the 35% to 45% range in recent years. While the percentage fluctuated, the 30 year average for student use has been 45%. A review of use records reveals that the most frequent use by students is for classroom and course assignments. Students also frequently use the archives for seeking information on relatives and friends.¹⁷

From a public relations standpoint, and especially in these hard economic times, it is important to remember that students become alumni. A few may even have money someday to give to the archives. Beyond this materialistic motivation that the most pure of heart in the academic community may disdain, the area of student life presents an outstanding opportunity to bring students into our fold of users.

Since the student life and culture archival program started in 1991 at the University of Illinois, use of its particular resources has steadily increased as researchers have become aware of the program and the sources available. Users have included students, faculty, administrators, and researchers from other universities. The most frequent student users include members of fraternities and sororities, Panhellenic, Interfraternity Council, and other student organizations, as well as undergraduates researching class projects. A different type of student use occurred when a graduate student from another institution did an internship in the student life and culture archival program in lieu of a thesis. Administrative users have included the offices of Greek Affairs, Registered Student Organizations, and the Dean of Students. Because of the strength of the program concerning the college fraternity system, the largest percentage of use continues to be in that area. Research topics have ranged from hazing to an investigation of potential parallels between the historical development of some fraternities and the Ku Klux Klan. A class in the history of higher education met twice in the archives and the archivist assisted the students with sources for papers on topics such as the development of college football, higher education for women in the 1920s, and student riots and protests in the 1930s.

Because of the diverse nature of student life and the difficulties with documenting certain aspects of it, improved user education is essential. While individual research needs dictate the amount of guidance necessary, it is important to take users beyond looking at yearbooks, student newspapers, and course catalogs into types of documentation they might not think of consulting. Working with researchers in this area is a two-way educational process. While we are guiding them to new sources, they are making us aware of the type of documentation that is needed but may be missing. Working together we can improve how we document student life.

Conclusion

Thanks to a generous former student, the student life and culture archival program at the University of Illinois Archives has the financial resources to support its efforts to document student life. While the University of Illinois Archives, like many others, has long been dedicated to preserving the history of its students, this endowed program offers the opportunity to expand the scope and effort. Even with this support, the task is not an easy one. Differences in institutions, their size and missions, and a constantly changing student population create diverse campus cultures and student experiences. Still, whether on an urban commuter campus, a small liberal arts college, or a large university, there are many elements of the student experience that are the same. Documenting both the diversity and the similarity is a challenge. We have not solved the many problems of how to properly document all aspects of student life, but at least we have the time and resources to tackle the issues and hopefully make some progress. Perhaps our efforts can help others.

As we look to the future of the program, one of our goals is to network with other archives and work with them in documenting student life. For example, the National Student Affairs Archives at Bowling Green State University holds a wealth of collections concerning student affairs professional associations. The program to collect student electronic conference materials at the University of

Michigan is another area for potential information-sharing. As a center for research in the area of student life and culture, it is important that the University of Illinois program communicate and cooperate with any efforts that the archival profession undertakes in this area. That is the only way we can effectively serve our users and help them locate the information they need regardless of where it resides.

Returning to Michael Moffatt's question of why should we care, which translates into the archivist's dilemma of why should we attempt to document student life, any potential answers start with the users. The answers lie in the need for serious, scholarly, and systematic research in the area of student life from many angles so that educators can understand the realities of the education process. In 1899, William Harper of the University of Chicago said that the "scientific study of the student would be the next great research field in higher education."¹⁸ As we approach a new century and a new millennium, there is a wide range of important research in this area yet to be undertaken. Hopefully, we can find the documentation to meet these needs.

ABOUT THE AUTHOR: John Straw is archivist for student life and culture at the University of Illinois Archives at Urbana-Champaign. From 1987 to 1991, he was University Archivist at Virginia Polytechnic Institute and State University in Blacksburg, Virginia. He began his archival career as Archives Senior Assistant at Indiana University-Purdue University in Indianapolis in 1981. An early version of this article was presented as a paper at the 1993 Society of American Archivists conference in New Orleans.

NOTES

1. *The Onion* (Champaign-Urbana, Illinois, 26 August-1 September, 1993), 1. University of Illinois Archives, record series 41/18/815.
2. Michael Moffatt, "College Life: Undergraduate Culture and Higher Education," *Journal of Higher Education* (January/February, 1991), 44-45.
3. While the literature on documenting student life is limited, it is growing. Two recent books on college and university archives that address the subject in detail are: William Maher, *The Management of College and University Archives*, (Metuchen, New Jersey: Society of American Archivists and The Scarecrow Press, Inc., 1992), and Helen W. Samuels, *Varsity Letters: Documenting Modern Colleges and Universities*, (Metuchen, New Jersey: Society of American Archivists and The Scarecrow Press, Inc., 1992). Earlier references can be found in: Nicholas C. Burckel, "The Expanding Role of a College and University Archives," *Midwestern Archivist* 1 (1976): 3-15, and Charles B. Elston, "University Student Records: Research Use, Privacy Rights, and the Buckley Law," *Midwestern Archivist* 1 (1976): 16-32.

Responses to the non-scientific survey that I took over the Archives Listserv showed that all of the small number of archivists who responded (less than 10% of the subscribers to the Listserv) agreed that documenting students and student life was important. Most of them were at least attempting to do some documentation in this area given limited resources and time. The most frequently mentioned means of documentation included oral histories, scrapbooks, student newspapers and other publications, photographs, clipping files, memorabilia, yearbooks, student organizations material, personal papers, and the official records of the institution. A couple of responses indicated indexing student newspapers and doing videos of student events. The general consensus was that most of the collecting activities were "incidental" to collecting official university records and publications.

4. At the Midwest Archives Conference meeting in May 1992 a session chaired by Penelope Krosch entitled "There is More to College Life Than Studying: Documenting Students" included papers by Anne Gilliland-Swetland, Sara Shutkin, and the author of this article. A session

with the same title but some different participants was held at the Society of American Archivists meeting in September 1993. Roland Baumann served as chair and commentator and papers were presented by Sara Shutkin, Pamela Dean, and the author.

5. Helen L. Horowitz, *Campus Life: Undergraduate Culture from the End of the Eighteenth Century to the Present* (New York: Alfred A. Knopf, 1987). This is an excellent source of information on the history of student life.
 6. Lewis B. Mayhew, Patrick J. Ford, and Dean L. Hubbard, *Quest for Quality: The Challenge for Undergraduate Education in the 1990s* (San Francisco: Jossey-Bass Publishers, 1990), 96. For other discussions of the importance of student life in the educational process, see: Howard S. Becker, "What Do They Really Learn at College?" in *College and Student: Selected Readings in the Social Psychology of Higher Education* (New York: Pergamon Press, 1972); Ernest L. Boyer, *College: The Undergraduate Experience in America* (New York: Harper and Row, 1987); Ernest Earnest, *Academic Procession: An Informal History of the American College (1636-1953)* (Indianapolis: Bobbs-Merrill, 1953); J. F. Kett, *Rites of Passage: Adolescence in America 1790 to Present* (New York: Basic Books, 1987); Michael Moffatt, "College Life: Undergraduate Culture and Higher Education," *Journal of Higher Education* (January/February, 1991): 44-61; David Schoem and William Knox, *Students Talk About College: Essays from the Pilot Program* (Ann Arbor, Michigan: Prakken Publications, 1988).
 7. Ernest L. Boyer, 180.
 8. In her functional analysis of colleges and universities, Samuels listed fostering socialization as one of the functions of institutions of higher education. She stated that this socialization process "includes the informal learning that takes place outside the classroom in a planned and unplanned manner." She asserted that "little evidence" exists of the bulk of these activities and that what does exist is "created by the administration and the faculty." Samuels described the type of documentation that does exist and presented a "documentation strategy" for student life materials. See pages 75-105 of *Varsity Letters: Documenting Modern Colleges and Universities*.
- Maher approached the problem of documenting student life from the perspective of collecting materials on student organizations. He stated that these organizations "provide evidence of the personal interest of students." He asserted that documenting them is "critical" because they represent aspects of student life that cannot be found in official records. Maher discussed the problems of collecting student organization material and suggested ways of dealing with these difficulties. See pages 233-247 in *The Management of College and University Archives*.
9. Maynard Brichford, "Student Life and Culture Resources in the University of Illinois Archives," YMCA/Know Your University talk, 26 February 1991.
 10. Brichford, "Collecting from the Collectors," *Friendscript* 5:2 (Summer 1983), University of Illinois Library Friends newsletter.
 11. Brichford, YMCA/Know Your University talk.
 12. For a discussion of student subcultures, see David Gottlieb and Benjamin Hodgkins, "College Student Subcultures," in *The College Student and His Culture: An Analysis*, edited by Kaoru Yamamoto, (Boston: Houghton Mifflin, 1968), 238-254.
 13. Beginning in September 1991, Anne Gilliland-Swetland and Gregory T. Kinney served as project archivists for the Bentley Historical Library electronic conferencing project, which was supported by a NHPRC grant, to determine if "electronic conferencing has potential to document the intellectual, cultural, and social environment of colleges and universities, and then make recommendations regarding the archival appraisal and accessioning of such materials." (Anne J. Gilliland-Swetland and Gregory T. Kinney, *The Use of Electronic Communication to Document an Academic Community: Six Month Report*, Bentley Historical Library, University of Michigan, 1992, p. 1) They appraised 75 conferences and found that "electronic conferences contain information which is unique or which significantly supplements traditional sources of archival information." (Gilliland-Swetland and Kinney, p. 6) Gilliland-Swetland delivered a paper at the Midwest Archives Conference in May 1992 discussing the findings of the project as related to the potential of electronic conferences in documenting student life.
 14. Moffatt, 45.
 15. Brichford, YMCA/Know Your University talk.
 16. Moffatt, 45.
 17. Statistics and information gathered from University of Illinois Archives annual reports for 1963-64 to 1992-93.
 18. Irving J. Spitzberg, Jr. and Virginia V. Thorndike, *Creating Community on College Campuses* (New York: State University of New York Press, 1992), 22.

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APPRAISAL OF CONGRESSIONAL RECORDS AT THE MINNESOTA HISTORICAL SOCIETY: A CASE STUDY

MARK A. GREENE

ABSTRACT: The papers of U.S. Senators and Representatives are fundamental sources for local and national history. However, their tremendous bulk and complexity makes such collections increasingly difficult for repositories to appraise and administer. The Minnesota Historical Society, which has one of the largest collections of Congressional papers in the nation, assembled an internal committee to tighten its appraisal criteria. Drawing from two decades of mostly abstract articles and books on Congressional records appraisal, the Society created a concrete records disposition list. This list has been invaluable in communicating with Congressional staffs (improving the content and reducing the size of accessions) and promises to deliver substantial space reductions through reappraisal.

“Because the documentation of Congress...directly reveals the will of the people as expressed through their elected representatives, it is especially crucial to preserve evidence and information about the legislative process and make it accessible to the public.”¹ That Congress should be documented is surely indisputable. The hard question is how to document Congress and—perhaps hardest of all—how *much* documentation is necessary. Both these hard questions have been discussed on and off in the archival literature for many years. But little has been published which attempts to connect the theory of appraising Congressional papers to the reality of a repository with an aggressive and broad collecting mandate. This article is a case study of how one such repository, the Minnesota Historical Society (hereafter, Society), converted theory into practice.

The History of Collecting Congressional Papers at the Minnesota Historical Society

The Minnesota Historical Society's interest in documenting public affairs has a long history, beginning with its organization in 1849 by men who were themselves active participants in politics and government. For more than a century before this emphasis was defined in a Public Affairs Center (1967), they and their successors on the Society's governing board, the staff, the state legislature,

and the public at large collaborated in bringing together a rich store of information. Among its holdings are the papers of many of the state's Representatives and nearly all of its Senators. These collections have brought the Society prestige, research use, strong documentation of individuals and issues throughout Minnesota, and (not unimportantly) relationships with politically powerful elected officials.

The breadth and depth of the Society's holdings of Congressional papers places it in a unique position nationally as the single largest repository of such material outside the Federal Government. To date, these collections total nearly 6200 cubic feet (this does not include the Vice Presidential portions of the papers of Walter Mondale and Hubert Humphrey), or approximately 16% of the Society's total manuscript collection. A full 95% of this volume documents Congressional activity since World War II; 82% (5000 cubic feet) since 1960 alone. These figures do not include ancillary public affairs collections such as the papers of the state's governors, the papers of appointed officials such as U.S. ambassadors Max Kampelman and Eugenie Anderson, the records of the state's major (and several minor) political parties, and the records of organizations such as the League of Women Voters and the Citizens League. The Minnesota Historical Society serves, moreover, as the archives for the state of Minnesota. Decades before the "documentation strategy" called for in *The Documentation of Congress*, the Society recognized the essential interrelationship of the state's many layers and kinds of political documentation.²

The Society's collecting of Congressional papers has taken place within the context of certain important assumptions and principles. As Roger Davidson argued in 1991, to understand Congress, or the reasons for documenting it, "one must first recognize its duality. One Congress is the lawmaking institution, the Congress of the textbooks. The second Congress is the representative assemblage of...men and women of diverse backgrounds...and personal and political beliefs. Their electoral fortunes depend...not upon what Congress produces collectively, but how well they individually cultivate the support and goodwill of voters...miles from the Nation's Capitol."³ Hence the importance of documenting Congress and its members has both a national and a local/personal component. On the one hand, the records of Congress are essential for understanding the nation's political history; on the other hand, "all politics is local" and each individual Senator and Representative (shaped by his or her own background and beliefs) represents and shapes state or district concerns. The personal papers of individual Congresspeople are one key component to documenting this duality.

Moreover, the Society has implicitly made a commitment to document its Congressional *delegation*, not simply to document individual Congresspeople. Unlike many other repositories of Congressional papers in other states, it has embraced the idea that the group of individuals representing the state in Washington is more than the sum of its parts. These collections are important both as pieces of a national collection documenting Congress as a whole, and as resources for more local study: the lives and attitudes of individual elected officials; the interaction (political and personal) of the state delegation; the local (district, state, and regional) issues and concerns which formed the crucible of national action. In the past, however, the commitment to the delegation existed side by side with a desire to comprehensively and exhaustively

document each Congressperson individually. Implicit in this approach was a belief that all functions of every Congressional office must be documented, and an unwillingness to make difficult (and possibly unpopular) appraisal choices. Short of financial receipts and award plaques, every record generated by every Congressional office was sought and retained. By contrast, only a small portion of the records created by a business or other organization are accepted.

The Need for Appraisal Guidelines for Congressional Papers

Historians and other users of Congressional papers have admitted (often against their will) that the size of modern Congressional collections—and especially the ever diminishing ratio between content and quantity—make them difficult and frustrating to use; at the same time, many researchers are becoming increasingly adept at using the wide range of other sources which document Congress in less bulky form. In the words of one scholar, “Congressional collections are far larger than they need to be in order to reflect the important issues and activities that they document,” and “only by paring down these collections to their unique elements will archivists succeed in making them useful to researchers and manageable for archives.”⁴ To be blunt, however, making Congressional collections manageable for archives is an even stronger imperative than making them useful to researchers. Unless archivists can develop appraisal guidelines to significantly reduce the size of Congressional collections, overall documentation of Congress will suffer because fewer collections will be preserved. “Because of the growth in the size and complexity of these collections, congressional staff and archivists need to improve their understanding of what constitutes archival material and to develop the management skills to ensure its preservation.”⁵

It was, ironically, the Society’s construction of a \$74 million building in 1991-92 which focused attention on appraisal issues. While the new building (called the History Center) contained about 50% more archival storage space than our previous facility, our past rate of acquisitions would fill this space in less than half the time it took us to outgrow our previous building. Simply put, the Society does not (and will not) have the resources to acquire, arrange, and store Congressional papers at the rate it has done in the last decades. In 1991, therefore, we assembled an interdivisional committee to review our past collecting and issue appraisal guidelines. These guidelines, once approved by the Society’s director and Executive Council, would govern future collecting and also guide reappraisal efforts. The committee represented the Acquisitions and Curatorial, Reference, Research, Processing, and State Archives departments. The Acquisitions staff is charged with negotiating with donors as well as making appraisal decisions; Reference and Research represent both the general public and academic users of our collections; Processing organizes and describes the collections; State Archives represented neutral but interested observers.⁶

Several previous studies, discussions, and recommendations existed on which to build our appraisal guidelines, but none offered an adoptable blueprint.⁷ The most specific set of appraisal recommendations to date was Karen Dawley Paul’s, *Records Management Handbook for United States Senators and Their Repositories*. Paul’s handbook was indispensable in identifying and defining records series, but in several instances her retention guide-

lines give disproportionate weight to the individual Senator rather than to documenting the office, the delegation, or the institution.⁸ The less formal House retention guidelines are more realistic about space constraints and researcher interest. However, the House handbook does not (cannot) modify the appraisal of Representative's records in light of parallel records kept by Senators from the same state.⁹ Moreover, our discussions were informed by conversations with and reports by archival colleagues at the Senate Historical Office, the House Historical Office, the State Historical Society of Wisconsin, the University of Delaware, and the University of South Carolina.¹⁰ Finally, and in many instances most importantly, the guidelines have benefited from conversations with the staffs of several members of the Minnesota Congressional delegation.

We quickly found that on many appraisal issues, consensus does not exist and cannot exist, because of the multifaceted character of the institutions and groups of individuals involved in or concerned with documenting Congress. Individuals include historians, who use the papers, and the Congresspeople themselves, who create the material. Institutions range from the House and Senate historians' offices, to Congressional Research Centers (such as the Dirksen Center in Illinois), to university special collections (many of which hold the papers of only one or two Congresspeople), to state historical societies, and even to county historical societies. Each of these groups of individuals and repositories has a distinct purpose or mission, and a distinct perspective on appraisal. On the other hand, some consensus does exist, although as one archivist remarked, even where agreement exists on appraisal standards, there is often an unwillingness or inability to actually apply them. Thus the guidelines presented here will not be relevant to all other repositories; however, the size and depth of the Society's collections, along with the concentrated study afforded by its internal deliberations, may prove useful to other archives which collect Congressional papers.

Goals of Society: Congressional Papers Appraisal Guidelines

The central goal of these guidelines is to balance the Society's resources against the increasing bulk of Congressional collections, and to define the most stringent appraisal criteria possible consistent with preserving collections which serve the long-term historical objectives of historians and other researchers. To accomplish this, the guidelines specifically rely on the Society's accomplishments in documenting the state's entire Congressional delegation. Because much redundancy and duplication exists among members of the delegation in terms of the issues and projects dealt with,¹¹ as well as with the constituents helped or heard from, the guidelines seek to reduce this overlap by treating the collections of Senators differently than the collections of Representatives. As Frank Mackaman has argued, by choosing to more thoroughly document the activities of Senators a repository has the assurance of receiving materials documenting concerns of importance from all corners of the state.¹² The papers of Representatives, therefore, can be reduced further (especially such series as constituent correspondence), and focused to provide better documentation of those activities unique to the particular legislator and/or to his/her district. Also, the guidelines make serious use of the assessment of records—especially constituent correspondence and case files—provided by Congressional staff.

The guidelines also have as a goal improved communication between the Society and the Minnesota Congressional delegation, by enabling Society staff to explain from the beginning which series they wish to preserve and why. And the guidelines must reflect a realistic assessment of the needs/demands of the Congresspeople themselves and the needs of their offices. While the Society does not preserve Congressional collections principally as biographical icons to the elected official, part of what motivates a politician to donate his/her papers is the desire to have their personal accomplishments preserved for posterity. The proposed guidelines ensure that those portions of a Congressperson's papers most likely to reflect his/her personality and accomplishments—speech files, clippings files, files of bills authored—will be retained. Fortunately, these series are also generally considered useful by researchers, and so their preservation benefits not only the Society's relationship with its donors but also the historical record.

Explanation of Appraisal of Specific Series

Much of what appears in the guidelines will engender no controversy. Our approach to a few specific series, however, is more radical than what passes for conventional wisdom.

Invitations. These files consist of letters (and supporting documentation) requesting the member to appear at a function or give a speech. They are not only bulky, but also redundant. The principal information contained in them relates to where the Congressperson was at a particular time and what he/she was doing, and this information is available in much more condensed form in the schedule files. It should be noted, too, that Invitation files are among the least used according to a recent user survey.¹³ Only if the Speech Files were integrated into the Accepted Invitations files would they be considered for retention. Here the Society's guidelines are stricter than those in the Senate *Handbook*, but mirror those in the House recommendations.

Academy Files. Requests for assistance seeking nominations to service academies. Virtual unanimity exists in the archival world that these bulky files do not have long-term historical value. Moreover, the contents of the files raise serious questions concerning third-party privacy rights, and access to them prior to the death of the supplicants probably violates Federal privacy legislation.¹⁴ Summary lists, if any are compiled by the Congressional office, will be maintained, as well as memos and/or form letters that illustrate the office's policy in responding to academy applications or queries.

Routine Requests. These files contain requests from constituents for such things as: flags flown over the capital, tours of the capital, copies of Congressional publications. Again, no one in the historical or archival community recommends retention of even a sample of these bulky records. The fact that these requests must be dealt with by the Congressperson's staff is documented in the office manuals and other administrative records which will be retained.

Issue Mail. Mail sent by constituents expressing opinions on issues before Congress receives moderate research use. However, several factors mitigate against the wisdom of retaining the huge bulk represented by this series of records. First, even the most dedicated historians admit that no one can or wants

to read all the letters received on a specific issue; most scholars use this series to find quotable examples. Second, neither historians nor the Congressional offices themselves rely on issue mail as an indication of the strength of popular opinion on a specific issue: district and statewide polls, not mail or phone calls, are how offices judge voter opinion. As the chief of staff of one of Minnesota's Congressmen noted while their mail ran 60-40 against gun control, polls in their district consistently showed 70% voter approval of gun control. In addition, he added, "most of the letters we receive are inane, and so are most of the responses we send out." One Senate office stopped microfilming or preserving issue mail five years ago, and relies instead on summaries and analyses as well as polling data. Furthermore, the system used to film and index this mail often makes it impossible to find letters either by topic or by constituent name (once the film is separated from the Congressional services facilities). By preserving a random sample of randomly microfilmed issue mail of the Senate offices, a selection of letters on most issues of importance to Minnesota will be preserved for illustrative purposes. Summaries and analyses of issue mail, when created by any Congressional office, would be preserved.

Case Files. These files consist of requests for assistance from constituents; for example, seeking increase in military pension or some other Federal benefit. Conversations with the House and Senate historians' offices, and the staffs of two Minnesota Congressional delegates, indicates a growing realization that these files pose a privacy concern that has not heretofore been recognized. Most of the material in these case files is protected by Federal privacy legislation. At least three of Minnesota's Congressional offices have expressed reluctance even to donate these records; others (and the Senate Historical Office) have indicated that any case files accepted and retained by a repository will have to be sealed for 75 years from date of closing. A staff member of one of the congressional historical offices was blunt about the fact that "those [case] files aren't worth the papers they're printed on" in terms of long-term historical value. Indeed, the Veterans Affairs Committee of the Senate schedules its case work files for destruction after 10 years, a reflection both of privacy concerns and of appraisal of research potential. The Senate and House Historical Office documentation group also reported at SAA (in 1991) that "projects and casework files are duplicated in many places [e.g., Executive agency files], use was complicated by privacy laws," and in any event researchers made virtually no use of these files.

The one element of longer-term historical value that may inhere in case files is a pattern of public interaction (mostly problems) with the federal government that in turn reflects aspects of public policy, especially as it may concern current events or governmental policy or philosophy (e.g., draft issues during Vietnam, shifts in immigration policy). In most instances, however, the responsibility for preserving evidence of the interaction of government and individual citizens should fall on the National Archives; to attempt this through the papers of congresspeople insures nothing if not inconsistency and redundancy; most cases are not geographically specific (veteran's benefits case files are the same in California as in Minnesota). The appraisal guidelines for the Society permit, where feasible, the sampling of case files which a) illustrate the "personal" aspects of governmental policy and b) relate specifically to Minnesota. For example, one of our Representative's district office kept the "agriculture and

economic development” case files separate, and these were sampled to give a picture of the impact that the farm crisis and wetlands legislation had on southwestern Minnesota farmers. In addition, summary lists and statistical reports regarding casework would be retained for all offices. This appraisal approach mirrors that now suggested by the House Historical Office. Given the extraordinary bulk of these records, their low research rate, and the fact that personal case files will be inaccessible for nearly a century after creation, broader retention strategies are not defensible.

Plaques and memorabilia. Elected officials receive astounding numbers of plaques, certificates, buttons, hats, jackets, pins, medallions, trophies, shovels (from groundbreaking), and other expressions of gratitude and esteem from constituents, lobbyists, and others. A member who serves for a decade or more may acquire dozens and dozens of cubic feet of such material. Virtually none of them represent significant accomplishments or are not documentable in some other way (through the appointment calendar, for instance). Some repositories whose collections focus on a single Congressperson preserve virtually all of this material and some even item catalog it. Undoubtedly an element of local “color” exists in much of the material, but our committee—in consultation with our Museum Collections department—concluded that such value was minimal compared to the bulk, preservation problems, and huge resources necessary to provide reasonable access to such material.

Other Files. By reducing the amount of time and storage space the Society spends dealing with series such as case files and constituent correspondence, the acquisition staff will be in a better position to focus energy on the files of administrative and legislative assistants, and on electronic records in the Congressional offices—records of indisputable long-term historical value but which have heretofore been acquired only sporadically if at all. Congressional staff tend to view their files as personal, and to overcome this tendency the Society must take pains to highlight these records and speak specifically to the respective staff members. Electronic records in Congressional offices, as in so many other places, are rapidly evolving, and efforts to both understand these systems and to appraise the data contained in them should take precedence over arrangements for the sampling, shipping, and acquisition of hundreds of cubic feet of case and issue files. Other series the acquisition staff will be seeking to highlight with Congressional staffs are those dealing with the member’s party activities and his/her involvement with Congressional Membership Organizations.

Proposed Appraisal Policy, by Series

KEY:

S and D—Selection and Disposition; series probably needs to be appraised folder by folder.

Retain—Probably will be retained intact, except for duplicates or if inspection suggests that value is minimal.

Dispose—Normally will not be retained (and should not be sent to Society), unless inspection or information from the Congressional office indicates value sufficient to warrant S and D or sampling.

Personal/Political Papers

| | |
|---|---------|
| Appointment Books | Retain |
| Biographical Files | Retain |
| Campaign Committee Records | S and D |
| Chronological File (Correspondence control file) | S and D |
| Congressional Membership Organizations | Retain |
| Control File (Correspondence control file, alphabetical) | S and D |
| Correspondence w/other members, White House, other dignitaries | Retain |
| Correspondence w/family, friends, colleagues | S and D |
| Daily Schedules | Retain |
| Desk Calendars | Dispose |
| Diaries or Personal Journals | Retain |
| Financial Disclosure Reports | Retain |
| Invitations (accepted and rejected), unless interfiled w/appearance files | Dispose |
| Job Recommendations/Patronage | |
| VIP appointments, Judgeships | S and D |
| All Others | Dispose |
| Memorabilia, Plaques, etc. | Dispose |
| Party Leadership Files | S and D |
| Political Party Files (state and national) | S and D |
| Polling Data | Retain |
| Scrapbooks or Clippings notebooks (only articles about the Member and only if well organized, identified, and in good physical condition) | Retain |
| Telephone Conversations | |
| Summary reports | Retain |
| Message slips | Dispose |
| Logs | S and D |
| Trip File | |
| Investigative/Policy related trips | S and D |
| Speeches, routine appearances, campaign stops | Discard |
| VIP Correspondence (photocopies ok) | Retain |

Legislative Records

| | |
|--|---------|
| Agency/Department Files (Correspondence and supporting material filed by Executive department or agency; often relate to case files) | S and D |
| Bill Files | |
| Bills authored/coauthored by the Congressperson | Retain |
| All Others | Dispose |

| | |
|--|-----------------------------------|
| Briefing Books | Retain |
| Committee and Subcommittee Files <i>(NB: Official committee and subcommittee records are property of the Senate or House)</i> | |
| Correspondence and Memos | S and D |
| Lists, Calendars/Agendas, Background, Minutes, Reports (those reflecting substantive activity by the member should be retained) | S and D |
| Congressional Record Inserts (Items inserted into the Record by the Congressperson) | Retain |
| Congressional Record (bound sets) | Dispose |
| Legislative Assistants' Files | S and D |
| Legislative Subject Files | S and D |
| Other Staff Project Files | S and D |
| Publications of State and Federal Agencies | Dispose |
| Voting Attendance Records | Retain |
| <i>Constituent Service Records</i> | |
| Administrative Assistant's Files | S and D |
| Case Files | |
| If filed by type | S and D |
| If not filed by type and not microfilmed | Dispose |
| If microfilmed | S and D |
| Casework Reports and Indexes | Retain |
| Congrats/Condolences/Greetings (Incoming letters acknowledging members' election victory, expressing sympathy for illness; outgoing letters acknowledging valedictorians at district high schools, 100-year-old constituents, etc.) | Dispose |
| Grants and Projects (Federal grants to state or district organizations) | S and D |
| Grants and Projects Reports and Indexes | Retain |
| Issue Mail | |
| Senators: If filmed and indexed | S and D |
| Senators: If not filmed | Sample if feasible |
| Representatives | Dispose |
| Issue Mail Master Library or Library of Form Paragraphs (Pre-written letters or paragraphs used to answer issue mail) | Retain |
| Issue Mail Indexes and Reports | Retain |
| Letters from School Children | |
| Senators, if not filmed | S and D |
| Representatives | Dispose |
| Military Academy Appointment Files | Dispose, except for summary lists |
| Petitions | Dispose |

| | |
|--|---------|
| Reference Files (Clippings and publications used for background research) | Dispose |
| Requests for Material (flags, passes, etc.) | Dispose |

Press Relations/Media Activities Records

| | |
|---|---------------------|
| Constituent Mailings | Retain |
| Editorials written by the Congressperson | Retain |
| Newsletters, updates, and other mailings to constituents | Retain |
| Newspaper Clippings (background) | Dispose |
| Photographs, Slides, Negatives | |
| Identified events and activities | S and D |
| Unidentified | Dispose |
| Duplicates | Dispose |
| Press Mailing Lists | Dispose |
| Press Releases | Retain |
| Speeches | Retain final drafts |
| TV and Radio Files (audio and video tapes, transcripts; may include campaign spots and interviews) | S and D |

Office Administration Records

| | |
|--|---------|
| Office Administrator's files | S and D |
| Office Operations and Procedures | |
| Operations Manuals | Retain |
| Staff Directives | S and D |
| Staff Meeting Minutes | Retain |
| Records Management Manual | Retain |
| Form Letters, Master Library and Cumulated Indexes | Retain |
| Personnel | |
| Personnel Manuals | Retain |
| Annual Lists of Staff Members | Retain |
| Applications | Dispose |
| Personnel Files | Dispose |
| Security Clearances | Dispose |
| Office Equipment (inventories, purchase orders, etc) | Dispose |
| Office Funds: Payroll, accounts, vouchers | Dispose |
| Travel | |
| Expenses, vouchers, etc. | Dispose |
| Itineraries and trip reports | S and D |

Policy on First-term Representatives

Members of the U.S. House of Representatives who serve only one term are usually less historically important than those who serve several terms. Therefore, normally it will be Society policy not to seek donor contracts with

Representatives until after their first re-election. In the case of a Representative who is defeated after one term, the acquisition staff will contact his/her office after the election, and request donation of a very limited number of series: mass mailings to constituents; biographical files; VIP correspondence; speech files; press releases; well organized newspaper clippings, and in some instances selected campaign files.

Follow-up

As a courtesy to our colleagues in the SAA Congressional Papers Roundtable, these guidelines were circulated to them in the fall of 1993. The Society's Acquisitions staff has also given the retention schedule to the Administrative Assistants of all of our Senators and Representatives. The response from the Hill has been very encouraging. The two offices (one Senate, one House) which will be closing at the end of this year expressed great pleasure in having a clear set of guidelines to help them as they begin packing. The schedules have, of course, engendered questions, which has enabled us to speak in more detail to the staffs. The Senate office, while not quarreling with our assessment of plaques and memorabilia, did express frustration that we had not come up with alternative disposition. The only instance in which an office has questioned our appraisal guidelines has been to express doubt that even microfilm of case files should be preserved because of privacy concerns.

Conclusion

At the Minnesota Historical Society the papers of Congresspeople would comprise fully one-third of the manuscript collection, if not for the anomaly of the massive records of the Great Northern and Northern Pacific railroads.¹⁵ If one adds to this the Vice Presidential papers of Hubert Humphrey and Walter Mondale, and the papers of state senators and representatives, and of governors, then close to half the (non-railroad) manuscript collections are comprised of the papers of elected officials. Without disputing the importance of these people to the history of Minnesota, it is surely debatable whether their importance is equivalent to the space and other resources they have traditionally occupied in the repository. As one of our committee members asked: "Do we really need 116 feet of material to document Congressman Tom Hagedorn's 8 years in office when we keep 110 feet for nearly 70 years of the St. Paul Area United Way?"¹⁶ For the Society to have the ability to aggressively document communities of color, major Minnesota industries, women's groups, and all the other aspects of Minnesota history it wishes to see adequately represented in the manuscript collections, it is necessary to revise the traditional "take anything" approach to Congressional papers.

Too often in the discussions of documentation strategy the implicit assumption is made that there is an objective answer to the question, "what is an adequate record of X?" To document Congress (or an individual Congressperson, or even a state's delegation) "adequately" can mean: 1) if this is all we are worried about documenting, what functions and what level of detail should we preserve; or 2) if this is one of many things we want to document as part of a larger whole, what is the minimum necessary to do that job. The appraisal criteria

developed at the Minnesota Historical Society sits somewhere between maximum possible and minimum necessary; committee members advocating for researchers argued for preserving more, while other members (including the author of this article) argued for preserving less. But the guidelines are a serious attempt to grapple with the realities of limited space, important collections, and competing priorities.

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NOTES

1. Karen Dawley Paul, project director, *The Documentation of Congress* (Washington: Historical Office, U.S. Senate, 1992), p. iii.
2. *The Documentation of Congress*, iii-16.
3. Roger H. Davidson, "The Study of Congress," *Understanding Congress: Research Perspectives*, Roger H. Davidson and Richard C. Sachs, eds. (Washington: Government Printing Office, 1991), 10-11.
4. Patricia Aronsson, "Appraisal of Twentieth-Century Congressional Collections," *Archival Choices*, ed. by Nancy Peace (Lexington, MA: Lexington Books, 1984), 82-83.
5. *Documentation of Congress*, p. 3.
6. The Committee consisted of
 - James Fogerty, Acquisitions and Curatorial (chair)
 - Todd Daniels-Howell, Acquisitions and Curatorial
 - Mark Greene, Acquisitions and Curatorial
 - Dallas Lindgren, Reference
 - Lydia Lucas, Processing
 - Kathy Marquis, Reference
 - Dennis Meissner, Processing
 - Deborah Miller, Research and Publications
 - Duane Swanson, State Archives
7. In addition to those already cited, see Richard A. Baker, editor, *Proceedings of the Conference on Research Use and Disposition of Senators' Papers* (Washington: Historical Office, U.S. Senate, 1978); Frank Mackaman, editor, *Congressional Papers Project Report* (Washington: National Publications and Records Commission, 1986); Todd J. Daniels-Howell, "Appraisal of Congressional Papers," unpublished paper presented at the May 1991 Midwest Archives Conference; Eleanor McKay, "Random Sampling Techniques: A Method of Reducing Large, Homogeneous Series in Congressional Papers," *American Archivist* 41 (July 1978), 281-88; Lydia Lucas, "Managing Congressional Papers: A Repository View," *American Archivist* 41 (July 1978), 275-280.
8. Karen Dawley Paul, *Records Management Handbook for United States Senators and Their Repositories* (Washington: Historical Office, U.S. Senate, 1991). For example, despite their extreme bulk and high degree of repetitiveness, Clippings, Photographs/Slides/Negatives, and TV and Radio Files are designated by the *Handbook* as permanent records. A thoughtful selection or sample of these materials will, to my mind, serve the needs of virtually all researchers. Another example: the *Handbook* designates "Party Leadership Files" as permanent, even though for most Senators these files will contain mostly circular memos and reports better preserved in the papers of the Senate leaders themselves.
9. "Recommended Disposition: Papers of Members of U.S. House of Representatives," (1993) unpublished handout available from the Office of the Historian, U.S. House of Representatives.

10. We benefited in particular from discussions with, or papers by, Richard Pifer (State Historical Society of Wisconsin), Herb Hartsook (University of South Carolina), Rebecca Johnson (University of Delaware), Karen Paul (Senate Historian's Office), Cynthia Pease Miller (Office of the House Historian).
11. Aronsson, 83.
12. Mackaman, 158.
13. *Documentation of Congress*, p. 138.
14. *Documentation of Congress*, p. 42.
15. The manuscript collection as a whole is 37,000 cubic feet. Of the whole, the railroad records are fully 15,000 cubic feet, and therefore greatly skew most analyses of the MHS collections.
16. Daniels-Howell, p. 7.

DO WE NEED AUTHORITY CONTROL? INVESTIGATIONS AT THE MILWAUKEE URBAN ARCHIVES

MARK A. VARGAS

ABSTRACT: Although authority control is an issue of growing importance to archivists, little research has been done to investigate its necessity. As an initial step, the Milwaukee Urban Archives conducted an experiment to answer one specific question: how often do names used by the MUA match those already in the Library of Congress Name Authority File (LCNAF) for the same person or organization? The research focused on the potential need to create authority records for personal and corporate names, used either as creators of collections or as added entries. The results show that 85 percent of the names did not exactly match those already in the LCNAF, including 34 percent which conflicted. Only 15 percent of the names matched the LCNAF exactly, meaning that no conflict could occur. The study concludes with observations on the need for further research.

Creating bibliographic records for archival collections in databases such as OCLC or RLIN has forced archivists to reexamine many traditional practices, because the networks required adherence to cataloging standards.¹ Although the issue of whether or not to automate² bibliographic records is now moot, there are still many problems to be resolved. One of these problems is authority control.

This study uses the following definitions:³

Authority control: A bibliographic organization function that ensures the establishment of logical links between authority records and access points to bibliographic records.

Authority file: A set of records maintained that documents the established forms of entries used in public catalogs, including the references that support them.

Authority work: The process of checking headings against an authority file and verifying that the form of entry matches the form already in use in the catalog and that linking references are made for headings requiring them.

Need for the Study

The need for understanding authority control in an archives has become a matter of great importance, because archivists will have to comply with the respective library rules. Or should they? How much effort should archivists put into authority control, and when should authority records be created? Unfortunately, the archival literature is almost devoid of any research data which might offer assistance in answering these questions, and little factual data provides any guidelines.⁴

Some persons might question whether authority control is needed in an era of powerful computers, boolean searching, and truncation. The results of numerous information science studies are mixed, although there appears to be general agreement that some sort of authority control is needed.⁵ In the archival literature, Bearman, Evans, and Szary each recommended the creation of relatively elaborate authority records which could provide extensive information links.⁶ In *Authority Control: A Manual for Archivists*, Elizabeth Black presumed that authority control is necessary.⁷

In the library profession, the whole premise behind sharing online data is to reduce duplication of effort. Similarly, archival authority work should not be done only at the local level, because it will probably lead to greater costs and confusion in the national database.⁸ For example, it is just an assumption that only the Milwaukee Urban Archives (MUA) has some papers of Joseph Johnson (a 19th century farmer). How is the MUA—and a patron—to know if the papers of the Johnson family in some other city do not contain information on the MUA's Joseph Johnson? If archivists cannot, or will not, do the authority work, patrons will have to.⁹ Without authority control, patrons are forced to repeat the steps that the archivists avoided in the first place. Perhaps this is not an entirely bad idea, especially from the perspective of reducing costs, but it is a gamble on the search skills of the patron, and studies have revealed the difficulty patrons have in manipulating online searches and evaluating the results.¹⁰

It is probable that few archives can afford to create an authority record for each new name added to the catalog databases. Archivists will probably have the resources for creating only selective records, largely because of costs. Although the figures are not entirely clear, it certainly takes a great deal of staff time to check the authority files or prepare an authority record. The State Historical Society of Wisconsin (SHSW), University of Wisconsin-Madison, and University of Wisconsin-Milwaukee do not create authority records because of the high costs. Koel stated that the authority work done at Yale took 5-10 times as long as the description of a work.¹¹ A 1986 Library of Congress survey of National Coordinated Cataloging Operations (NACO) participants revealed that the average cost per authority record was \$14.67.¹² The RLIN RECON AMC Project participants found that authority work was the second greatest factor in slowing the creation of bibliographic records.¹³ On the other hand, what is the cost if a patron cannot find the bibliographic record because the catalog lacks name authorities or cross references?

The Research Study

The research project began after the MUA had prepared MARC records for over 600 collections. The staff recognized that some degree of authority work

seemed necessary, but was unsure how much effort should go into it. The staff decided to conduct an experiment in October and November 1991 to answer one specific question: How often do names used by the MUA match those already in the Library of Congress Name Authority File (LCNAF) for the same person or organization? The research focused on the potential need to create authority records for personal and corporate names, used either as creators of collections or as added entries. It did not address issues of creating cross-references, subject or title authority control, nor the use of authority records as extensive reference files, as recommended by Bearman, Evans, and Szary.¹⁴

The MUA staff began the research project with names used in its MARC AMC records. The MUA consists of two archival agencies. The first is the university archives, which acquires the records of the University of Wisconsin-Milwaukee. The second is the Milwaukee Area Research Center (ARC), one of thirteen branches of the State Historical Society of Wisconsin. The MUA staff had just completed creating 523 MARC records for the ARC, a project that took about two years to complete.¹⁵ The SHSW had created an additional 120 MARC records for the Milwaukee ARC, but the MUA staff often augmented them, including a larger number of personal and corporate names as added entries. The staff checked all corporate and personal names against the LCNAF, available through the NOTIS system at UW-Milwaukee. When no previously established heading existed for the name in the LCNAF, the MUA used the fullest form of the name in the MARC records.¹⁶ Corporate bodies created 409 (64 percent) of the 643 collections; individuals or families created 234 (36 percent).

For the purposes of this study, the names were rechecked against the LCNAF, and each fell into one of twelve categories:

Exact LCNAF match, used only *once* in the collections

1. Corporate name
2. Personal name

Partial LCNAF match, used only *once* in the collections

3. Corporate name
4. Personal name

No LCNAF match, used only *once* in the collections

5. Corporate name
6. Personal name

Exact LCNAF match, used *more than once* in the collections

7. Corporate name
8. Personal name

Partial LCNAF match, used *more than once* in the collections

9. Corporate name
10. Personal name

No LCNAF match, used *more than once* in the collections

11. Corporate name
12. Personal name

An *Exact* LCNAF match occurred when the name used by the archives was already established in the LCNAF for the same individual or corporate body. A *Partial* LCNAF match occurred when the name used by the archives was not established by the LCNAF, but did partially match a name for a different person or organization. For personal names, a partial match included a similar surname and forename, or first initial when used. For corporate names, a partial match

included at least the first two words in the name. A *No* LCNAF match occurred when the name used by the archives was not established by the LCNAF, and did not partially match another name. Table 1 shows the number and relative percentage of the names in each category.

The results in Table 1 show that 85 percent of the names did not exactly match those already in the LCNAF. This probably reflects the fact that few materials by or about the organizations or individuals represented in the MUA collections have been cataloged by LC or a NACO contributor. Thirty-four percent conflicted with names already in the LCNAF. Only 15 percent of the names matched the LCNAF exactly, meaning that no conflict could occur. In comparison, Michelson found that 36 percent of the name headings entered into RLIN AMC were "searched and found" in the LCNAF.¹⁷

Interestingly, 83 of the 116 exact personal name matches were for men; 24 were for families; and only 9 were for women. Almost every individual was white. This disproportionate figure raises numerous policy issues, which, unfortunately, are beyond the scope of this study. This may be an issue worth researching in greater detail.

The relative percentages of matches within the corporate and personal name categories also provide interesting statistics. Comparing the information found in Tables 2 and 3, we find that the number of exact matches for personal names is proportionally almost twice as high as for corporate names. Yet the number of partial matches for personal names is almost four times lower than corporate names. The number of no matches for personal names is two-thirds higher than for corporate names. The results suggest that corporate names may cause greater conflicts with the LCNAF than personal names.

The findings illustrated in Tables 2 and 3 call into question the informal principle that names that show up only once in the catalog do not need authority records.¹⁸ Lotka's law predicts that the number of authors who produce only one item is about 60 percent and library research has largely supported it. For example, Potter found 69.33 percent of the authors only once in the catalogs of the University of Wisconsin-Whitewater, and 63.5 percent at University of Illinois

TABLE 1
NUMBER OF MATCHES FOUND IN LCNAF

| | Corporate Name Number of Hits | % Total Hits | Personal Name Number of Hits | % Total Hits |
|------------------------------|--|-------------------------|---|-------------------------|
| Exact Match | 94 | 6 | 111 | 7 |
| Partial Match | 375 | 25 | 87 | 6 |
| No Match | 381 | 25 | 355 | 23 |
| Exact Match (2 or more) | 23 | 2 | 5 | 0 |
| Partial Match (2 or more) | 28 | 2 | 7 | 1 |
| No Match (2 or more) | 29 | 2 | 26 | 2 |
| Total | 930 | 62 | 591 | 39 |

Note: Percentages do not add up to 100 points because of rounding.

at Champaign-Urbana, and Fuller found 68.3 percent in her study.¹⁹ The MUA study found strikingly different figures: 92 percent of the names (1,403 of 1,521) were used only once in the collections. Most importantly, 44 percent of the names used only once either exactly or partially matched names already in the LCNAF. If other studies reveal the same general proportion of exact or partial matches, then it seems clear that there is great potential for confusion in the bibliographic databases.

The Need For Further Research

It should also be noted that, like many applied studies, other archivists who attempt to replicate the results of this one study might find very dissimilar results. Although the same methodology can be used, the fact remains that archival catalogs and holdings are very different. The holdings at the MUA may not reflect what is found in other repositories, and the results reflect the kinds of collections acquired by the institution. At least several more repositories need to

**TABLE 2
NUMBER OF CORPORATE NAME MATCHES FOUND IN LCNAF**

| | Corporate Name Number of Hits | % Total of Corporate Names |
|----------------------------------|--|---------------------------------------|
| Exact Match | 94 | 10 |
| Conflicting Match | 375 | 40 |
| No Match | 381 | 41 |
| Exact Match (2 or more) | 23 | 3 |
| Conflicting Match (2 or more) | 28 | 3 |
| No Match (2 or more) | 29 | 3 |
| Total | 930 | 100 |

**TABLE 3
NUMBER OF PERSONAL NAME MATCHES FOUND IN LCNAF**

| | Personal Name Number of Hits | % Total of Personal Names |
|----------------------------------|---|--------------------------------------|
| Exact Match | 111 | 19 |
| Conflicting Match | 87 | 15 |
| No Match | 355 | 60 |
| Exact Match (2 or more) | 5 | 1 |
| Conflicting Match (2 or more) | 7 | 1 |
| No Match (2 or more) | 26 | 4 |
| Total | 591 | 100 |

undertake the same kind of project before any trends could possibly be established. A manuscripts repository specializing in literary manuscripts might find results far different from those at the MUA. State archives, responsible for the administrative records of government agencies and departments, would probably have a greater preponderance of corporate names.

A great deal of fundamental research needs to be done in the online control of archival authority and bibliographic records. The MUA undertook this study to better understand how much effort should be applied towards authority work, but it is intended to be only a first step in learning how to make access to our collections more efficient. The results should not be considered the foundation for a broad principle that should be applied profession-wide. As additional research is conducted, perhaps the profession will find ways to create more effective archival information retrieval systems.

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NOTES

1. Throughout the article, the term "collection" is used to describe a fonds, record group, series, or manuscript collection.
2. Throughout the article, "automate" and "automation" refers to the creation of online bibliographic records.
3. Doris Hargrett Clack, *Authority Control* (Chicago: American Library Association, 1990), 207. See also Barbara B. Tillet, "Considerations for Authority Control in the Online Environment," *Cataloging & Classification Quarterly* 9:3 (1989): 3-4; Jackie M. Dooley, "An Introduction to Authority Control for Archivists," in *Archives and Authority Control: Proceedings of a Seminar Sponsored by the Smithsonian Institution October 27, 1987* (Pittsburgh: Archives and Museum Informatics, 1988), 5. See also the *ALA Glossary of Library and Information Science* (Chicago: American Library Association, 1983), 16.
4. The only major research article on the topic is Avra Michelson, "Description and Reference in the Age of Automation," *American Archivist* 50 (Spring 1987): 192-208.
5. The development of authority control is summarized in Robert H. Burger, *Authority Work* (Littleton, Colo.: Libraries Unlimited, 1985), 4-10; Ritvars Bregzis, "The Syndetic Structure of the Catalog," in *Authority Control: The Key to Tomorrow's Catalog* (Phoenix: Oryx Press, 1982), 19-27; Barbara B. Tillet, "Bibliographic Structures: The Evolution of Catalog Entries, References, and Tracings" in *The Conceptual Foundations of Descriptive Cataloging* (San Diego: Academic Press, 1989), 149-165. Several of the major research studies include Raya Fidel, "Searchers' Selection of Search Keys: II. Controlled Vocabulary or Free-Text Searching," *Journal of the American Society for Information Science* 42:7 (August 1991): 501-14; Elizabeth E. Fuller, "Variation in Personal Names in Works Represented in the Catalog," *Cataloging & Classification Quarterly* 9:3 (1989): 84-5, 90; Alexis J. Jamieson, Elizabeth Dolan, and Luc Declerck, "Keyword Searching vs. Authority Control in an Online Catalog," *Journal of Academic Librarianship* 12:5 (November 1986): 280; and Carol Tenopir, "Full Text Database Retrieval Performance," *Online Review* 9:2 (April 1985): 149-64. A review of the research can be found in C.P.R. Dubois, "Free Text vs Controlled Vocabulary," *Online Review* 11:4 (August 1987): 243-53; and in Elaine Svenonius, "Unanswered Questions in the Design of Controlled Vocabularies," *Journal of the American Society for Information Science* 35:5 (September 1986): 331-40.
6. Max Evans, "Authority Control: An Alternative to the Record Group Concept," *American Archivist* 49 (Summer 1986): 249-61; David Bearman, "Authority Control Issues and

- Prospects," *American Archivist* 52:3 (September 1989): 286-99; David Bearman and Richard Szary, "Beyond Authorized Headings: Authorities as Reference Files in a Multi-Disciplinary Setting," in *Authority Control Symposium* (Tucson: Art Libraries Society of North America, 1987), 69-78.
7. Elizabeth Black, *Authority Control: A Manual for Archivists* ([Ottawa]: Bureau of Canadian Archivists, 1991), 1-6. Hugo Stibbe also accepted the need for authority control without reservations in "Implementing the Concept of Fonds: Primary Access Point, Multilevel Description and Authority Control," *Archivaria* 34 (Summer 1992): 120-3.
 8. Lorene E. Ludy and Sally A. Rogers, "Authority Control in the Online Environment," *Information Technology and Libraries* 3:3 (September 1984): 265.
 9. This idea is based on a statement in Henriette D. Avram, "Authority Control in Its Place," *Journal of Academic Librarianship* 9:6 (January 1984): 333.
 10. Marcia Bates, "Subject Access in Online Catalogs: A Design Model," *Journal of the American Society for Information Science* 37:6 (November 1986): 357-76; Christine L. Borgman, "Why Are Online Catalogs Hard to Use? Lessons Learned from Information-Retrieval Studies," *Journal of the American Society for Information Science* 37:6 (November 1986): 387-400; Charles R. Hildreth, "Beyond Boolean: Designing the Next Generation of Online Catalogs," *Library Trends* 35 (Spring 1987): 647-67; Martha M. Yee, "System Design and Cataloging Meet the User: User Interfaces to Online Public Access Catalogs," *Journal of the American Society for Information Science* 42:2 (March 1991): 78-98.
 11. Ake I. Koel, "Bibliographic Control at the Crossroads: Do We Get Our Money's Worth?" *Journal of Academic Librarianship* 7:4 (September 1981): 220-2.
 12. Randal K. Barry, *Report of the 1986 NACO Cost Survey* (Library of Congress National Coordinated Cataloging Operations, 1987), 9, cited in Jean Dickson and Patricia Zadner, "Authority Control and the Authority File: A Functional Evaluation of LCNAF on RLIN," *Cataloging & Classification Quarterly* 9:3 (1989): 58.
 13. Patricia D. Cloud, "The Cost of Converting to MARC AMC: Some Early Observations," *Library Trends* 36 (Winter 1988): 577. The project, funded by the National Endowment for the Humanities and the Pew Memorial Trust, involved twelve major research libraries and the conversion of about 21,000 bibliographic records to the MARC AMC format in RLIN. The worst problem was the poor quality of finding aids. The Philadelphia Area Consortium of Special Collections Libraries Name Authorities Project does not use any set of standards for establishing the names. Letter of Amy E. McLoughlin to the author, 29 October 1991.
 14. Evans, "Authority Control," 249-61; Bearman, "Authority Control Issues and Prospects," 286-99; Bearman and Szary, "Beyond Authorized Headings," 69-78.
 15. An analysis of the cataloging project can be found in Mark A. Vargas and Janet Padway, "Catalog Them Again for the First Time," *Archival Issues* 17 (Spring 1992): 49-63.
 16. Of the 591 personal names, only 46 required a detailed analysis of the provenance records to help determine the fullest form of the name. The finding aids proved sufficient in the other cases, although the staff noted that biographical data was often scattered throughout the finding aids.
 17. Michelson, "Description and Reference in the Age of Automation," 196.
 18. See Thomas Garnett's comments during the general discussion period of the final session of the Archives and Authority Control seminar, as reported in *Archives and Authority Control: Proceedings of a Seminar Sponsored by the Smithsonian Institution, October 27, 1987*, 48; Marion Matters, "Authority Work for Transitional Catalogs," in *Describing Archival Materials: The Use of the MARC AMC Format*, Richard P. Smiraglia, ed. (New York: The Haworth Press, 1990), 95-6, 109.
 19. William Gray Potter, "When Names Collide: Conflict in the Catalog and AACR2," *Library Resources and Technical Services* 24 (Winter 1986): 3-16; and Fuller, "Variation in Personal Names in Works Represented in the Catalog," 82.

“JUST A BUNCH OF BIGOTS” A CASE STUDY IN THE ACQUISITION OF CONTROVERSIAL MATERIAL

FRANK BOLES

ABSTRACT: This article is a case study documenting the acquisition of Ku Klux Klan membership records by the Clarke Historical Library and the reaction to the acquisition. After chronicling the facts of the case, the author discusses what the case reveals about contemporary inter-institutional cooperation, the reaction of the general public to controversial archival acquisitions, and the reaction of students, faculty, and university administrators to such acquisitions. The author discusses at some length the impact of multiculturalism upon the debate regarding the acquisition of controversial material and suggests that although multiculturalism can be used to question the legitimacy of placing controversial material in an archives, multiculturalism also contains within it the seeds for a powerful argument in favor of retaining controversial records.

“Just a bunch of bigots”¹ pronounced one reader of the *Saginaw News* in discussing the purchase by Central Michigan University’s (CMU) Clarke Historical Library (CHL) of Ku Klux Klan (KKK) documentation. A CMU student wrote in the campus newspaper, “I am not sure why library officials purchased KKK memorabilia and I don’t care why. I just want to point out that this is an example of how racism continues to exist on this campus.”² A third commentator took a slightly different tact by writing, “more money wasted by government officials.”³

On October 31, 1992 the CHL purchased at public auction approximately two thousand membership cards documenting the Newaygo County, Michigan Ku Klux Klan during the 1920s. This article is a case study that discusses the background that led to the CHL’s acquisition of this material and the reaction that occurred as a result of the acquisition. The article also reflects upon the overall experience of one institution in acquiring controversial records and in dealing with the subsequent public discussion.

Chronology of Events

In 1986 Ledford Anderson, an elderly proprietor of a rural fruit market near Fremont, Michigan died. In 1992 his heirs decided to sell the fruit farm, adjoin-

ing home, outbuildings, and surrounding property and to auction off those portions of the estate unwanted by family members. A contract was signed with a commercial auctioneer who began surveying the items to be sold for what appeared to be a typical estate sale. In the process of examining items the auctioneer stumbled upon something unexpected: an outbuilding full of Ku Klux Klan records and paraphernalia. Anderson had been the secretary of the Newaygo County Ku Klux Klan in the 1920s. For more than half a century after the organization's collapse, Anderson had stored thirty-nine sets of Klan robes, various minutes, correspondence, and other organizational records, and a detailed set of membership cards.

The auctioneer likely realized she had stumbled onto something that might prove newsworthy, and profitable. For whatever reason, she called the local newspaper, the *Muskegon Chronicle*, to see if the paper would be interested in printing a story about the items. The reporter who happened to answer the phone thought that there would be local interest and she interviewed the auctioneer at the Anderson property, examined the Klan material, and took a few photographs to illustrate the story. The *Chronicle* printed an illustrated, front page story about the Klan material on October 25, 1992. The wire services picked up the picture and story and very quickly Michigan's major metropolitan papers, including the *Detroit Free Press* and the *Grand Rapids Press*, ran long, illustrated articles about the material and upcoming auction.⁴

Police estimated over 3,000 people came to the auction. Over 1,000 bidders registered and county deputy sheriffs worked with private security police to keep a watchful eye on the protesters organized by the Urban League of Greater Muskegon as well as the numerous gawkers and the registered bidders. Reporters from several papers, including a stringer for the *New York Times*, as well as television crews from several west Michigan stations, descended upon the Anderson fruit market to cover the "event." Given the press coverage, it is not surprising that Michigan newspapers were full of news and opinions about the auction for several weeks after the auction.⁵

When the media blitz about the Klan auction began during the last week of October, the Clarke Historical Library's staff recognized that the material fell squarely into the library's draft collecting policy and complimented existing records within the CHL. The draft manuscript collecting policy defined Newaygo County as part of the geographic region of primary interest to the library and "rural life and activities" as a specific area of interest. Furthermore, the CHL already held significant Klan material, the most important of which was a membership file for Mecosta County, which adjoins Newaygo County. The advantage of being able to make available to researchers detailed Klan records from two adjoining counties was obvious. Because of the materials' relationship to the library's draft collecting policy and because of its close relationship to existing holdings, the Newaygo County Klan material was an almost perfect match with the CHL's mission.

Clarke staff joined in a rapidly developing network of individuals and institutions to identify the specific items that seemed most desirable. An itemized list of "KKK Memorabilia" was obtained from the auctioneer and she happily answered a variety of questions regarding the material. Various experts, including Professor Calvin Enders, a CMU faculty member who had published on the Michigan Klan and is currently working on a book-length history of that organi-

zation, the staff of other archives in the state, and individuals in the Newaygo County area interested in seeing the Klan material placed in a public institution, pooled information. A consensus emerged that of the approximately eighty lots of material available for sale, the organization's core documentation was located in about a half-dozen specific lots.

On one crucial point, however, the auctioneer proved uncooperative. Although most of the Klan material was available for inspection the auctioneer refused to allow potential buyers to examine the membership cards on the advice of her attorney who feared possible lawsuits over invasion of privacy. The auctioneer described the cards as "largely complete," and if the membership records were reasonably complete, the cards represented the most valuable part of the collection. However auctioneers, who in Michigan are compensated by a percentage of the gross sales, have been known to overstate the quality of the goods to improve the selling price. If the cards were less complete than the auctioneer claimed, their historical value would be greatly diminished. The network of concerned individuals and institutions began to contact every source available to them to learn as much as possible about the content of the cards. After a few days of intensive telephoning and sometimes hourly sharing of results, it seemed likely that the auctioneer's description of the membership cards as being "largely complete" was accurate. Those interested in the material agreed that the membership cards, lot 47, was the core of the material.

On the day of the auction four individuals from the Clarke made the hour drive to the Anderson fruit market. Prices tended to be very high, but the placement of lot 47 after the sale of the more collectible and quite expensive Klan robes, was helpful. Private collectors bid large sums for robes, leaving them less money in their pocket for "paper collectibles." Also important, lot 47 was offered as a group, making it impossible for private collectors wanting a sample card to bid up the price per card and then break the set apart by purchasing one or two cards. Bidding on lot 47 started surprisingly low, and very quickly became a two-person race. A rapid exchange of bids and counterbids made it appear that within seconds a private collector would outbid the CHL's pre-established spending limit. But as suddenly as it began, the volley of bids ended when the unidentified party paused, thought a moment, shrugged, and shook his head "no" to the auctioneer's request for another bid. The Clarke had purchased the membership cards for \$750.00.

Reaction

Clarke staff at the auction had made no effort to conceal their presence or their interest in the material.⁶ CHL staff was interviewed by several reporters at the auction and thus the library's acquisition of the cards was reported in several papers.⁷ In each interview, both during and after the auction, CHL staff made clear that their interest in the material was based upon the historical significance of the Klan in Michigan. The staff referred to the library's collecting policy and made clear that a broad base of material regarding Michigan history was collected, of which Klan material played one part. To make this point more clearly staff invariably referred to the library's Wilbert Wright Collection, an extensive body of printed documentation regarding African-American and African history. Clarke staff emphasized that their interest lay exclusively in the documen-

tary records of the organization and that the library was not bidding on the Klan paraphernalia being auctioned. Clarke staff explicitly stated that they were not bidding on robes or other "museum" pieces. Virtually every interview given began and ended with a few words regarding the obvious sensitivity of the records because of the racial views advocated by the Klan, a disclaimer that the acquisition of the material in no way implied an endorsement of the Klan's views on race, and a statement that in order to understand the historical development of racism in America it was important that scholars have access to documents created by racism's advocates.

In general reporters heard, understood, and accurately reported these comments, although headline writers sometimes blurred these careful distinctions. For example, an accurate story published by the *Detroit Free Press* on November 2, ran under the somewhat misleading headline, "Auction of Klan Stuff Nets \$29,910; CMU Library Gets Bulk of Documents."⁸

Although reporters understood the library's interests, the auction unearthed deeply felt racial issues. The executive director of the Urban League of Greater Muskegon labeled the auction "morally wrong."⁹ A member of the Muskegon Urban League's board of directors told another reporter that "if this were a find of Nazi outfits, I can assure you these things would not have been sold in auction," and suggested that the whole body of material should be turned over to the Federal Bureau of Investigation to explore past unsolved murders.¹⁰

CMU campus reaction to the acquisition of the Klan material was equally strong. Although the campus newspaper did not report on the acquisition until November 6, student letters to the editor in the campus newspaper documented great anger at the acquisition. "I am highly offended by this decision by the library to do such a thing [purchase the records]," wrote one student. "The last thing I want to see is anything that represents a group of people who caused the destruction and death of so many of my people given any kind of recognition."¹¹ In a previously arranged meeting between African-American students and CMU President Leonard Plachta in the week after the purchase, students expressed the concern that "CMU was seeming to support the KKK" through the purchase.¹²

The reaction of some members of the general public paralleled the concerns of some students on the CMU campus. On November 15, the *Saginaw News* put before its readers the question, "Should Central Michigan University have purchased the KKK Records?" The question was printed in conjunction with a balanced and thoughtful front page story. In the next day's "ballot box" the paper reported that of eighty-nine responses, fifty-eight percent had opposed the purchase. Comments of readers quoted in the newspaper included, "They're still as racist as they were in 1975 when I graduated. Just a bunch of bigots." "More money wasted by government officials; where will it end?" "They should turn it over to the FBI." "I wonder if they'd pay that much money for Martin Luther King's notes?"¹³

As criticism of the purchase continued, the university's administration came to the library's defense. President Plachta, in relating his meeting with African-American students in which the purchase was raised to the *Saginaw News*, stated, "I tried to assure them that it is part of an expansion of Michigan history materials. It's the kind of thing universities do, and was not meant to be political or racial."¹⁴ The president's public support was also reflected in private conversations. The university's administrative leaders offered solid public and private support for the acquisition.

Despite official support, controversy regarding the purchase continued on campus. In December, a student wrote, "I am deeply disgusted and concerned about Clark [sic] Historical Library purchasing Ku Klux Klan memorabilia... The purchase of KKK 'junk' just proves how CMU as an institution totally disregards the minorities on campus.... A library is supposed to educate, and education is supposed to make you a better person. One is led to wonder what the Clarke Library and this university are trying to educate students about with this memorabilia. Perhaps the lesson we are supposed to receive is a return to the good old days when niggers stayed in their place with the help of the powerfully evil KKK."¹⁵

The director of the Clarke Historical Library, Frank Boles, attended meetings of the Organization of Black Unity, the student African-American organization on campus, in November 1992 and January 1993. The director also used a fortuitous happenstance to state the library's case on public television.

The staff of *Editor's Notepad*, a locally-produced, weekly, half-hour public affairs show aired on public television, had decided to feature a CMU staff member monthly. Boles had been invited to appear on the show in late October, and after having had one air date postponed when the local congressman became unexpectedly available for an interview, he eventually appeared on the program in mid-January. Friendly interviewers lobbed various softball questions that allowed Boles to make the case for the acquisition of the Klan material. The combination of directly discussing the issues with those students most concerned and using public television to make an extended, public argument for the importance of the records seemingly brought criticism to a close. Unrelated events, however, reignited racial tensions on the CMU campus and led to renewed discussion of the subject.

On April 12, 1993 CMU's men's basketball coach was fired after acknowledging he had used a racial epithet to describe African-American players on his team. Charges of racial bigotry—later disallowed by an arbitrator brought in to investigate the case—were also leveled against CMU's women's track coach. In the upheaval preceding the basketball coach's firing, charges regarding a "culture of racism" were made and protest marches were held. Marchers first went to Finch Field House, home of the Athletic programs, next visited Warriner Hall, CMU's administration building, and ended at the Park Library Building, home of both CMU's main library and the Clarke Historical Library.

At the same time as students were demonstrating, a long simmering undercurrent of faculty concern regarding the acquisition suddenly re-emerged. Early in the controversy a few CMU faculty and staff members had privately expressed a concern that the Clarke staff failed to show sufficient sensitivity to the views of minorities on campus. When Clarke staff became aware of such concerns, they immediately contacted the individual to explain the importance of the acquisition, to discuss the forms of outreach used to reach all members of the campus community including minorities, and to solicit additional outreach ideas. Although Clarke staff believed that they had successfully addressed faculty concerns, in April it became clear that the issue of sensitivity still remained a point of contention. Intermediaries reported continued complaints by some faculty, as well as factual misunderstandings regarding what had been purchased and how much money had been spent. The Clarke staff was again asked to publicly state what had been obtained, how much money had been spent to

obtain it, and why the material was important. Primarily in response to concern regarding misinformed faculty and staff, the Clarke staff used a letter to the editor published in the student newspaper to describe again what had been obtained and to state the reasons for obtaining the material.¹⁶

Analysis

The Clarke Historical Library's acquisition of KKK material and the subsequent controversy regarding that acquisition lead to a variety of observations. Specifically, the episode casts light on the nature of inter-institutional cooperation, the reaction of the general public, the press, and the academe to controversial acquisitions, and opens for discussion interesting questions regarding the validity of the arguments used by special libraries to justify controversial acquisitions in an avowedly multicultural environment.

Inter-institutional cooperation represents one of the bright spots in this study. The Michigan archival environment is highly decentralized and historically institutions have frequently collected in a competitive manner. In this case, however, cooperation proved complete. Archivists from throughout the state freely exchanged information and willingly took on assignments to ferret out additional information to which they had unique access. When it became clear that there were two institutions, the Clarke Historical Library and the Bentley Historical Library, interested in obtaining the papers and possessing sufficient financial means to bid, a face-to-face meeting which focused on collecting policies and current holdings led to a decision by the director of the Bentley to withdraw in favor of the Clarke. In an especially cooperative move, the Bentley Library staff shared with the Clarke staff the name of a financial benefactor who had offered to make funds available to purchase the material for a public repository.

Michigan archivists had internalized a professional ethic that stressed cooperation over competition. It should not be discounted that Frank Boles, the director of the Clarke, had worked at the Bentley for over a decade and there existed a cordial and close relationship between him and the director and staff of the Bentley. The sense of cooperation that grows from working together played a role in the final discussion regarding bidding for the Klan material. However, Michigan archivists of a generation ago had also been friendly, and well acquainted, and highly competitive. The cooperation shown over a major acquisition demonstrated that something more profound than personal friendship was at work. The need for professional cooperation preached at archival conferences, extolled in the pages of archival journals, and lectured into the consciousness of archival students made a difference.

If the news from within the archival community was good, the news from outside that community was less propitious. A significant portion of the general public had not the faintest clue why an archives would want records of a controversial organization. Moreover, the same public was not impressed by any type of argument by authority. Because the archivist said it was historical did not persuade many people that it was historical. An archivist's professional credentials as an evaluator of historical material was of little use in the public debate.

Equally important, in many cases the general public showed little interest in learning the basic facts regarding a controversial acquisition or in listening to

rationales for the action. Rather than gathering information and considering arguments, some members of the public relied upon powerful ideological frameworks that stereotype public administrators, as either, and often both, racist or wasteful.

Surprisingly, the public most effected by the acquisition, the current residents of Newaygo County, had little reaction to the acquisition. Immediately after the acquisition of the material Clarke staff attempted to determine if any of the named individuals were still alive. After discovering a handful of living individuals were named, CMU's university attorney was contacted regarding concerns over potential invasion of privacy. After weighing a variety of issues, it was decided that the legal risks were relatively small, and that there was no strong legal reason to close the collection.

Clarke staff also gave thought to the impact upon the community when knowledge regarding who did, and who did not, join the 1920s Klan became public. Clearly however, if the library argued that history must be served even if the Klan records offended many African-Americans there was no way to lessen the potential for offense among those who might discover their parents or grandparents were Klan members. In point of fact, very few local residents chose to examine the records and those who did were primarily interested in genealogical information. Genealogists approached the records in the same vein they might use a prison record of an ancestor convicted of some crime; displeasure that an ancestor had engaged in a disreputable activity but considerable happiness at finding records that shed information about their family's past.¹⁷ Regarding the broader public, to note that a significant portion of the general population reacted by relying upon stereotypical frameworks is not a novel observation. Despite the failure of the Clarke library staff to persuade some individuals regarding the merits of the Klan acquisition, the educational efforts of archivists and others interested in defending controversial collecting decisions must continue. In the long run, unless a substantial minority of the general population understand and appreciate the need for archives and special libraries to possess controversial material, the archivist's ability to collect such material will be compromised. In a democratic society archivists must educate the population to and advocate the need for the fullest application of the profession's collective documentary mission. Unless this advocacy and education occur, archivists' ability to perform the profession's documentary mission will erode in areas surrounded by public controversy.

The worst action, and one that the Clarke staff was guilty of in the early phases of the controversy, is to "hunker down" to "ride out the storm." Although it is comforting to label critics as cranks who lack any real influence and ignore them, archivists would do well to remember the often repeated premise that if something is said often enough and loud enough people will begin to believe it regardless of the facts. Archivists should publicly respond to criticism even if they realize that the response will have little or no impact upon those making the criticism. Any response should in part be addressed to the general public to make clear to the public that there is an alternative viewpoint to that expressed by the archives critics. In the case at hand, early on the Clarke library staff was not forceful enough in making clear that they had acted as a result of a reasoned and defensible collecting policy rather than as conscious or unconscious agents of institutional racism.

In responding to the general public, or more particular groups that can become involved in the discussion surrounding a controversial accession, the archivist must be extremely careful not to respond to stereotyping with stereotypes. Again, although it is comforting to label critics as "ignorant," "uneducated," and perhaps "uneducable," in point of fact the criticism leveled at an archivist for a controversial acquisition may be rooted in a premise as logical to the critic as reliance on collecting policy statements seems to the archivist. In the instance of this case study, the acquisition touched on the deeply felt issue of race. From the perspective of a culture that often views itself as a victim of conscious and unconscious racism by white society, the acquisition of material documenting the Klan may appear as one more piece of evidence of the self-absorption of white society with its own activities without concern for the sensitivity of minority viewpoints and, even worse, as another example of conscious racism.¹⁸

In dealing with the general public's reaction to a controversial acquisition, this study suggests that forthrightly distributing information and candidly responding to all criticism are in the archives' best interest. Forthrightness and candidness, however, are not code words for rudeness and arrogance. Archivists must be extraordinarily sensitive to the points of view expressed by critics of a controversial acquisition and should also make a determined effort to look beyond the sometimes inflammatory rhetoric employed by critics in order to respond in a thoughtful way that maintains the support of already sympathetic individuals, helps persuade the undecided to support the archivist's actions, and does not stand in the way of an ongoing dialogue with the archivist's critics.

If the reaction of the general public to the acquisition of Klan material was very mixed, the press proved surprisingly informed and sympathetic. Reporters understand the archivist's viewpoint regarding the acquisition of controversial material much better than the general public. That the press was attuned to the Clarke staff's concerns regarding controversial acquisitions is, upon reflection, not surprising. Reporters often write about controversial topics and rely on arguments about the free expression of ideas to justify controversial stories. Reporters can readily equate their authorship of controversial stories with archivists' acquisition of controversial records for research purposes.

What was important is that reporters were not only sympathetic, but that sympathy subtly colored the stories written in ways which served the archives' purposes. In general the stories published in the newspapers stressed the historical value of the material. Although stories frequently contained a "balance" of quotes from those favoring and opposing the acquisition, the archives was rarely painted in a negative light and usually got the better of the story.

The sympathy reporters showed for collecting controversial records also proved important in evaluating those portions of the KKK material not available for public inspection. Reporters quietly shared information they had gleaned from their sources with members of the historical community interested in the material. While reporters who shared information both requested anonymity and asked that the information be used in a way that would grant them plausible deniability, the best available information regarding the Newaygo County Klan membership cards nevertheless came from reporters who collectively shared valuable observations with members of the historical community.

In retrospect, the sympathy shown by the press proved the value of the Clarke Library staff's decision to be as open and honest in their exchanges with

reporters as possible. Honesty, however, was not a panacea that guaranteed favorable articles. One reporter, with whom the Clarke staff spoke for over an hour, asked as part of his extensive interview how a 1920s Michigan Klan member would view himself. In reply Frank Boles discussed how the 1920s Klan portrayed itself first as a Christian organization, rather than as a group opposed to individuals based on race, place of birth, or religion. Looking for a good hook, the reporter or his editor latched onto this concept of how the Klan of the 1920s viewed itself. Ignoring very large sections of context, the reporter's published story opened by quoting Boles as saying "They [the KKK] considered themselves to be a Christian organization" and went on in a tone that portrayed the Clarke library staff as Klan apologists.¹⁹ Despite this disaster, the press was in general sympathetic, helpful, and accurate.

Although it may always be wise to think twice about talking to a reporter, in this instance, reporters were an important source of information and an important vehicle through which accurate and generally favorable information about the acquisition was distributed to the public. The good press may have been caused by the intertwined concerns of reporters worried about censorship of controversial stories and archivists worried about the ability to collect controversial records, but it remained good press.

Some of the most interesting lessons from this case study were in the academe. Administrators, students, and faculty all reacted in ways that were surprising. Administrators, who are often criticized for their short-sightedness and craven disregard for academic principle, in fact demonstrated a fundamental commitment toward the free exchange of ideas. Administrators, from the university's president down, uniformly supported the acquisition in both public and private statements.

The case study results strongly suggest that archivists who frequently worry about potential controversies might have stronger bases of support among senior university administrators than they realize. There is a logical explanation for this base of support. Senior administrators, in general, hold advanced academic degrees and have internalized the traditional values of academic culture. Among the most traditional values within academic culture is a commitment to a free and open marketplace of ideas. Senior university administrators will also likely see themselves as individuals directly responsible for protecting traditional academic values. Therefore, so long as the archivist is capable of framing the discussion among administrators in terms of traditional academic values, the archivist is likely to receive both public support and private sympathy from a university's administration.

The number of students who initially opposed the acquisition of Klan material and who proved unpersuaded by the arguments for the importance of the acquisition was disconcerting. As a result of their contact with higher education, one would expect that students would have internalized traditional academic values and thus support acquisitions that made possible more informed historical studies. Many students had internalized these values and wrote letters to the student newspaper supporting the acquisition. Some students, however, were not concerned with the specific facts, considered dialogue largely a device through which to educate administrators, and did not accept the traditional cultural value of the academe which holds a free exchange of ideas regarding all topics to be necessary. Although disconcerting, this reaction on the

part of some students is explainable and when considered from the student's perspective, logical.

If the cultural framework for considering the Klan acquisition is shifted from the archivist's belief in the need to use primary documents for research into controversial aspects of history to that of an African-American student who views himself or herself as the subject of oppression and victimization, the salient facts of the acquisition appear very different. The specific material acquired is unimportant. Klan material represents the virtual embodiment of racial oppression and victimization. Furthermore, the purpose of dialogue is not to listen to the archivist argue for the importance of ideas critical to his or her academic culture, but to show the archivist how his or her cultural perspective fails to appreciate the African-American heritage and thus either consciously or unconsciously continues a long tradition of racism. The student's purpose in entering the dialogue is not to be inculcated in traditional academic cultural norms but rather to educate regarding the African-American cultural perspective.²⁰

Cast in this light, opposition to the acquisition is sensible and logical. A critical lesson to be learned from this case study is that the archivist's belief that students need to be educated regarding the importance of controversial acquisitions has a parallel belief on the part of many students that archivists need to be educated regarding African-American culture. Archivists must be open to that education just as archivists must hope that students will listen to what we have to say.

Faculty tended to either not react to the acquisition or to react in negative ways. The same commitment to the marketplace of ideas that compelled administrators to support a controversial acquisition makes it intellectually difficult for faculty to oppose the acquisition of controversial collections. But by the very nature of their respective responsibilities, the faculty tend to be more exposed to the cross currents of ideas than administrators. While administrators are sitting behind their desks looking at balance sheets, faculty should be sitting at their desks reading the most current writings in their field. This more current exposure to the marketplace of ideas may make faculty more ambivalent regarding the ascendancy of academic cultural values over the values of others. Furthermore, faculty, unlike administrators, usually do not perceive their position to include a responsibility to defend traditional academic values.

The ambivalence of faculty between the obvious justification for the acquisition in terms of traditional academic beliefs and the criticisms of the acquisition that were made from an African-American perspective manifested itself in the concern over "sensitivity." If the need for the acquisition of sensitive material must be acknowledged, the acquirers of that material should somehow bear responsibility to assuage the feelings of individuals offended by the acquisition. As a practical matter, no additional suggestions were made as to how to express sensitivity other than those already undertaken by the library staff, but sensitivity remained an issue that lent itself to no satisfactory answer.

The sensitivity issue may well represent an incomplete expression of a more powerful and much more challenging issue that has already been alluded to: multiculturalism. Multiculturalism's commitment to exploring all cultures on an equal footing creates a seeming opportunity to challenge the historical pre-eminence given to certain values found in academic culture. Traditional academic

culture is largely based on ideas and beliefs developed in a Eurocentric, male-dominated society. Within that culture the pre-eminence of ideas such as the marketplace of ideas is well established, but outside of that culture it is not necessarily the case that pre-eminence is given to the marketplace of ideas or any other traditional academic concept that an archivist might use to defend controversial acquisitions. Put more plainly, when a student of African-American heritage expresses dismay over an acquisition of Klan material and expresses his concern in terms of an African-American cultural need to eliminate reference to a painful past, why is the student's perceived cultural need less important than the perceived Eurocentric cultural value of the seemingly impartial documentation?

"Sensitivity" in a setting where two or more cultures of equal value exist and are each affected by a particular action would seemingly require that a valid argument for the action be constructed within the framework of each culture. However, constructing such arguments would be difficult. The archivist would need to be familiar enough with each involved culture to understand the culture's values and beliefs. Adherents of particular cultures may choose to dismiss arguments made by "outsiders," even when the outsider attempts to place the discussion in the appropriate context. Finally, it does not seem unreasonable that some cultures may embrace values that are antithetical to an archivist's desire to document controversial aspects of society and that, within that culture, there is no way to persuasively argue the case.

Faced with a situation in which for whatever reason a successful argument for collecting controversial material cannot be made within a given cultural context, the archivist must confront difficult choices. The archivist may attempt to argue that in the instance at hand Eurocentric cultural values are of greater importance than that of other cultures. In the contemporary environment, assertions of cultural hegemony are not likely to be easily sustained.

A second option is to attempt to resolve the problem by referring to a meta-level of values. Philosophers traditionally attempt this process when dealing with problems involving conflicting values. Meta-level values are commonly agreed upon values that transcend the various cultures involved. Although each culture retains its own value system, all agree that a few particular values supersede the practices of their individual cultures. An example of meta-level values within the political arena is the United Nation's Universal Declaration of Human Rights. Whatever the political values and mores of a particular nation, each UN member state has agreed that there are certain basic human rights which are fundamental and transcend local customs and practice.²¹

The difficulty in applying the principle of meta-level values in most circumstances is in discerning the commonly agreed upon values through which to resolve the conflict. However the inherently multicultural nature of American society and in particular the concept of the "melting pot," create a pre-existing framework through which to shape the needed meta-level values. Although the melting pot is a concept in disrepute, particularly because many see it as little more than a ruse for recasting other cultures in an Anglo-American mold, the basic idea of establishing transcendent American values by drawing from a heterogeneous mix of cultures very nicely agrees with the philosopher's work in creating meta-level values.

Within a discussion of the values needed to establish and maintain a uniquely American society, it appears quite likely that a compelling argument can be constructed for the archival retention of controversial material as a part of the value-building process. If an American meta-level set of values is to be drawn from a heterogeneous mix of cultures and ideas, somewhere those cultures and ideas must be fully documented. Each component culture must be documented so that the culture's strengths and shortcomings can be appreciated and incorporated in the development of American values. In the particular case at hand, an understanding of Eurocentric culture should include information about the perceived shortcomings of Eurocentric culture. Thus, as part of a process leading to meta-level American values, it becomes imperative for archivists to document these shortcomings, including racism and racist organizations like the Ku Klux Klan.

Creating an argument within a multicultural environment for collecting controversial material is clearly challenging, but it is a challenge worth accepting. When archivists enter the multicultural debate arguing that multiculturalism itself requires broadly based documentation regarding all the component parts of American society, archivists seize the ideological high ground in an important contemporary discussion. Furthermore, making such an argument frees the archivist from accusations that he or she is relying solely on Eurocentric values which, in some circles, are considered suspect. The situation is particularly fortuitous in that the archivist need not abandon those Eurocentric, academic values which support the acquisition of controversial material. Rather the archivist may invoke both traditional values and those developed out of a multicultural viewpoint and point out that from either perspective retaining controversial records is important.

A case study based upon the acquisition of controversial Ku Klux Klan material by the Clarke Historical Library leads to several useful conclusions. First, inter-institutional cooperation among archival institutions can work. The ethic of cooperation which has been preached by archivists for the past twenty years was in this case matched by action. Second, the general public does not truly appreciate the need for controversial acquisitions, whether justified from a traditional academic perspective or from a multicultural perspective. Archivists need to educate the public on this point or be prepared for public opinion to influence archival documentation activities in ways archivists will likely find uncongenial. Third, the press can be an important archival ally. In this case study the press almost always got the story right and almost always was extremely sympathetic to the library's point of view. Fourth, although universities represent a very complex picture, administrators are often the archivist's best friend, faculty are often ambivalent, and some students can express extreme hostility. This case study suggests that an open, reasoned, and broad-ranging discussion coupled with sympathetic listening are the best strategies for dealing with either ambivalent supporters or critics. Finally, multiculturalism is not necessarily the archivist's enemy. Although multiculturalism can be used to challenge basic assumptions that archivists use to justify their acquiring of controversial collections, multiculturalism itself contains the seeds for justifying the acquisition of controversial records. The archivist's challenge is not to oppose multiculturalism but to use it as part of the justification for acquiring controversial material.

ABOUT THE AUTHOR: Since 1991 Frank Boles has been director of the Clarke Historical Library, a special library on the campus of Central Michigan University. Prior to his appointment at the Clarke Historical Library, Dr. Boles worked at the University of Michigan. Beginning in 1981 he was employed as an archivist at the Bentley Historical Library and after several years he received a joint appointment, spending half of his time at the Bentley as the associate archivist for electronic records while also serving in the University of Michigan's School of Information and Library Studies as the instructor for the program in archival studies. Dr. Boles has also served as a program officer at the National Endowment for the Humanities and as an archivist at the Chicago Historical Society.

NOTES

1. *Saginaw News*, November 16, 1993.
2. *Central Michigan Life*, November 13, 1992.
3. *Saginaw News*, November 16, 1992.
4. For examples of the coverage, see the *Detroit Free Press*, October 27, 1992, or the *Grand Rapids Press*, October 29, 1992.
5. *Muskegon Chronicle*, November 1, 1992. For additional post-auction coverage see *Detroit News*, November 1, 1992; *Detroit Free Press*, November 2, 1992; *Morning Sun* [Mt. Pleasant], November 15, 1992; *Saginaw News*, November 15, 1992; and *Saginaw News*, November 16, 1992.
6. The retired director of the CHL, a man with over thirty years experience at auctions, actually bid for the CHL. As a strategic maneuver, the retired director, who has in the past personally collected Michigan material, was not identified at the auction as an agent of the library. This maneuver was taken to forestall a sometimes observed phenomenon of rapidly escalating prices when an institution with presumed "deep pockets" is known to be interested in an item to be auctioned and is seen bidding on the material.
7. For example, *Detroit Free Press*, November 2, 1992.
8. *Detroit Free Press*, November 2, 1992.
9. *Muskegon Chronicle*, November 1, 1992.
10. *Detroit News*, November 1, 1992.
11. *Central Michigan Life*, November 13, 1992.
12. Leonard Plachta as quoted in *Saginaw News*, November 15, 1992.
13. *Saginaw News*, November 15 and November 16, 1992.
14. *Saginaw News*, November 15, 1992.
15. *Reach!* December, 1992. *Reach!* is a newsletter for students of color sponsored by the Central Michigan University Minority Affairs Office.
16. *CM Life*, May 3, 1993.
17. Perhaps the most colorful reaction of a local resident came when an elderly woman, who accompanied a young friend doing genealogical research came upon the membership card of her divorced, and deceased, husband, who had never shared with her that he had been active in the Klan. Her anger, characteristically, was aimed at the Klan member, not the archivist supervising the reading room.
18. The differing perspectives between white and African-American citizens over racism in American society is well documented. One example of the effect of these differing perspectives among college students is reported by Bruce D. La Vant, Charles L. Brown, and Emmanuel Newsome, "Perceptions and Views of Racism: A Student Leader's Perspective," published in Melvin C. Terrell, ed., *Diversity, Disunity, and Campus Community* (np: National Association of Student Personnel Administrators, Inc., 1992), 155-168.
19. *Morning Sun* [Mount Pleasant], November 15, 1992.
20. Attempting to speak for a person of color can, in itself, be interpreted as an usurpation of their African-American heritage and thus an act of racism. However, if the reaction to the Klan acquisition is to be understood an effort must be made to understand the issues and beliefs which motivated those who opposed the acquisition.
21. Although he does not use the technical term "meta-level," see, for example, Alasdair MacIntyre. *Whose Justice? Which Rationality?* (Notre Dame: University of Notre Dame Press, 1988), 389-403.

BOOK REVIEWS

Describing Archival Materials: The Use of the MARC AMC Format. Edited by Richard P. Smiraglia. New York and London: The Haworth Press, 1990. 228 pp. Hardcover. Available from the Society of American Archivists, \$29.00 members/\$35.00 nonmembers.

Not really a new publication, this short volume was also published as Vol. 11, nos. 3/4 of *Cataloging & Classification Quarterly* in 1990. But the volume's value, particularly for beginning users of MARC AMC, is still high.

Comprising ten papers by nine different authors, the volume contains an introduction by editor Richard Smiraglia; three manual-like instructional pieces; three more theoretical and thought-provoking contributions; and, finally, three papers on non-textual formats. Though the introduction says the work is intended for both archivists learning to catalog and library catalogers learning to cope with archival control techniques, most of the authors seem to have written with archivists more in mind.

The how-to chapters of the book are as needed now as when originally written; this is testified to by recurring pleas on the Archives Listserv for help in starting to do MARC AMC cataloging. The papers focus not on the format itself (which arguably is the easiest part) but on the content of the tagged fields. Michael J. Fox discusses the goals of library and archival descriptive cataloging and AACR2 and APPM, the standard sources of cataloging rules. Edward Swanson concentrates on access point headings for people, corporate bodies, and geographic places; his pages include much repetition from AACR2. Richard Smiraglia instructs in subject analysis and applications of terms from *Library of Congress Subject Headings*, as guided by LC's *Subject Cataloging Manual*.

These three papers avoid introducing any questions on whether the practices described actually work for archival materials as well as they do for monographs, and generally avoid controversial or confusing areas. I think this avoidance commendable in that we all need to *do* cataloging as consensus evolves on these unsettled points. Novices following the leadership of these three papers need have no fear of being pointed at and whispered about by fellow archival catalogers at MAC or SAA gatherings.

Commendable for the opposite reason is the paper by Marion Matters on authority work, that by Lisa B. Weber on the AMC format itself, and that by Kathleen D. Roe on the impact of automated systems design on data input and retrieval. These generally avoid the instructional approach to focus on discussing areas of concern, of compromise, and of conflict with the library origins of the cataloging package archivists have adopted.

The reader realizes that the recommended activities of the previous three papers represent the culmination of immense professional effort so far and that to have systems that meet our needs more optimally will require immense addi-

tional effort. This effort first must address conducting research to identify what we do need and how best to achieve it, and then negotiating with others who share our codes, authority sources, and software systems to implement needed changes. The three papers in this group provide background on developments so far and describe problem areas that we need to be aware of today as we work and to which we will need to address attention in the future.

The paper by Jim Corsaro on map cataloging is noteworthy in its bringing together of both the specific instructional points and the more general issues of concern explored in the earlier papers for textual materials. He clearly points out the reasons for needing an archival approach to maps and the areas in which standards have not yet been established. But he also, by example and discussion, notes a method for proceeding to do some archival map cataloging as these issues are being addressed.

The two papers by Barbara Orbach on photographs and David H. Thomas on sound recordings also note that accepted archival standards do not yet exist for these media. Orbach is more theoretical in her discussion of critical features of visual images that need to be addressed in cataloging. She also describes the published tools currently available and acceptable as guidance for photo catalogers. Curiously, she does not mention that there exists a separate MARC format for visual materials whose use should be considered.

In contrast, Thomas takes more of a how-we-do-it-in-my-shop approach and addresses non-cataloging issues such as defining archival sound recordings, the problem in ascertaining original order, and producing item-level finding aids. He implicitly emphasizes recordings of performances or broadcasts, which I suspect overlap more in content type with published recordings, rather than the interviews, speeches, press conferences, and panel discussions that are found in most archives' holdings.

The word "use" is appropriately included in this volume's title, for facilitating use is where its greatest value lies. Those already doing archival cataloging should be familiar with the issues and procedures discussed. But for beginning MARC AMC catalogers, this work is helpful in picking out from the voluminous other published materials what one needs to know to get started.

Karen J. Baumann
State Historical Society of Wisconsin

Heritage Preservation: A Resource Book for Congregations. By David A. Haury. Newton, KS: Historical Committee, General Conference Mennonite Church, and Fresno, CA: Historical Commission of the General Conference of Mennonite Brethren Churches, 1993. 36 pp. Appendices. Softcover. Available from Mennonite Library and Archives, Bethel College, North Newton, KS 67117, \$5.00, or Mennonite Heritage Centre, 600 Shaftesbury Blvd., Winnipeg, MB R3P 0M4, Canada, \$6.00 (Canadian).

David Haury's resource book for local church archivists/historians is a welcome addition to a small, but growing, reference library for local church volunteers charged with the care of their congregation's records. This particular work

is a companion to the previously published *Heritage Celebrations: A Resource Book for Congregations*, by Wilma McKee, which no doubt explains why Haury does not discuss writing a church history or celebrating an anniversary. He concentrates on the other responsibilities of local church archivists/historians, what should be kept, how and where it should be kept, and how to retrieve it.

Those preparing guidelines for volunteer archivists are always faced with the dilemma of giving enough information without overwhelming the recipient. Haury covers the basics well, plus indicates points at which further thought is needed. For instance, he reviews the types of records to collect—minutes, ledgers, cemetery records, etc.—but emphasizes that certain collecting decisions still remain those of the congregation, a message not always welcomed by local historians in my experience. However, Haury also provides two lists in an appendix (“records to keep” and “records to discard”), which should make the “please tell me exactly what to do” folks happier.

What is missing in Haury’s resource book? He could have emphasized the benefits of charting the organization’s structure for purposes of discovering what records are lacking and identifying what ought to be collected in the future. He could have discussed the question of keeping accession records and using donor forms, both of which need to be done at least in some instances in a local congregation. He could have written of the advantage of cultivating congregational allies, such as the church secretary. He could have said much more about using computers for creating finding aids. Congregations of all sizes are using computers, some with sophistication. If nothing else, a resource of this sort should address the inevitable question, “Why do we need to keep this stuff, aren’t we just putting it all on the computer now?”

I wish, too, that Haury had specified his denominational audience. Placing his text firmly in the Mennonite tradition would not deter non-Mennonite users. Local church archivists/historians know that different denominations use different terminology and have different expectations and, if they do not, would benefit by being told. Haury’s suggestion that some materials might best be sent to the denominational archives without specifying on which denomination’s policies he bases his advice could confuse some readers. For example, this would not be appropriate advice for a United Methodist. Haury could have helped the non-Mennonite reader by clarifying the points at which he is addressing a particular audience or by making a general statement on the necessity of conferring with one’s own denominational archival structure. Beyond that, most readers will easily identify the general information of use to all.

In spite of the “he could have,” Haury’s work is a good addition to the resources for local congregational volunteers.

Thelma Boeder
Minnesota Annual Conference,
United Methodist Church

Records Management Handbook for United States Senators and Their Archival Repositories. By Karen Dawley Paul. Washington, DC: Secretary of the Senate, 1992. 179 pp. Indexed. Bibliography and appendixes. Softcover. Available from the Senate Historical Office, United States Senate, Washington, DC 20510.

The *Records Management Handbook* is a mixed blessing for archival repositories that collect the papers of United States senators. Archivists will surely refer to it frequently, but will be leery about suggesting that senate staffers read parts of it too closely.

From the outset this *Handbook* rightfully stresses the importance of records management to current administrative needs, noting that "the quality of creation, maintenance, and disposition of this material can decisively influence a member's legislative effectiveness, responsiveness to constituent needs, and ability to be reelected." It also makes an equally strong point for the value of a senatorial collection as "a fundamental source for the study of America's past."

For archivists faced with the often daunting task of appraising and arranging large senatorial collections, the *Handbook* provides very detailed information about senate office functions, organization, and records. Of particular value are the chapters on Office Organization, Functions, and Records; Records Disposition Schedule; and The Management and Disposition of Electronic Records. They should prove useful in understanding even the most disorganized senate collections and, as recommendations to senate offices, might help bring a greater uniformity to their organization. For senators and their staff who are faced with myriad responsibilities and unending piles of mail, the *Handbook* provides concrete advice on how to get control over their records.

While archivists will appreciate the possibility of better organized senatorial collections as a result of the *Handbook's* recommendations, they will be equally concerned that the *Handbook's* recommendations for records disposition takes away most of the appraisal judgements from the repository archivist. Of particular concern is the overly generous designation of "permanent" records series. For example, desk calendars, daily schedules, and appointment books are all considered permanent, although it might be persuasively argued that if the schedules are kept the other two series are superfluous. Press mailing lists are also labeled as permanent, although it is difficult to see what their value might be to researchers. It would have been far better to have stated "consult with repository archivist" for these and other series. Although fairly wide consensus exists among archivists about the appraisal of many records series in senatorial collections, the *Handbook* fails to recognize a lack of consensus for many other series.

The second area of major concern with the *Handbook* is its explicit instruction to senators to enter into deposit agreements with repositories while they are still in office. My institution will not take material on deposit, nor will most other major repositories. Nevertheless, the *Handbook* includes two sample deposit agreements, one of which promises to: conduct an oral history of the senator and his or her associates; mount several exhibits on the senator; and, assign a staff archivist to serve as the senator's personal records manager. Transfer of title to the collection must await "the Senator's retirement from public service." How are Senators going to react when they find that their repository will not agree to these same conditions?

The Foreword to the *Handbook* states that "successful preservation of senatorial papers ultimately becomes a cooperative venture involving office staff and repository archivists." However, the overly prescriptive retention recommendations and the very generous sample deposit agreements could lead to several points of friction between senatorial staff and repository archivists. The potential exists for the *Handbook* to actually make the preservation of senatorial papers more difficult, rather than easier.

Todd J. Daniels-Howell
Minnesota Historical Society

Between the Landscape and Its Other. By Paul Vanderbilt. Baltimore and London: The Johns Hopkins University Press, 1993. 140 pp. Illustrated. Hardcover. \$50.00.

In *Between the Landscape and Its Other* Paul Vanderbilt illustrates and explores his work and ideas on what he terms "a way of seeing" photographs. A librarian, archivist, editor, curator, and photographer, Vanderbilt was on the staffs of the Philadelphia Museum of Art, the Library of Congress, and the State Historical Society of Wisconsin. Vanderbilt's work combines art and archives, the intellectual and the artistic, and he presents his ideas in a manner that is both fascinating and challenging to contemplate.

Between the Landscape presents information to its readers on three levels. The most important aspect of the book is the visual one, which consists of a series of paired photographs. Vanderbilt's text is the second level, and a series of lengthy quotations by others is the third. Visually, Vanderbilt presents a series of photographs grouped together in pairs. The pairs of photographs are unrelated except by an abstract emotional connection, which Vanderbilt suggests to the reader in text accompanying the pairs. An example of a pairing is perhaps the best way to describe them. In one of his pairings Vanderbilt includes a photograph of a baby sitting for a portrait in a studio setting. The accompanying landscape photograph is of trees reflected in a pool of water. The text Vanderbilt writes to accompany the pairing is "A little later comes a time to wonder why there is so much that isn't so" (p. 94). All of the photographs form part of the holdings of the State Historical Society of Wisconsin. One half of the pair is from a collection of historical photographs dating from 1875 to 1915 and portray minor and personal events in the lives of individuals. The second half of the pairing is from a collection of Vanderbilt's photographs of landscapes made during the 1960s, specifically for use in pairings. The short texts accompanying the pairings were written by Vanderbilt after the individual pictures had been combined to suggest the thematic direction of the pairings, an abstract and aesthetic connection.

In the text Vanderbilt presents his goals in the creation of his pairings and the process he went through to create them. He discusses what inspired his work and his professional background. Vanderbilt's focus is how the reader can see photographs differently and, by suggestion, how the reader can use them differently. "Taking more time to look into a picture involves relaxing, opening, dis-

carding barriers, receiving raw materials...and then sensing a gradual connection with memory and feeling a spontaneous restructuring of the picture so that the 'new' picture actually looks different" (p. 12). His pairings are an exercise in stretching.

The third component of *Between the Landscape* is a series of quotations by well known authors on subjects related to Vanderbilt's discussion. Interspersed throughout the volume, the quotations help illuminate various topics addressed by Vanderbilt. For example, after a discussion of the presence of magic in his selection of a landscape he includes a quotation by Simone de Beauvoir on women and mystery. The quotations add another dimension to Vanderbilt's work by providing other voices talking about his ideas, as if in commentary.

The value of Vanderbilt's work is that it accomplishes what it sets out to do; that is, the reader cannot help but come away with an altered "way of seeing" photographs. This forces one to rethink how photographs can be used differently, and which ones should be saved. "The most intelligent and challenging uses of photographs involve imagination, not to inform or decorate but to extend and flavor observation with intuition" (p. 127). The reader willingly uses his imagination to view photographs after reading Vanderbilt's work. To an archivist, the book is a bit awkward at first. There are no identifying dates, names, or places with the photographs. The usual landmarks archivists use to classify and group photographs are missing. But this is in part what forces one to rethink the use and value of photographs.

From a practical perspective, Vanderbilt's discussion of the Iconographic Collections at the State Historical Society of Wisconsin leaves one wanting more explanation. Iconography is similar to bibliography, he states, but refers to pictures not writings. He does not want to deliver specific photographs to clients, he tells the reader, but rather "indicate to them the most likely files" (p. 119) in which to look. Perhaps this discussion belongs in another format, but more information on iconography would be useful to archivists. His discussion of what should be saved of photographs being produced now is also limited. That the "best working principle for retention is based not on what is past but on what lies ahead" (p.133) is probably not revolutionary to most archivists. The reader wishes Vanderbilt were there to continue the discussion of retention and his interaction with patrons from a reference perspective.

Despite any frustrations archivists might have about the lack of technical discussion of their profession, Vanderbilt's work is invaluable to anyone working with photographs. Vanderbilt succeeds in his goal of encouraging the reader to explore new ways of looking at and using photographs.

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Managing Institutional Archives: Foundational Principles and Practices. By Richard J. Cox. Westport, CT: Greenwood Press, 1992. 300 pp. Indexed. Illustrations and bibliography. Hardcover. Available from the Society of American Archivists, \$50.00 members/\$55.00 nonmembers.

Managing Institutional Archives is neither a book on management for archivists nor is it a standard manual for institutional archives. Instead, Cox has managed to create a book which combines these two genres into something new and exciting. Although he feels that archival principles are transferable between different types of archival institutions, "some principles are uniquely important to institutional archives," and there was a need for a volume devoted to this topic. While this volume was written for archivists, it uses many examples and discusses many issues that are of interest and will appeal to non-archivists who manage or supervise archival programs.

The book is arranged into nine chapters with a tenth being a bibliographic essay.

The first two chapters discuss why archives are important in an institutional setting and introduce the management concepts of planning, staffing and facilities management. The next three chapters deal with the core archival activities of appraisal, preservation, arrangement and description, and reference.

Cox spends a considerable amount of time on issues that he considers of importance in an institutional archives setting. The first of these chapters deals with developing internal and external support. This topic is of great significance to the institutional archives and Cox deals with such issues as defining its support groups, developing public programming, and outreach efforts that encourage their involvement and support. Cox provides a good overview of this topic with reference to many additional readings.

The book devotes an entire chapter to the issue of cooperation among institutional archives. The author clearly feels that efforts of this type will have enormous potential for archival programs. He delineates a number of successes from joint conservation programs, to standards for description, to training efforts. While these are indeed successes, these are efforts that do not involve a sharing of budgets or a loss of institutional authority. Cox may be right that archival programs will benefit through greater cooperation, but archivists and archival programs continue to avoid entanglements that affect their autonomy.

One chapter is devoted to speculation on the future of institutional archival programs, and reviews some of the latest developments affecting archives. These include such issues as long range planning by the profession, certification of archivists, accreditation, and the self-study manuals created by the Society of American Archivists and the New York State Archives. Cox clearly feels that institutional archives face significant challenges from new electronic methods of record keeping, to rapid institutional change, to new record formats. Each of these brings significant challenges that archivists must meet if their programs are to flourish and grow.

Finally, Cox provides a chapter outlining case studies of institutional archives in a Catholic diocese, a university, and a professional association. Each provides an application of the concepts discussed earlier in the book and offers useful teaching models for workshops or archival education programs.

The book contains a useful bibliography, copious footnotes, and an index. While the book contains tables and illustrations, the volume could have been improved through the use of photographs illustrating particular points or issues. Although this book is not a manual or a textbook, it provides useful insights for managers of institutional archives, for non-archivists responsible for institutional archives, as well as for archival educators teaching future administrators of institutional archives.

Thomas Wilsted
American Heritage Center

Recognizing Leadership and Partnership: A Report on the Condition of Historical Records in the States and Efforts to Ensure Their Preservation and Use. Compiled by Victoria Irons Walch. Des Moines: Council of State Historical Records Coordinators, 1993. 2 Volumes: 166 and 200 pp. Softcover. Out-of-Print (Copies are widely available for consultation at State Archives/State Records Coordinators).

In *Recognizing Leadership and Partnership: A Report on the Condition of Historical Records in the States and Efforts to Ensure Their Preservation and Use* (hereafter referred to as *RLP*), Victoria Irons Walch presents an extensive compendium of statistical data and narrative survey information concerning the status of historical records programs in the United States. Although its predominant focus is state archives and historical records programs, *RLP* also contains information on governmental records programs in American Samoa, District of Columbia, Puerto Rico, and Virgin Islands as well as summary comments about archival activities beyond governmental records.

The two-volume spiral-bound work (totalling 366 pages) is the report of a study Walch conducted in late 1992 and early 1993 on behalf of the Council of State Historical Coordinators, with funding from the National Historical Publications and Records Commission (NHPRC). From the standpoint of comparative statistical data, *RLP* is a significant update of Ernst Posner's magisterial 1964 *American State Archives*. In addition, *RLP* updates Lisa Weber's 1983 *Documenting America*, which reviewed the findings of the NHPRC-sponsored state assessment reports.

Walch draws data for the *RLP* report from a survey of state records coordinators, supporting documents submitted by coordinators in response to the survey, NHPRC files, and a number of external sources, such as the *NARGARA Clearinghouse*, the Council of State Government's *Book of States*, and Howard Lowell's *Preservation Needs in State Archives*. The report presents much of the quantitative information in comparative tables and the "qualitative" information in narrative summaries.

Volume I presents the information according to 15 topical areas relating to current conditions (state and local government records, advisory boards, facilities, and legislation) and issues (budget, access, education, preservation, cooperation, and new technologies). Perhaps most useful as source material for further study, there are extensive statistical tables on records expenditures, comparisons to overall state expenditures, staffing, holdings, and NHPRC grants to states.

Volume II contains much of the same information, but organized by state/district/territory to provide profiles of archival and records activity in each of these units.

The report thoroughly describes the current conditions and issues in state records programs. Perhaps its most basic finding is the quantitative and qualitative coverage of what often are labeled only as the "usual problems of funding, staff, and space shortages" that archives face. While these problems may not be particularly new, Walch emphasizes that there is a new and increased understanding that many of the problems are common among the states. Also, there is now a recognition of the possibility for common solutions based on exercising leadership and developing partnerships, especially through improved communication. It is from this perspective that the report draws its hopeful, if not platitudinous, title. Unfortunately, the players and mechanisms identified for exercising these roles—e.g., NHPRC and the state records boards—do not extend beyond the known cast that has been unable to accomplish the desired miracles in the past decade and a half. Nevertheless, the extensive comparative information in *RLP* should facilitate discussions and actions to continue incremental progress.

It is in the report's specific findings that *RLP* makes its greatest contribution. Through data in several categories it provides concrete evidence of considerable progress in state records programs since the 1960s when Posner identified 12 states without state archivists. There are now programs in all 50 states with a broad range of services that can be quantified.

As another example of the many specific findings reported in *RLP*, as well as a sign of the progress of state archives, Walch reported that many have moved into new facilities and that doing so has enabled archives such as those in Kentucky, Minnesota, and Oregon to experience significant increases in users and visitors.

The comparative data also suggest interesting relationships between program resources and constituencies and services. For example, Walch found that larger states devote a smaller proportion of overall resources to archives and records than smaller states, even though some of the strongest and most extensive programs are in large states. Although variations in reporting categories offer a partial explanation, this finding also suggests that there are economies of scale in archival management. Unfortunately, too many programs appear to be at a poverty rather than an economy level.

It should not be surprising that there are important limitations to *RLP* since it was a commissioned study completed within a very short time (indeed fewer months than allowed this reviewer to comment on the work) and it is a work based on responses to questionnaires and interviews. Perhaps most significant is that most of the data are self-reported and not independently verified or normalized. In addition, there is a great deal of unevenness in the reports; for example only 34 states are represented in the section on statewide functions and services. The survey nature of this work leads to other limits. Some sections are very cursory and anecdotal, such as that on legislation and regulation. The results in others, such as education and new technologies, lack focus and provide little useful comparative information.

Finally, and perhaps most fundamentally, the ultimate usefulness of *RLP* will be limited because it is only yet another one-time effort. No matter how ambi-

tious and thorough this report is, its value will be limited unless there are follow-up surveys and reports on at least the core-data categories. This problem should not diminish our recognition of Walch's fine work in conducting this study. However, if progress is to be made, there must be a more regular and rigorous way to measure whether state records programs are advancing or retreating, even if the pace is only glacial. The Council of State Historical Commissions and the NHPRC are to be commended, along with Walch, for this milestone compendium, but both its limits and qualities cry out for follow-up work.

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Documentation Planning for the U.S. Health Care System. Edited by Joan D. Krizack. Baltimore: Johns Hopkins University Press, 1994. 260 pp. Introduction, bibliographies, appendix, index. Hardcover. \$38.50

While the U.S. Congress struggles with a national health care plan, Joan Krizack and a group of contributing authors have advanced their own strategy for dealing with the massive quantity of documentation generated by the U.S. health care system. Utilizing documentation planning, the authors draw upon the conceptualized appraisal approach advocated by F. Gerald Ham among others, and the selection methodologies articulated by Hans Booms (documentation plan) in the 1970s and Helen Willa Samuels, Larry Hackman, and Joan Warnow-Blewett (documentation strategy) in the 1980s. To these contextual methodologies for institutional and interinstitutional analysis is added a third level, system analysis.

The editor points out that this holistic analysis of the health care system is not intended to be prescriptive. It is meant to be both descriptive and suggestive, providing the context necessary to devise a documentation plan. The authors, who are archivists, repeatedly cite the small number of archivists and repositories operating within the health care system framework. Given this obviously limited audience, the authors of *Documentation Planning for the U.S. Health Care System* admittedly seek to broaden the book's scope to include students, historians and researchers. Unfortunately this broad-based approach occasionally causes the authors to lose their focus and rely on generalized overviews and oversimplified classifications. Nonetheless, the authors succeed in emphasizing the interrelatedness of the individual components comprising the larger health care system.

The book is organized into eight chapters designed to provide background information on the U.S. health care system and the functions of the subordinate components. Each chapter includes citations and annotated bibliographies. In the first chapter, the editor provides a broad overview of the health care system and develops a series of typologies and functional classifications, dividing health care institutions and organizations into categories that form the basis of the next six chapters: "Facilities that Deliver Health Care" (Krizack); "Health Agencies and Foundations" (Peter B. Hirtle); "Biomedical Research Facilities" (Paul G. Anderson); "Educational Institutions and Programs for Health

Occupations" (Nancy McCall and Lisa A. Mix); and "Professional and Voluntary Associations" (James J. Kopp). The final chapter, "Documentation Planning and Case Study" (Krizack), contains a case study of the documentation plan implemented at Children's Hospital, Boston.

The health care facilities chapter naturally focuses on hospitals. Perhaps most significant is the estimate that less than 5 percent of hospitals currently have programs in place to preserve their historical records. This, more than anything, underscores the need to develop a documentation plan for health care.

Peter B. Hirtle's contribution assesses health agencies, analyzing the haphazardly created system of government agencies (federal, state, and local) and the inherent difficulties in documenting them. Not surprisingly, he notes that the National Archives remains the single best source for documentation about the U.S. health care system. Of foundations, he finds that their records contain important information about smaller institutions and organizations that is not available elsewhere.

Paul G. Anderson discovers that a major obstacle to documenting biomedical research is the common perception among researchers that the published result is the best archives. "It is no accident," he states, "that the titles of well over one hundred biomedical serial publications... begin with variations of the term 'archives'" (97-98).

Nancy McCall and Lisa A. Mix describe the functions of educational institutions and training programs, and the records they generate. They caution archivists involved with these records to give consideration to the evidential uses of the records, particularly as they relate to accreditation, licensing and certification.

James G. Carson focuses on professional and voluntary associations by using examples of each, one professional (Illinois State Medical Society) and one voluntary (American Heart Association). Carson stresses the need for increased documentation efforts and priority setting, illustrating his point with the figure that less than one percent of archivists are employed by health associations. The fact that many associations are also devoted to documenting the broader history of their particular professions further illustrates the need for stringent priority setting. The "medical industrial complex" (including insurance) is discussed by James J. Kopp, who finds that the for-profit nature of this activity leads to closely guarded secrets which make documentation efforts difficult.

Krizack uses the case study of Children's Hospital, Boston to tie the previous chapters together. By differentiating documentation planning from collecting policy, Krizack illustrates the various levels of analysis and details the importance functional analysis has as it leads to the identification of core record series.

Given the enormity and complexity of the health care system, this book serves as a useful introduction for archivists seeking to understand their institution's role in a broader context. This volume also identifies gaps in our understanding of health care institutions and the records they generate. At the very least, this book should cause archivists to reflect upon the big picture when appraising health care records.

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