

# Archival Issues

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Journal of the

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Midwest Archives Conference

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Volume 27, Number 1, 2002

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in the United States and Canada*

Bessie Schina and Garron Wells

## PUBLICATION REVIEWS

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*An Index to Volumes 22-26  
1997-2001*





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Correction: We incorrectly dated Volume 26, Number 2, as "2002." The correct date for Volume 26 is "2001." We regret any inconvenience or confusion this may have caused.

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## EDITORIAL POLICY

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

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

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

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

Please direct inquiries regarding membership and purchase of journal copies to MAC Secretary Menzi Behrnd-Klodt, Klodt and Associates, 7422 Longmeadow Road, Madison, WI 53717. Phone: 608-827-5727; E-mail: menzi.behrnd-klodt@pleasantco.com.

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## *Awards*

### **Margaret Cross Norton Award**

A panel of three archivists independent of the journal's Editorial Board presents the Margaret Cross Norton Award in odd-numbered years (alternating with the New Author Award). The Norton Award recognizes the author of what is judged to be the best article in the previous two years of *Archival Issues*. The award was established in 1985 to honor Margaret Cross Norton, a legendary pioneer in the American archival profession and the first state archivist of Illinois. The award consists of a certificate and \$250.

Cowinners were selected for volumes 23 and 24. Francis Blouin was recognized for his article, "Archivists, Mediation, and Constructs of Social Memory," 24:2, 101–112. Blouin's thoughtful and intellectually engaging article states that the role of archives in the formation of social memory is an area of study with wider practical reaches than that of a purely academic exercise. Blouin's article suggests that the study of archives and the representations of history within them bring the question of the integrity of archives to the forefront. The idea that archivists may play more than a completely objective role in the formation of the historical record strikes directly at the core of our theories and practices of archival appraisal and accountability. Through opening this discussion, Blouin opens the possibility for archivists in collections of every size and specialization to carefully consider the larger issues implicit in each collection-related decision that we make.

The other winner of the Margaret Cross Norton Award is Philip C. Bantin for his article, "Strategies for Managing Electronic Records: A New Archival Paradigm? An Affirmation of Our Archival Traditions?" 23:1, 17–34. Our colleagues who develop theoretical solutions for profound problems that face us in fulfilling our professional mandates often challenge us to rethink previously held convictions or develop practical solutions. In recent years, nowhere has this been more apparent than the complex issues facing electronic records. For many in our profession, the very subject "electronic records" seems to be a Promethean task introduced by cruel gods to haunt our dreams and impede our progress. Rarely are archivists presented with such a clear synopsis of the theoretical framework, an analysis of the crucial issues, and a series of practical suggestions as in Phil Bantin's article.

**New Author Award**

A panel of three archivists independent of the journal's Editorial Board presents the New Author Award in even-numbered years (alternating with the Margaret Cross Norton Award) for articles appearing in a two-year (four-issue) cycle of the journal. The award was instituted in 1993 to recognize superior writing by previously unpublished archivists, and may be awarded to practicing archivists who have not had article-length writings published in professional journals or to students in an archival education program. Up to two awards may be presented in a single cycle. The award consists of a certificate and \$250.

For volumes 23 and 24, the New Author Award winner was Mark Shelstad for his article, "Switching the Vacuum into Reverse: A Case Study of Retrospective Conversion as Collection Management," 23:2, 135–153. The article discusses in detail the situation at the American Heritage Center at the University of Wyoming as it undertook the retrospective conversion of the collections' finding aids to electronic format. The project, as is typical of such endeavors, became more than retrospective conversion: it became a massive reappraisal, documentation, and deaccessioning project. The article includes extensive tables on the time required to revise a collection as well as a detailed discussion of the methodology used. It is a well-written and well-documented article on potential problems almost any repository might face when doing retrospective conversion and how one institution responded to these challenges.

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# A FIRM FOUNDATION: ARCHIVAL RESEARCH AND INTERPRETATION AT HISTORIC SITES

BY LINDA BARNICKEL

**ABSTRACT:** Archival research provides a firm foundation for interpretation at numerous historic sites throughout the United States. This research assures both the public and museum staff that what is portrayed at the site is historically accurate.

A number of factors influence the type of resources used and their interpretation. Some of the questions addressed in this article include: How has the growth of social history influenced the use of archival materials at historic sites? What role do archival materials play in planning an exhibit? Do researchers favor certain types of archival materials when interpreting historic buildings, interiors, and individuals? How do missing or weak archival sources affect interpretation? What role do archival materials play in the presentation of sensitive or controversial issues? By answering these questions, one gains a better understanding of the complex relationship between archival research and historic interpretation.

## *Introduction*

Isaac Shepard's story brought some members of the crowd to tears. A former slave, he made the long journey from Virginia to Wisconsin in 1850. He outlived his wife and four of his children and recently lost both his daughter and granddaughter in childbirth. He was a strong man and would be known as one of the earliest and most successful African-American pioneers of the small, integrated community of Pleasant Ridge in southwestern Wisconsin.

But the Isaac Shepard that told his story today to the crowd was actually a "character interpreter" at the Pleasant Ridge exhibit at Old World Wisconsin, an outdoor museum that portrays the rural life of Wisconsin immigrants from different ethnic groups. There really was an Isaac Shepard. The stories the interpreter told are based on factual documents and other reliable resources. Chief among these resources are letters, county government records, and newspapers. The church, near where the interpreter gave his presentation, is an accurate reproduction of the original United Brethren Church that

once stood at Pleasant Ridge and was a focal point for the community. The reconstruction of this church was made possible by careful examination of the actual site in Grant County, as well as strong reliance upon early photographs. Though many of the spectators might assume that both Isaac Shepard and the nearby church were based on fact, it is unlikely that they realize the scope and depth of the original research involved in accurately recreating the person and the structure.

Archival materials are crucial underpinnings to the public portrayal of history at numerous “living museums” and historic sites throughout the United States. Archival research assures the public and the museum staff that what is portrayed at the site is an accurate representation—or reasonable facsimile—of what life was like during the historical period portrayed. Most research for historic sites is very site specific and is generally driven by public inquiries or interpretive goals. Furthermore, such research often involves ferreting out the routine details of daily life that were “taken for granted and rarely recorded.”<sup>1</sup> The most reputable historic sites today rely upon archival research as an essential component of their public programming and interpretation. Research methodology and sources vary according to the interpretive purpose, but by a close examination of the various ways in which archival materials and research are used at these sites, we can learn more about how we as archivists can better serve our public history colleagues.

### *Planning*

Archival research is essential in the initial planning of a site, exhibit, or program. A close examination of interpretive planning materials at two institutions demonstrates the primacy of documents and archival sources at every stage in the planning process.

For instance, at Old World Wisconsin, the development of the Pleasant Ridge site began with “exploratory” or “discovery” research, in this case, significantly aided by an impressive collection of materials available at the Grant County Historical Society. This exploratory research allowed staff to determine if sufficient documentation existed to support an exhibit by consulting both archival and published sources. In this case, the answer was a resounding “yes.”

Next, staff develop a preliminary interpretive plan to identify “potential topics, themes, subthemes, and desired learner outcomes.” This is followed by a research plan, which poses several specific, detailed questions related to topics and outcomes presented in the preliminary interpretive plan. These questions guide the research for the exhibit. Research plans also list a few specific sources to be consulted, such as newspapers, court records, land records, and other archival sources. Non-archival sources are mentioned, but only in a general way, such as “sources on . . . African-American communities.” The emphasis is overwhelmingly on archival resources.<sup>2</sup>

The discovery research, preliminary interpretive plan, and the research plan are beginnings, designed to explore the breadth of the “documentary universe” and propose a suggested route through it. Interpretive plans and research plans result in the creation of full-blown “research reports.” For Pleasant Ridge, consultants produced research reports for each of the themes identified in the interpretive plan. Research reports, which are often voluminous, rely on extensive research in primary sources and serve as the

foundation for all aspects of the interpretation of the site. For example, the 200-page report, “The Importance of Religion at Pleasant Ridge,” is arranged by the topics and subtopics sketched out in the interpretive plan.

Following the submission of the research reports, the preliminary interpretive plan is reevaluated and revised. Historians then create an “interpretive manual” to be given directly to interpretive staff members. Though still very detailed, this manual provides interpreters with the “essential” information about the site, the themes to be portrayed, the different interpretive “stations” or locations within the site, and often provides them with photocopies or transcripts of original documents.

The Pleasant Ridge interpretive manual is 50 pages long and provides thematic and interpretive guidance for each of the three stations in the exhibit area. The manual contains stories to be told at each station and includes biographies of various members of the community whose stories can be interwoven into the narrative as each interpreter sees fit. In addition, the manual contains several pages of transcribed documents, including correspondence between a family of runaway slaves and their former owners; individual declarations of emancipation administered by the U.S. Army; court documents; obituaries; wills; and news clippings. Throughout the manual, there are frequent references to original source material, and speculations or educated guesses are clearly indicated as such. The interpreters for Pleasant Ridge should be well prepared and can be confident that the presentation they give for the public has a sound basis in the records of the community.

Colonial Williamsburg appears to follow a similar format. Interpreters are provided with a 400-page “Resource Book” that compiles primary documents and related sources focused on the particular interpretive theme for the year.<sup>3</sup> It also provides copies of documents not easily found elsewhere. For instance, interpreter Carol Dozier searched for years to find a complete, printed version of the Stamp Act in a book, without success. Due to her diligent but ultimately futile search, planners included the complete text of the Stamp Act in the “Choosing Revolution” Resource Book, allowing interpreters to read the full text of this crucial colonial document for themselves.<sup>4</sup>

### ***Building Restoration and Interiors***

Research to insure the historical accuracy of sites continues well beyond the planning stages. Archival sources can play a crucial role in the interior design and furnishings of a building, especially when coupled with archeological discoveries.

For instance, at Carter’s Grove, a plantation that is part of Colonial Williamsburg, staff began an effort to reconstruct the slave quarters. Archeological work determined the locations and size of the quarters, but it left many questions of particular importance to interpreters unanswered. For example, how well built were the quarters? How many people lived in them? What kinds of furnishings were there? What kinds of possessions did slaves have?

Answers to these questions were found in a combination of archaeological evidence and archival documentation. A 1789 assessment of the property of Robert Carter revealed slave houses worth from 10s to £5. His barns, in contrast, were assessed at £10 to £25. This provides one analysis of the quality of his slaves’ quarters, but by compar-

ing it to similar documents of other Chesapeake plantation owners, the researchers found that Carter's buildings were equivalent to those of planters of similar station in the area. An examination of travelers' journals and sketches showed that slave quarters were often poorly constructed and provided additional details not available from a straightforward economic analysis.

To furnish the interior of the slave quarters, researchers used many resources, including plantation accounts and inventories, which generally listed what the owners provided for their slaves. Archeology could fill in some gaps by retrieving artifacts from slave quarter sites, though some of these sites were "contaminated" by later use. Inventories of free blacks and overseers also helped to define the "upper end" of the socio-economic scale of the slaves' world, allowing researchers to make generalizations about what might have been "typical" for slaves on a certain plantation.<sup>5</sup>

Archival sources are also important for interpreting existing buildings and their furnishings. Examining the progression of building restoration at Colonial Williamsburg provides a detailed study of the ways in which documents and historiography are reflected in building reconstruction, reinterpretation, room function, and furnishings. In 1929, during some of the earliest restoration work at Colonial Williamsburg, an engraved copperplate dating from 1740 was discovered at Oxford's Bodleian Library. This plate provided architectural sketches of three buildings of the College of William and Mary, and two prominent buildings of the colonial capital. News of this engraving arrived at Williamsburg just as restoration work was being done on the Wren Building at the college campus. Its timely discovery prevented an error in the reconstruction of the Wren roof. The engraving also was key in the reconstruction of the Governor's Palace and the Capitol. Colonial Williamsburg founder John D. Rockefeller, Jr., acknowledged its importance to the reconstruction effort when he said that the sketch enabled Williamsburg to proceed "with absolute certainty and conviction" about the accuracy of its reconstructions.<sup>6</sup>

This same concern for detail apparently did not carry over to the interior furnishings of the buildings. When the Governor's Palace opened in 1934, the rooms were completely bare. Gradually, rooms at the palace and elsewhere were furnished with 18th-century antiques. These antiques were not based on documentary evidence that linked them to the Williamsburg site. Instead, there were such anachronisms as a portrait of King James I gazing upon diners at the Governor's Palace, an edifice representing the rule of King George III, and an elaborate sleeping chair in the Brush-Everard house, in a room that probably did not see upholstered furniture until after 1800 (beyond the period portrayed at Williamsburg). In addition, the plethora of exquisite antiques and furnishings were arranged in rooms in a very 20th-century manner. Even into the 1970s, curators continued to furnish buildings "more on the basis of traditional aesthetic judgments than for their congruence with the documentary and archaeological record of the colonial town."<sup>7</sup>

In 1981, the Governor's Palace was redecorated and documents were used to reinterpret the interior design. A reexamination of the 1770 inventory of household goods, taken at the time of Governor Botetourt's death, was essential to the reinterpretation of the furnishings and decor of the palace. The inventory revealed that one room, long portrayed as a small yet elegant family dining room, had actually been a butler's pantry

and listed over 1,600 items stored there, including a large quantity of silverware, glasses, and candles, in addition to a small sleeping couch and a writing table. Colonial Williamsburg soon began renovating and restoring the room to a closer approximation of its original furnishings and function. Though some frequent visitors to Williamsburg were dismayed with the change, staffers were quick to point to the documentary evidence as a foundation for the reinterpretation.<sup>8</sup>

Even if furnishings and functions have remained essentially the same as in previous years at Colonial Williamsburg, room layouts may have been changed as a result of closer study of visual sources such as prints and engravings. Modern visitors often comment that the rooms seem bare. This is a result of new research indicating that when a room was “at rest,” or not being used, the furniture would be moved towards the walls of the room, leaving a large open space in the center of the room. For today’s visitors, such a look creates a “bare” impression.<sup>9</sup>

Documents and visual materials are similarly used at other “living museums” in recreating buildings and their environment, both external and internal. For instance, at Old World Wisconsin, the focal point of the new Pleasant Ridge exhibit is a reconstruction of the United Brethren Church. Two photographs were essential to this undertaking. One dated from the creation of the original building in 1884. The second was taken during the late 1910s and provided a view of the church from a different angle. Computer analysis of these two photos enabled architects to determine the dimensions and measurements of the church. In addition, different types of information were gleaned from each of the photos. The earlier photo shows details of roof construction as well as information about the geographical location of the church: how close it was to the road and the second-growth forest that was behind it. The later photo also revealed landscaping details that provided points of reference. The locations of certain trees, fences, and gates in the photos showed the situation of the church on the site. In addition, the same photo provided limited information about the church’s interior: window shades can be glimpsed through one window. All of these aspects of the church, which are “not documented elsewhere,” have been faithfully recreated in the exhibit at Old World Wisconsin.<sup>10</sup>

At a site such as Old World, documenting agricultural matters is also a concern. The agricultural holdings of an individual are often documented in great detail in personal inventories or estate settlements. Such items can include tools and farm implements as well as stock and crops. Agricultural censuses can document whether individuals were typical or atypical for their region, and indicate the quantity of stock or produce they owned. Account books from the local seed company or general store may reveal the kinds of plants grown in the area, as well as purchases by specific individuals.

### *Living History*

Accurate landscaping, proper furnishings, and meticulous reconstruction and restoration of buildings are not the complete picture of the past that visitors seek. Still missing are the individuals who peopled such places, portrayed by living history interpreters. Incorporating individuals’ narratives into the historic site is sometimes made easier—or more difficult—through an exploration of existing documentation.

Isaac Shepard, whose story moved some members of the listening crowd to tears, is one example of a well-documented individual. Extant letters, local government records such as tax, land, court and estate records, land plats, and newspaper accounts help tell his story. Historian Tom Woods says Shepard's character, as portrayed by an interpreter, is a way to "unite all of those archival sources" and essentially "brings archives to life."<sup>11</sup>

How important are archival documents in developing living history interpretations? "We don't do it if we don't have the sources," says Christy Coleman, former Director of African-American Programs at Colonial Williamsburg. Other historians made similar strong statements. Yet, there are obviously limitations. Like other historians, Coleman admits, "Where we really didn't know, we say, 'We really don't know, but here's what the current thinking is.'" Kevin Kelly, a historian who has worked at Williamsburg for over 20 years and is involved in training new interpreters at the museum, says that a lot of the essential knowledge for interpreters starts with archival research. Even at places such as Conner Prairie, where historically accurate but still fictional characters people the recreated 1836 Indiana village, archival research is essential. Historian Tim Crumrin says, "Nothing goes on in our public programming that's not backed up by primary research."<sup>12</sup>

Archival research goes beyond creating believable individuals by portraying a "society in miniature." Research beyond the level of the individual helps create an accurate representation of the time, providing information about dress, social customs, trades, political issues, and more. For instance, research in early inventories of Plymouth Colony dispels the stereotype of Pilgrims wearing only somber grays and browns; in fact, most of them possessed quite colorful clothing.<sup>13</sup>

A court case at Williamsburg, in which a widow seeks her share of her husband's estate although their marriage was never consummated, provides excellent, detailed commentary on how people viewed gender roles and the institution of marriage in 1770s Virginia. The case is extremely well documented, not just in court records, but also through letters of family members and prominent townspeople. Historian Kevin Kelly believes that the socio-historical richness of the case is in part due to the growth of social history at Williamsburg, as well as to changing times in our present-day culture. The recent growth of women's history and gender studies, in particular, helps researchers ask new questions. "Ten or 15 years ago," Kelly says, "I think we would've looked at that information differently."<sup>14</sup>

At Conner Prairie, special events explore various social issues of 1836 Indiana. For instance, a Colonization Society debate considers the issues of slavery, abolition, and colonizing former slaves in Africa. The debate presents three or four varying points of view. Archival documentation backs up both the types of characters presented and what they say. Temperance rallies, camp meetings, and other staged events are based upon similar documentation.<sup>15</sup>

Sometimes, specific documentation is used to create interactive activities. For instance, several times a week, Old World Wisconsin holds a town meeting where character interpreters discuss issues of the day "drawn directly from the pages of the Harmony Township Hall record books, beginning with 1848." The public is invited to voice their views on the topics as well. At Conner Prairie, an interactive program entitled "Follow

the North Star” puts visitors in the role of escaping slaves on the Underground Railroad. During the course of their one-and-a-half-hour experience, visitors will be yelled at, have guns fired over their heads, and encounter townspeople eager to help—or to turn them over to the slave catchers. “With a program like that,” says Crumrin, “it’s very important to have your ‘I’s dotted and your ‘T’s crossed. It’s important to be able to say, ‘Yes, this kind of thing did happen.’”<sup>16</sup>

### *Period Interpretation*

When archival sources are weak or missing altogether, it becomes necessary to generalize and extrapolate based on the material that does exist. David Pamperin, administrator of historic sites at the State Historical Society of Wisconsin (now the Wisconsin Historical Society), calls this method “period interpretation,” defining it as reliance upon “other documented interpretive features known to exist elsewhere that can reasonably be applied to another program that lacks the documentary evidence.”<sup>17</sup>

The use of stumps as a type of low fencing on a recreated Finnish farmstead at Old World Wisconsin is one rather straightforward version of period interpretation. The actual farm on the original property where they obtained the house and buildings had no such stump fence. However, a photograph of a Finnish farm located elsewhere in Wisconsin did show such a fence, and administrators decided to incorporate that into the exhibit at Old World.<sup>18</sup>

A more elaborate type of period interpretation is when researchers must “fill in gaps” in the documentary record based on what they believe likely or probable. At an agricultural museum such as Old World Wisconsin, the particular breed of sheep raised by a certain family represented at the site may not be known. However, based upon a study of other families of the same ethnic group, social standing, and region, a “best guess” can be developed. In addition, documents created for the U.S. Patent Office (the predecessor to the Department of Agriculture) provide summaries of county agriculture, including the kinds, quantity, and value of different stock and produce. Reports from the State Agricultural Society and state and county fairs can also aid in identifying appropriate stock breeds to incorporate in an interpretive exhibit.<sup>19</sup>

### *Historical Accuracy and Public Controversy*

Although certain gaps in documentation can be filled in through period interpretation, having solid documentation is essential when approaching controversial topics. Nearly a decade ago, when Colonial Williamsburg staged an estate sale that featured the sale of slaves right along with cattle and tools, there were understandable cries of protest and dismay. Members from nearby chapters of the Southern Christian Leadership Conference (SCLC) and the National Association for the Advancement of Colored People (NAACP) showed up to picket the event, which drew over 2,000 spectators.

The event, developed and coordinated by Christy Coleman just a few months after her appointment as director of the African-American Interpretations and Programs Department, was staged to be representative of estate sales of the 18th century. Auctioned slaves were based on actual individuals, though not all of them were documented as

belonging to the same owner or sold at the same time. The details of their names and individual situations were also taken from original documents and, in this case, Coleman relied mostly on estate lists appearing in the *Virginia Gazette*. Here, she found Lucy, a slave seven months pregnant; Lucy's husband, Daniel; Sukie, a laundress; and Billy, a carpenter sold together with his tools as a "set." The presentation showed Sukie being bought by her free black husband; the dehumanizing portrayal of Billy being a mere extension of his tools; and the wrenching heartache as pregnant Lucy was sold to an owner different from that of her husband Daniel.<sup>20</sup>

Coleman, who is herself African-American and portrayed Lucy, acknowledged the challenges of presenting such an event to the public: "I recognize that this is a very, very sensitive and emotional issue. But it is also very real history, and it distresses me, personally and professionally, that there are those who would have us hide this or keep it under the rug."<sup>21</sup> She lamented the protests: "Today is a very, very real tragedy."<sup>22</sup>

The protesters expressed concern that the presentation would trivialize the suffering of slavery in a brief "sideshow." But at least one of the most vocal critics before the event, Jack Gravely, had a change of heart afterwards, saying, "Pain had a face .... Suffering had tears."<sup>23</sup> In his view, "the presentation was passionate, moving and educational."<sup>24</sup> The event captured headlines and editorials across the nation and the next day, Coleman's answering machine was full of messages, 10 to 1 in support of the presentation.<sup>25</sup>

Having the documentary basis for presenting an accurate portrayal of slaves on the auction block was essential to Coleman in developing the script for the event. In fact, many of the comments from protesters revolved around the issue of accuracy. "We've been told the auction will portray history as it happened," said one. "Whether it will or not is for us to see." Another wary protester said, "Whenever entertainment is used to teach history, there is the possibility for error or insensitivity and historical inaccuracy."<sup>26</sup> After the presentation, Curtis Harris, president of the Virginia branch of the SCLC, said definitively, "It was not authentic history. They just wanted to have a show."<sup>27</sup>

Coleman feels strong that the history portrayed at Colonial Williamsburg and, in particular, the history portrayed at the estate sale, is educational and authentic. "People have images in their mind about how something should look," she said. "Anything that is different from that image gets labeled as 'inaccurate'... People have this idea that people should be in chains, half-naked, with other people prodding them, poking them in their mouths, ears, and other parts of their body, because that's what we've been told. So anything that doesn't fit that image gets labeled as 'inaccurate.'" After the presentation at Williamsburg, Fath Davis Ruffins, a historian at the Smithsonian, commented that though "People say they want the truth ... what they really want is a confirmation of what they already believe."<sup>28</sup>

Although the estate sale involving slaves at Colonial Williamsburg is probably one of the most dramatic examples of controversial portrayals based on documented fact at living history museums, other museums have experienced similar situations. In many cases, the overall issues remain accuracy and authenticity; the presence or absence of supporting documentation; and the public's preconceived notions about the nature of "accurate" history.

At Old World Wisconsin, the Polish exhibit features a “house-barn,” a structure where people and animals are sheltered in different rooms under the same roof. The structure itself is an original, belonging to an elderly Polish couple, Barbara and August Kruza. Such structures, according to the Old World Wisconsin Visitors’ Guide, were “a relatively common building tradition among immigrants.” The exhibit is not as well documented as some of the other displays. Much of the history associated with the house and family is based on oral tradition. However, the building clearly is a “house-barn” structure and is definitely linked to the Kruzas, so the essential facts remain.<sup>29</sup>

But some visitors, particularly those of Polish ancestry, object to the exhibit. Some feel it is offensive and demeaning to their heritage to portray people living under the same roof as animals. Others feel there is not enough religious iconography inside. Still others want the Polish role in Wisconsin to be portrayed in more of a “High Victorian” style, or something resembling a straight transplantation of European styles. Tom Woods, former director of Old World Wisconsin, said that the Victorian style was something done only among the most successful of the Poles and that such a presentation would be inappropriate for an elderly couple of meager means, such as the Kruzas. Woods also said that straight transplantation of European styles generally did not take place in Wisconsin. They were always slightly changed in some way.

Woods feels that one explanation for some visitors’ reactions is simply that Old World “did not present it in the way in which they wanted it to be presented.”<sup>30</sup> In response to the criticism, Old World formed a Polish Advisory Committee in the mid-1990s and began planning a research project to better document the Kruzas as well as Poles in similar settings in Wisconsin, but changing institutional priorities since that time have placed the reinterpretation on hold.<sup>31</sup> Woods reinforced the role that research would play in any such undertaking: “We won’t do it [make changes] until the research report is in and that takes us back to the sources.”<sup>32</sup>

### *Implications for Archivists*

By looking closely at the types of materials used for historic site interpretation, common themes and resources in interpretation, and the desire for accuracy and authenticity in detail, archivists can become more aware of ways in which they can help their colleagues in the public history field. Three methods present themselves immediately: archivists should note the types of resources most likely to be used for certain types of research; make careful inquiry during the course of the reference interview; and improve access to historical documents through finding aids and catalogs.

Table 1 outlines common sources used by historic sites for different interpretive purposes. For instance, knowing that estate inventories are used frequently by historic sites for determining social class, furnishings of rooms, agricultural concerns, and occupations of individuals can help archivists when approached by public historians.

In addition, it may be worthwhile to spend significant time in the reference interview to determine what level of research public historians are conducting. Are they at the preliminary stage of exploratory research when they may need only to examine subject headings in a catalog or become aware of large holdings (or gaps) in an institution’s collections to determine if there is adequate information for their project? Are they

documenting individuals of a certain class, residential location, occupation, or ethnic group for purposes of creating roles for living history interpreters? Are they trying to furnish an 18th-century dining room with the proper artifacts? Knowing the level of detail and the purpose to which the research is directed helps the archivist inform them of sources that may be of assistance in their research.

How can finding aids and catalogs be improved to enable public historians to find the information they seek, especially since much of it is of an extremely detailed nature? In some cases, item-level description may be merited. It may be worthwhile to provide item-level description for significant items noted during the course of processing, preservation work, or when providing reference services for other patrons. Such serendipitous discoveries can pay large dividends later when, for instance, an obscure letter buried in a large quantity of a politician's papers mentioning "a certain railroad" is used to tell the story of anti-slavery activity in Kansas. The repository itself may gain additional publicity if such a document is loaned for exhibit or otherwise directly incorporated into interpretation at the historic site. Strengthening partnerships between historic sites and manuscript repositories may be a secondary benefit of improved access to collections.

In general, it seems unlikely that collecting policies and the majority of appraisal decisions would be influenced by the needs of public historians unless there is an active partnership between an area historic site and a local repository. Many historic sites are based upon places of local historical importance, so the resources they are interested in are probably already being collected by area repositories. In the Nashville, Tennessee, area, for instance, there are many historic houses and plantations that are preserved as historic sites. Institutions such as the Tennessee State Library and Archives, the Nashville Room of the Nashville Public Library, and area universities already include letters, diaries, and journals regarding some of these houses in their collections, and they will continue to collect similar materials when available. Recent trends in historical studies, such as the explosive growth of women's history and ethnic studies, seem much more likely than the specific needs of historic sites to influence collecting policies. These trends cut across institutional lines and are reflected in the reinterpretations occurring at Colonial Williamsburg and Old World Wisconsin.

An active partnership between sites and repositories, especially when they are part of the same organization, may have some impact on collecting practices. For instance, the Kansas State Historical Society recently acquired the William Allen White house in Emporia, Kansas, as its newest historic site. Documentation on William Allen White was extensive, with a plethora of resources available at the Kansas State Historical Society, although the majority of his papers resides at the Library of Congress. Documentation concerning his house was sparse by comparison. Ten years ago, a donation of 30 photographs that showed the interior and exterior of his house might have been weeded out or viewed as unnecessarily duplicative. Since the acquisition of the house as a historic site, however, details that may have seemed insignificant before—such as the kinds of flowers planted in the yard or the organization and decor of his office—now play a role in the development of the house as a historic site. White's descendants have played an important role in this process by sharing family photographs and their memories of White with historical society staff.

## *Conclusion*

Far from being mere incidental materials or occasional objects for a display, archival materials are essential to the work of historic sites. Archival materials are used at every stage of a site's planning and development, ranging from the reconstruction of buildings, to recreating historically correct furnishings, to accurate representations of individuals—either actual historic figures or “period interpretations” of “typical” yet fictional people. Archival research can enable sites to portray even the most controversial and uncomfortable subjects if they have sufficient documentation to back them up. Being aware of the particular types of resources and the ways in which detailed research finds expression in exhibits and programming at historic sites can help archivists provide better reference assistance and can serve, in turn, to strengthen archivists' reputation as a profession, not only with their colleagues in the public history field, but also with the general public who visits historic sites.

**Table 1: Common Sources Consulted**

| <b>DOCUMENTING</b>                    | <b>SOURCES CONSULTED</b>  |
|---------------------------------------|---|
| Individuals                           | Correspondence, diaries, government records (deeds, court records, censuses, estate settlements)                            |
| Sites and locations                   | Maps, deeds, journals, newspapers, visual materials (engravings, photographs)   |
| Interpretive themes                   | Secondary sources; studying similar places or groups in same region or elsewhere  |
| Buildings                             | Visual materials (engravings, photographs), architectural plans, archeology, tax lists                                      |
| Material culture                      | Estate inventories, magazines and ads, newspapers, photographs  |
| Agriculture                           | Newspapers, farm journals, agricultural censuses, inventories, tax lists, account books, photographs, county fair materials |
| Issues contemporary to time portrayed | Newspapers, court records, correspondence, diaries, publications of advocacy organizations                                  |

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## NOTES

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# GENEALOGISTS AND RECORDS: PRESERVATION, ADVOCACY, AND POLITICS

BY APRILLE COOKE MCKAY

**ABSTRACT:** Drastic budget cuts and insufficient political heft can leave archives with insufficient resources. This article argues that genealogists can be influential political allies for archives in this tough fiscal climate. Archivists who cultivate family historians as patrons may be able to call on genealogists' advocacy with politicians; their voluntary labor for better records access; and their financial support for the archive. By examining several successful collaborations between archival repositories and genealogists, the article provides specific suggestions for ways for archivists to build cooperative and mutually productive relationships with family historians.

## *Introduction*

According to surveys conducted in 2000 by Maritz Marketing, 60 percent of all Americans over 18 are interested in genealogical research, up from 45 percent in 1995.<sup>1</sup> Some say genealogy is the second most popular hobby in the United States, though hard data are sparse.<sup>2</sup> MyFamily.com, Inc., a privately held San Francisco company, offers access to census and other data through its Ancestry.com Web site. In October 2002, the company claimed it had reached 850,000 paid subscribers, double what it had a year ago. The genealogical Web site of the Church of Jesus Christ of Latter-day Saints at [www.familysearch.com](http://www.familysearch.com) gets nine million hits *per day*. When the Ellis Island Web site first allowed Americans to search on-line immigration records, the site was inundated with 27,000 hits *per second*.<sup>3</sup> According to a recent survey, 85 percent of users of the National Archives are researching their family history.<sup>4</sup>

Archivists and public records managers seem to share many of the interests and goals of genealogists. Funding for records preservation, digitization, and use are at the top of each group's agenda. But genealogists are often viewed as second-class users of archives and public records repositories. In her article "In the Eye of the Beholder: Archives Administration from the User's Point of View," Elsie Freeman Finch notes:

In fact, we have what can most kindly be called adversary relationships with genealogists, one of our largest clienteles, and with most other avocationists. That one can do research for fun seems not to fall within our categories of acceptable use; thus we distinguish between the serious researcher and all others.<sup>5</sup>

Archivists sometimes view genealogists as needy amateurs or huddled masses waiting to overwhelm an archives' staff. Certainly this view holds a kernel of truth: many genealogists are inexperienced, and there are a lot of them. But I view genealogists as some of archivists' best customers who have potentially strong political power to aid archives and public records repositories in obtaining funding and to work toward mutual goals. This article will examine the types of issues that inspire genealogists to act politically and the mechanisms and organizations that they use to coordinate that activity. Second, it will discuss how archivists would benefit from making strong connections with genealogists in their communities.

### *The Federation of Genealogical Societies and Political Advocacy*

The most important organization for national political action by genealogists has been the Federation of Genealogical Societies (FGS). FGS was founded in 1975 to "provide a clearinghouse—a center for the exchange of information—for organized groups to avoid duplication of projects, efforts, and keep informed on activities, conferences, and projects being undertaken in North America."<sup>6</sup> Its members—local, state, and national genealogical societies—are tied together with a quarterly newsletter and an annual convention.

Beginning in 1980, FGS began to campaign actively for access to vital records. Some vital records were being used for fraudulent purposes, genealogists recognized, but legislators needed to be informed of the value of these records in family research. FGS endorsed model legislation that members felt properly balanced the concerns of privacy and scholarship, including "The Bill to Open Vital Records for Genealogists," "The Bill to Prevent the Fraudulent Use of Birth Certificates," and "The Bill to Microfilm Old Vital Records Prior to 1900." FGS efforts met with moderate success: several states adopted vital records legislation that specifically took family historians' needs into account.

FGS also coordinated a huge letter-writing campaign to save a genealogical library. In 1980, the Sutro Library in San Francisco, which has extensive genealogical holdings, was threatened with closure. FGS rallied its members nationwide in a successful effort to lobby California senators to fund and maintain Sutro under the auspices of the California State Library. For the first time, FGS proved that "record access and preservation concerns in one state could be witnessed and acted upon by genealogical and historical societies throughout the country."<sup>7</sup>

At the national level, when President Reagan's budget cuts threatened the staff and programs of the National Archives in 1981, FGS urged members to campaign for the independence of the National Archives and Records Service. Joining forces with the historical community, genealogists conducted vigorous lobbying until 1984, when Con-

gress passed a bill to restore independence to the National Archives by separating it from the General Services Administration. FGS has taken an active role in debates surrounding selection of important NARA leaders, encouraging members to write letters in support of candidates recommended by FGS, and testifying at congressional hearings.<sup>8</sup> John Carlin, the current archivist of the United States, has maintained a dialogue with the genealogical community by providing updates about proposed NARA action in newsletters and by speaking at genealogical conferences.

In 1996, the FGS and the National Genealogical Society (NGS) joined in establishing a Records Preservation and Access Committee. The committee is composed of liaisons from each state. It advises genealogists how to ensure access to vital records, affect legislation, and encourage proper preservation policies and practices. In 2000, for example, NARA proposed to revamp the system and fees for providing copies of military service records, bounty-land warrant application files, and pension application files. The committee distributed information about the proposed changes through national, state, and local genealogical society newsletters and various genealogy mailing lists.<sup>9</sup>

FGS has also learned to collaborate with government agencies, volunteering genealogists' donated labor to index large record groups. In 1991, for example, FGS, in collaboration with the National Park Service, the Genealogical Society of Utah, and the National Archives, embarked on a massive indexing project called the "Civil War Soldiers and Sailors System" (CWSS).<sup>10</sup> Information from all existing Civil War rosters is being entered in a huge, free database, which may be searched by name, regiment, or company. The CWSS database currently contains approximately 3.5 million soldier names from 30 states and territories. By coordinating huge numbers of volunteers, FGS allowed the collaboration to focus its resources on buying and supporting the technology, rather than on personnel and time-consuming indexing work.

This example shows how genealogists can play a productive role in providing access to existing collections, but what about records that have not yet been collected or are threatened with destruction? How do genealogists act as volunteers in the collection and preservation of important records?

The FGS Web site offers guidance to genealogists who wish to preserve records, specifically discouraging a panicky response and encouraging dialogue with record keepers. Concerned genealogists, it advises, should do their homework. They should obtain specific factual information about the problem and find out about the regulations that govern the records involved. Unified action is the last step in the process:

Marshall your fellow individual genealogists. Your voices will be better heard in larger numbers. Urge them to be firm but reasonable in their letters and phone calls, and to indicate their long-term concern in this and other records issues. Genealogical mailing lists for your state are a quick way to contact people.<sup>11</sup>

The recommendations urge firmness, but not stridency.

Perhaps many of these records would not be as attractive to an archives as they are to family historians (how many family Bibles do most archives want to collect?), but there will be times when interests coincide. Both groups would probably consider records of

local women's groups and churches and architectural drawings to be worth preserving. If responsible people have the time and energy to negotiate for the preservation of records, archives should be prepared to take advantage of their efforts, at least when they agree that the documents are worth the resources necessary to keep them.

### ***The Church of Jesus Christ of Latter-day Saints (LDS)***

The LDS Church is another important genealogical records advocacy organization. The LDS genealogical library in Salt Lake City was founded in 1894 to gather genealogical records and to assist members of the church in tracing their family histories. One of the church's tenets holds that a descendant can retroactively secure salvation for an ancestor, even if that ancestor was not a church member. Church members have an obligation to determine the identities of their ancestors so that the "sealing" rite can be performed.

The LDS Church has methodically gathered genealogical records from many countries and all of the states. The church approached governmental record keepers and volunteered the money and expertise to microfilm the records. The local governments cooperated in the process and received copies of the microfilm in exchange. Millions of rolls of microfilm are housed in the library in Utah and are circulated to local Family History Centers throughout the world for a fee of \$4.00 per roll. Part of the reason family historians may seem so unreasonable to mainline archivists may be because the LDS libraries raise genealogists' expectations. Volunteer staff is generally friendly and happy to help researchers find the records they seek, even if they are not members of the church.

Recently, Americans received the gift of the Ellis Island Database from the church. Transcribing the immigration arrival records of 22 million individuals who arrived at the Port of New York took approximately 5.6 million hours of labor and seven years to complete. The records accounted for almost 71 percent of all United States immigration records. It is now a hugely popular World Wide Web destination and has helped to attract thousands of visitors to the Ellis Island American Family Immigration History Center.<sup>12</sup>

In light of the enormous resources that genealogists have donated to preserve records, it is puzzling that many archives are hesitant to build collaborations with them. Harnessing that volunteer labor could enhance access to a repository's records while increasing use and visibility of the institution. To see how archivists can tap into the genealogical network, let us examine how genealogists communicate with one another.

### ***Genealogists Spread the Word through Newsletters, Mailing Lists, and Web Sites***

Print and on-line newsletters often warn genealogists of upcoming legislative issues. For example, 14 of the September 11 hijackers obtained social security numbers illegally. In November 2001, the Associated Press described the Social Security Administration's practice of selling the social security death index to business subscrib-

ers. Links to the article were listed in HeritageQuest's weekly *Local History & Genealogy Librarian News* on November 13. Since both of the largest on-line genealogical libraries and the LDS Church are subscribers to the data, genealogists were highly interested in the Congressional investigation of the practice. The newsletters thus distributed word of governmental action very quickly to the interested audience.

Through newsletters and discussion lists, genealogists learned about and debated the merits of the U.S. Census Bureau's sampling technique and archival electronic format.<sup>13</sup> They broadcast news of the passage of the Freedman's Bureau Preservation Act (44 USCS § 2910 [2001]).<sup>14</sup> Indeed, whenever Congress considers funding programs to increase access to records of high genealogical potential, the community's newsletters and mailing lists recount the heroic action of the politician who promoted the grant. Archivists who tap into genealogical networks can access a large number of potential political advocates. Genealogists are individuals who care deeply about preserving the documents of the past and through their large numbers can wield significant political influence. An archivist need not subscribe to multiple print newsletters to keep connected to the genealogical community. Participation in on-line forums can provide sufficient access.

To some degree, Web sites fulfill the notification role that printed newsletters once did. Unfortunately, these Web sites must depend on the labor of volunteers and so sometimes display unevenness and untimeliness. Nevertheless, the variety of issues presented indicates the range of issues that interest genealogists:

- A bill to prevent vandalism in public cemeteries
- A bill to require records creators to make those records available to the public in the same format in which the agency uses them
- A bill to give recourse to the public when agencies hamper access to public records
- Privacy issue bills
- Appropriation for California Newspaper Project
- Not-for-profit fund-raising bill

Many genealogists (even the older ones) use the Internet.<sup>15</sup> The advent of the Internet has made it easier and cheaper for family historians to track down facts. A genealogist needs one piece of information that only a handful of other people care about: the Internet is the obvious way to connect with them. Only a few years ago, people paid money to place thousands of queries in genealogical magazines such as *Everton's Genealogical Helper*. On-line, it is easy to make these connections; E-mail makes exchanging the information instantaneous. This is one of the major reasons there has been an explosion of the number of genealogists in the last five years.<sup>16</sup>

### ***Local Actions Promoting Access to Records***

Archivists can also make connections with regional and local organizations of genealogists. These groups impact access to local records in a way that is somewhat different from that of the national organizations. As on the national level, they often lobby legislatures about open records, privacy, and vital records laws. In fact, several states require that a genealogist sit on State Historical Records Advisory Boards or that a local

genealogy society be officially notified of the intended destruction of records.<sup>17</sup> Some states allow a person researching family history greater access to vital records.<sup>18</sup>

Jack Brissee, past chair of the NGS/FGS Records Preservation and Access Committee and current president of the Wisconsin State Genealogical Society, offered his thoughts about genealogists and records access:

I have no empirical evidence (it is strictly my impression), but I feel that records management, particularly at lower levels, is basically oriented to determining how soon we can get rid of stuff so we can make room for more (sadly, this is understandable). The long-term historical value of records does not rate a high priority. Professional archivists need to be intimately involved in (control?) records management, and in my opinion, it would be very desirable to involve historians and genealogists as well. Records management is not just a space problem.<sup>19</sup>

He also indicated that he knew of no scholarly articles related to the collective action of genealogists for records access and protection. He stated that during his term as president of the committee, local societies were given support for the situations they faced, and that legislators paid far more attention to local people than to outsiders.

Often the best way genealogists have to impact access to local records is to donate money and labor to enhance the usability of specific groups of local records. Since local record repositories are often government entities, coordination of projects with them constitutes political action. In collaboration with the institutions that hold the records, organized family historians help create indices and finding aids. The following three projects demonstrate how these collaborations work:

1. At the top of the homepage for the Michigan Department of Community Health, a notice directs users to “the Most Accessed Pages”—and the top link is to the Genealogical Death Indexing System (GENDIS).<sup>20</sup> The Michigan Division of Vital Records and Health Statistics provides the Web portal through which the data can be viewed. The data in this system were obtained from microfilmed death ledgers for Michigan, which have been transcribed by Michigan’s local genealogical societies. The Talbert & Leota Abrams Foundation provided funding for the service through the Michigan Genealogical Council. (The Library of Michigan’s genealogical collection was also funded by the Abramses, and received a grant of \$155,000 in 1998 and \$100,000 in 1997).<sup>21</sup> GENDIS contains information on 170,000 Michigan death records from 1867 to 1884 and, when completed, will span the years 1867–1897 and contain information on approximately 481,000 deaths.<sup>22</sup>
2. Volunteer family historians helped the Wheaton Public Library in suburban Chicago complete a local vital records indexing and transcription project. Genealogists provided the labor, but the librarians provided access to technology such as the Text-to-MARC program that allows the records to be searched on the library’s OPAC or from their WebCat.<sup>23</sup> Librarians also provided access to the grant-making agency, through the Library Services and Technology Act, which awarded \$30,000 for the project.<sup>24</sup> *Hennen’s Index* selected Wheaton Public Library as one of the top 10 American libraries for towns of 50,000 to 100,000 for three years in a row: 1999, 2000, and 2001.<sup>25</sup>

3. In Lake County, Illinois, also in suburban Chicago, the county clerk developed a cooperative partnership with the Lake County Genealogical Society to catalog and preserve fragile, deteriorating records dating as far back as 1839. The records are being reproduced on acid-free paper. "This project's value is priceless, for these records have been rescued from further deterioration. The volunteer genealogists have saved significant taxpayer dollars and created a new, permanent resource for the people of Lake County and their descendants," says Lake County Clerk Willard Helander.<sup>26</sup>

### *How Can Archivists Better Collaborate with Genealogists to Preserve Records?*

The preceding three examples demonstrate that genealogists' labor can be effectively applied to create access tools for archived records. The work, of course, is primarily self-serving: genealogists are the primary users of the information tools they help to create. It is time for archivists to reach out to genealogists more systematically. Even though "denigrating genealogists has been a cherished avocation of archivists ever since we began scratching our way up the ladder toward professional status," it is time to reevaluate the relationship.<sup>27</sup> Surely, the needs of traditional archives users must be balanced against the demands of genealogists. Collectively, genealogists can seem like a 900-pound gorilla to an understaffed archives, but outreach to family historians has strong rewards for archives in volunteer labor, strong information networks, and financial and political support.

#### **Volunteer Labor**

Archivists could consider attracting the aid of genealogists to transcribe or index documents that interest a large range of users. For example, at RootsWeb.com, a large, free genealogy site, users can subscribe to a mailing list populated by people studying one particular surname. In all, RootsWeb hosts 26,000 different genealogy-related mailing lists. An archives holding a collection of Civil War letters or personal family papers need only post a notice on the appropriate surname mailing list to receive enthusiastic responses to aid in transcription.

Genealogists frequently are moved to tears when they find letters or other artifacts related to their ancestors in archival repositories. Descendants would be only too happy to promise a typed transcript of a manuscript. Archivists, perhaps understandably, might hesitate to give up intellectual control of making transcriptions, perhaps fearing that the transcription would not be made carefully enough. Frankly, this is an issue of trust. Archivists tend to notice the beginning genealogists, who need extensive hand-holding and education, but many genealogists have years of experience. A fair number have advanced degrees and take time off from their legal or medical practices to research their family histories. Archivists who encounter knowledgeable family historians might offer them free photocopies of manuscript records in exchange for their transcriptions. Building collaborations with users increases users' commitment to the archive itself.

Archivists must make difficult decisions about which materials in their collections merit the intense attention transcription requires. Handwritten family correspondence of more recent vintage, for example, might not be considered to be of wide enough interest to merit such an investment of time. Descendants of a letter writer, on the other hand, are often motivated to spend much more time trying to accurately transcribe a family manuscript. In addition, the family historian may know the identities of all of the people named in the manuscripts. Genealogists have expertise and knowledge that archivists need, so the relationship between the two can be mutually productive.

Collaborations between archives and genealogical societies can be fruitful in other contexts as well. In a presentation before the National Forum on Archival Continuing Education, Dr. Thomas R. Dirksen, the president of the Augusta, Georgia Genealogical Society, recounted the preservation of the city's loose records, some dating to colonial times.<sup>28</sup> Following the tip of a government "Deep Throat," the society learned of "50 garbage bags tossed from [the] Marble Palace in the street and into a van." Dirksen contacted an archivist at the State Archives of Georgia, and both then contacted the Mayor of Augusta and convinced him that the attempted destruction was illegal. The Georgia Archives gave guidance about how to preserve and order the loose papers and the Augusta Genealogical Society began trying to organize them. The records are now cleaned and sorted, and the society will begin microfilming them shortly. Dirksen offered this advice: "[C]ultivate a genealogy society, offer them a little space, some meeting and program assistance, and they in turn will provide you with volunteer effort. But they will need some education."

### **Strong Information Networks**

Every U.S. county has its own genealogical Web site hosted by USGenWeb, and genealogical mailing list hosted by RootsWeb.<sup>29</sup> Archivists who need emergency funding or advocacy help can appeal to users who frequent these sites and lists. Genealogists often research ancestors who lived in another state and subscribe to county-specific on-line mailing lists. These nonresident individuals may be interested in the county's historical families, religious organizations, and institutions and may respond to pleas for help from local organizations. Although local politicians hear the voices of their own constituents most clearly, out-of-towners can emphasize the amount of money they spend when they come to visit the locality to find a grave, check the local archives, and check in at the region's genealogical society. They can also help provide details and knowledge about the historical significance of families who migrated through a region on the way to somewhere else.

Conversely, genealogists and archivists benefit from ensuring that genealogists have a voice in archival networks as well. Certainly, there are plenty of archivists who understand and value family history research, but making sure that your local genealogical society stays informed about archival issues can reduce misunderstandings and friction caused by genealogists' misapprehensions about the amount of resources and energy available to help them.

## Financial and Political Support

In 1998, FGS set a \$1.25 million goal for its Stern NARA Gift Fund, specifically targeted toward microfilming War of 1812 pension and bounty-land warrant records and the United States Colored Troop Compiled Service Records.<sup>30</sup> The Abrams Foundation of Lansing, Michigan, has provided several hundred thousands of dollars to the Library of Michigan and the State Archives for genealogical purposes.<sup>31</sup> Smaller-scale projects can also have important impact: the Kalamazoo Valley Genealogical Society is currently raising money to preserve and rebind records in the Kalamazoo County Clerk's office.<sup>32</sup> Many genealogists have substantial incomes and sometimes they donate money to promote records access and preservation.

In addition, family historians are often owners of important family documents. Archivists may determine that making contacts within a genealogical community increases the contact with potential donors of important manuscripts. Particularly, as the popularity of genealogists in different ethnic groups grows, archives may find that connections made among these researchers promote donation of materials that may be underrepresented and highly desired by the archives.

Catering to genealogists' needs can have political benefits as well. In the early 1980s, the Illinois State Archives began to orient many of its programs toward its main users, genealogists. It reconfigured reading rooms and microfilm viewers to make their research more comfortable. Genealogists responded by becoming vocal advocates of the archives.<sup>33</sup> Their focused interest also prompted the development of public services such as automated access and improved finding aids.

## Conclusion

This study highlighted the many issues that motivate genealogists to act politically in support of records preservation and access. The archival literature does not often discuss genealogists and their needs. Perhaps most archivists believe that serving genealogists is something they do when they have time, but is not their first priority. Part of the problem is that archivists *do* have limited resources and time to devote to genealogists, and it is so hard to tell eager people "no." Still, it would seem that people who do research for fun can be serious archives users and should be paid more attention in the scholarly debate about the use, function, and future of archives. They do, after all, constitute a large portion of the people who use archives.

Both archivists and genealogists can benefit from accessing each other's communication networks because their interests often coincide. Genealogists support records access and preservation through the strength of their political voice with legislators and other government leaders, including managers of records repositories. They buttress this support with gifts of their money and volunteer labor. Many archivists would profit from cultivating and respecting their company and collaborating with them to preserve our cultural heritage.

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# UNIVERSITY ARCHIVES AND RECORDS PROGRAMS IN THE UNITED STATES AND CANADA

BY BESSIE SCHINA AND GARRON WELLS

**ABSTRACT:** University archives and records management programs in Canada and the United States are phenomena of the post-World War II era. Surveys undertaken by the Society of American Archivists from 1949 to the mid-1960s found that universities in Canada and the United States managed their institutional archival records primarily as a part-time activity, preferring instead to devote resources to traditional library collections including manuscripts and rare books. The survey the authors conducted in the spring of 2002 revealed the persistence of old trends and the struggle of the university archivists and records managers to balance old and new needs. The survey results demonstrated the effectiveness of an advisory records management committee on the promotion of records and archives policies and procedures, the need for compliance audit, and the development and delivery of systematic training on information management. A major weakness identified by survey respondents was the lack of institution-wide electronic records management policies and procedures developed in cooperation with senior administrators, information technology staff, university archivists, and records managers. Another weakness is the absence of official standards for university archives and records programs. The release of ISO 15489, *Information and documentation — Records management* in September 2001, provides an important departure. This international standard, when used in conjunction with the SAA *Guidelines for College and University Archives*, will provide Canadian and American universities with the tools to address current challenges in order to develop a comprehensive archives and records program.

## *Introduction*

Publicly supported universities in the United States and Canada face increasing pressure from society to meet not only cultural and research needs, but also accountability demands. Historically, universities have been leaders in acquiring and preserving our documentary heritage. But how well have these academic institutions preserved their own institutional history? What factors have promoted or detracted from the success of

their own archives and records programs? In the following paragraphs, the authors present an overview of the historical background of records and archives programs in these two countries as well as report on the current state deduced from a survey conducted in the spring of 2002. Program standards are also presented based on the new ISO 15489, *Information and documentation — Records management*.

### *Historical Background*

Interest in the nature and number of archives programs in universities devoted to the preservation of official university records began following World War II. In 1950, Dwight H. Wilson reported on a survey conducted in 1949 by the Society of American Archivists' Committee on College and University Archives (SAA CUA) "to determine the extent of archival awareness in institutions of higher learning in the United States and Canada." Of the 84 institutions responding, 56 reported the existence of an archives, but of these, only 15 reported preserving "most of the official records, but have no unified archival program."<sup>1</sup> Moreover, there existed confusion among university officials in distinguishing between the official records and the collections of historical material pertaining to the institution or the region. In a 1950 study of records management, two members of the History Department at the University of Wisconsin concluded that "University records answer the questions of university administrators, who must solve current problems and plan for the future, and they provide materials for university historians ..."<sup>2</sup>

In 1952, Ernst Posner, professor of history and archival administration at American University, identified three problem areas associated with records administration in the universities of the day:

Predominantly private institutions, universities in the U.S. were independent bodies and the bulk of records documenting their activities lies almost exclusively with the institution, rather than with government offices as would be the case for publicly supported institutions in Europe. As a result, the university has sole discretion in determining the final disposition of its records. There is no central authority to force or induce academic institutions to accept certain standards in matters archival. Finally, the great discrepancies in the size, structure and status of academic institutions undermines the development of any such standards.<sup>3</sup>

Having said this, Posner advocated the placement of the university archives administratively within the library along the lines of the Harvard University model, and the development of programs, which combined the preservation of institutional records with the acquisition and servicing of noninstitutional records. He did, however, acknowledge that there was a growing trend to make the university archives responsible to a top executive of the university, but he felt that this could be avoided by defining clearly the functions of the librarian and the archivist, thereby ensuring that "justice" would be done "whether he [the archivist] reports directly to his college president or indirectly to an understanding librarian."<sup>4</sup>

The SAA CUA followed up on the 1949 survey in 1962 and 1966. The 1962 survey included a select list of 350 private and public universities and colleges based on geographical location, class, and size. The chairman, Philip Mason of Wayne State University, reported a return of 77 percent to the six questions. Mason reported that although 42 percent of respondents had employed a full- or part-time archivist, the majority of those holding the position were librarians with no training or experience as archivists.<sup>5</sup> Four years later, institutions were asked to respond on two basic areas: the existence of an institutional archives and the nature and scope of that operation.<sup>6</sup> The U.S. institutions surveyed totalled 1,156, with all but 350 institutions responding; 45 of the 46 Canadian institutions responded. Of these, 204 in the United States and 21 in Canada were described as "universities."<sup>7</sup> The picture of archives in universities at this time reflects a similar pattern of development in both countries, and little progress since the 1962 survey. Most archives appeared to be a part-time activity within the library; their holdings were very small. Warner concludes that in 1966, college and university archives "are still in the developmental stage" but "that there is general acceptance by higher educational institutions in the United States and Canada of the idea of preserving their archives, a statement that could not have been made two decades ago."<sup>8</sup>

Six years later, little had changed. In 1972, the SAA CUA conducted another survey for an updated edition of its directory of institutions. Questions were similar to the 1966 survey and dealt with staffing, types of holdings, and the place of the archives in the administrative structure of the institution. Two hundred fifty-three respondents were universities in both the United States (236) and Canada (17).<sup>9</sup> The committee found that little had changed with regard to resources allocated to the preservation of university records:

It is interesting and a little sad to note that many of the reservations which Robert Warner expressed in his Introduction in 1966 are still valid ... It is unfortunately clear that there are comparatively few full-time university archivists and that this is a field where the profession has a great deal of work to do ...<sup>10</sup>

The decade of the 1970s, however, would prove to be one of unprecedented growth of public institutions of higher education in North America. Coupled with this was an increasing awareness of the importance of recorded information for both current operational use and long-term historical use. By the late 1970s, other directories such as the National Historical Publications and Records Commission's *Directory of Archives and Manuscript Repositories* provided listings of over 13,000 repositories throughout the United States. In early 1979, the SAA CUA surveyed 1,600 higher educational institutions. Only those institutions with manuscripts, archives, or both were included in the directory whether or not the repository was designated the official repository for the university's records. The 1980 edition, edited by J. Frank Cook, director of University Archives at University of Wisconsin-Madison, included 458 universities. Compared to 1972, there has been an increase of 45 percent in the number of repositories in both Canada and the United States.<sup>11</sup>

In all of these surveys, the SAA CUA found it difficult to accurately document the role of records management in the development of university archives. The 1980 sur-

vey did ask institutions to identify records management as a responsibility. Only 17 of the 458 universities identified a staff member with responsibility for records management. In the early 1980s, two separate studies were undertaken that would provide some assessment of the state of records management in North American universities.<sup>12</sup> In 1982, Nicholas Burckel and J. Frank Cook of the University of Wisconsin published the results of their survey of 110 randomly selected institutions in Canada and the United States. They found that 52 percent of public institutions reported records management activity, while only 30 percent of private institutions could report such activity. They concluded that the reason for this difference lay in the fact that “public institutions must maintain more control over the preservation and destruction of their records because they fall under the provisions of state public records laws . . .”<sup>13</sup>

The results of this study were supported by one conducted by the Office of Management Studies of the Association of Research Libraries (ARL) in 1983. ARL surveyed 58 academic public institution members.<sup>14</sup> Fifty-two of the 53 institutions (from both Canada and the United States) responding reported that they had a university archives responsible for the acquisition and preservation of records of the parent institution.<sup>15</sup> Twenty-six of these universities had instituted campus-wide records management programs, with 21 of these formally linked to the archives. Even with this apparent increase in records management, it was clear that many universities were still very much in the formative stages of a comprehensive records management system.

Thus, by the end of the 1980s, university archives programs far exceeded the number of records management programs at North American universities. However, among these, public universities appeared to be far more likely to have recognized the link between archives and records than their private counterparts. This pattern was reinforced in a 1990 study of records management at U.S. colleges and universities conducted by Don C. Skemer and Geoffrey P. Williams of the University of Albany. They found that 55 percent of public universities had a campus-wide records management program compared to 6.8 percent of private universities. As in the early 1980s, the reasons for this were linked to public accountability as well as better institutional archives, improved records retrieval, and savings of space and filing equipment.<sup>16</sup> While archivists recognized the importance of the relationship between records management and archives programs, high-level administrators viewed records management as a low priority, frequently resulting in an unnecessary and potentially expensive layer of bureaucracy.

### *Survey of Public Universities in Canada and the United States, 2002*

Although the survey covered a small sample of publicly-assisted universities in both Canada and the United States, its results were indicative of the persistence of old trends and the struggle of the university archivists and records managers to grapple with the new ones. The survey attempted to draw a more recent picture of the conditions in which the archives and records programs operate by assessing the factors impacting their growth and effectiveness as well as the way in which the university archivists and records managers see their changing role.

## Survey Questions

The survey questions reflected some of the areas suggested by the *SAA Guidelines for College and University Archives*,<sup>17</sup> such as organizational structure, administrative authorization, policies and procedures, personnel, and training and outreach. In addition, there were questions on the history of the establishment of the programs, the degree of policy implementation, and the existence of a compliance review process. Aside from the factual information, the authors asked the respondents to share their project priorities and constraints for the next five years, as well as assess how their institution perceives the effectiveness of their records and archives program and how they view the relation between information management and accountability in managing it. Lastly, universities were asked to comment on the positive and negative effects of information technology on their programs and the factors that, in their opinion, would help raise the awareness of accountability in managing active university records and that would make their program more effective.

## Survey Methodology

The survey was sent to 43 U.S. and 16 Canadian universities.<sup>18</sup> Fifteen U.S. (34.8 percent return) and 15 Canadian (93.75 percent return) institutions responded. Of the 15 U.S. institutions that responded, two had student populations between 11,000 and 15,000, and 13 between 21,000 and 48,500, according to the *1998 Higher Education Directory* (Higher Education Publications, Inc., Falls Church, Virginia, 1998). Of the 15 Canadian universities, nearly half (six universities) had student populations between 21,000 and 49,000, with two between 10,000 and 15,000, two over 49,000, and four under 10,000. One university had between 15,000 and 20,000 students. Their Web sites were also used to determine that they had records and/or archives programs. The institutions selected were representative of the main geographic areas: Northeast, Midwest, South, and West in the U.S., and Atlantic, Central, and West in Canada.

## Survey Results

### *Administrative Authorization*

In the American institutions, the university archives/records management functions are supported by university policies approved by the board of trustees or a high-level administrative policy advisory committee and take into consideration the state's public records laws. Some institutions have administrative authorization by their state's records committee. In addition, there were specific university archives policies and procedures. Similarly, in the Canadian universities, these functions were supported by the overall institutional policies and approved by the board of governors, board of regents, or the office of the president. What was not common to all institutions in both countries is the existence of a records management and advisory committee. In the U.S., half of the institutions reported having a records management advisory group. In Canada, nine of the institutions reported a committee, but four of them indicated that the committee was inactive. In both countries, the work of the committee is of only advisory nature with limited or no authority to enforce policy.

*Policy Implementation/Compliance*

Most U.S. and Canadian institutions reported policies applying to all records formats, not specific to electronic records. Six out of the 15 U.S. institutions reported separate electronic records guidelines/policies (two of them only on electronic mail management). In Canada, none of the universities reported having a separate electronic records policy. The ones with electronic records guidelines/policies admitted that these policies have not helped promote records management issues or good records practices. Only electronic mail policies have somewhat caught the attention of the information technology department. Most lamented that the electronic records policies lack an implementation mechanism.

As for the types of records retention schedules used, most institutions had both general and unit-specific ones. Again, despite the fact that most of these records programs have been in existence for over three decades, the records retention and archives policies lacked consistent implementation. This highlighted the difficulty of implementing a compliance review process. It seemed that the only people who understand its importance in ensuring legal compliance and systematic collection of historical institutional records are the university archivists and records managers. Some institutions had established information processes that were aided by the internal auditor's office, reminders, and annual in-person compliance visits (both in offices and records center). Most U.S. institutions did not have a compliance review process in place, while in Canadian institutions, the compliance process has been aided by provincial legislation on access to information and protection of privacy laws. The province of Quebec has additional legislation, such as the Archives Law, requiring universities to manage and preserve corporate records.<sup>19</sup>

*Personnel*

The U.S. and Canadian institutional archives and records programs are administered on an average by two to four full-time professional archivists/records managers and one to five part-time students as well as "casual staff." Their responsibilities include university archives reference, records management, records management training, Web-site management, archival processing, oral history, exhibit design, and records center administration. In most instances, the archivists/records managers perform a variety of duties regardless of their job description. The majority complain about rising workloads and inadequate staff. Sixty percent of the U.S. institutional archives/records programs managed their own budget, 20 percent handled a small budget, and 20 percent did not manage their own budget; 46.6 percent of the Canadian institutional archives/records and information management programs managed their own budget, while 53.3 percent did not. Most were discouraged by the ever-shrinking budgets and competition in the allocation of library resources. What was interesting in the survey responses was the recurring themes of the post-World War II archival literature. These included inadequate funding, lack of space, and backlog of unprocessed collections. A new problem was the increased number of research requests via electronic mail as well as the labor-intensive and technically demanding development and maintenance of Web sites.

### *Training and Outreach*

The institutional approach to employee training and outreach varied a great deal among records and archives programs. It reflected the limitations of time and resources university archivists and records managers face and was indicative of the institution's perception of compliance and accountability issues. The type of employee training was determined by the "comprehensiveness" of the program and the availability of staff. The institutions with full-fledged records and archives programs offered annual training and appeared to have "systematic" (scheduled) training. The institutions where the university archives was "stronger" than the records management component provided "how to use the archives" types of sessions and spent more time developing educational exhibits on university history and designing Web sites. The survey answers revealed that fewer than half of the institutions that participated have "formalized" records and archives management training. Also, very few have designed sessions on electronic records management that include electronic mail. Most university archivists and records managers offered periodic one-on-one or group sessions (for colleges, departments, etc.) on records policies and procedures, records center services, filing methods, and electronic records. They also disseminated the information when they met with various offices to design the department-specific records retention schedules.

The forms of outreach again depended on which component of the program was stronger. If the archives program was stronger, then the presentations, articles in university publications, exhibits, and tours emphasized the institutional records collections. In some cases, the university archives collaborated with the history department to promote the use of its collections. Conversely, if the emphasis was on records management, the university records manager offered orientation presentations (sometimes collaborating with the university archivist where there were two separate positions), tours of the records center, and articles on archives, records retention, and policy issues for university publications. The outreach efforts included addressing various institutional committees. It was interesting to note that in Canadian institutions the training and outreach area was still a weak one. Only four (all four have records management programs) of the 15 institutions had any regular training sessions offered.

### *Project Priorities/Constraints*

When the participants were asked what their project priorities were for the next five years, their responses were expectedly similar. Their projects fell into two categories: a) basic records and archives management such as systematic collection of university records by the university archives, employee training, records retention compliance review, and finding storage for inactive records, and b) electronic records management such as imaging of photographic collections, design and implementation of an electronic records policy, and design and maintenance of the departmental Web pages. Although more than half of the Canadian institutions were in the initial phases of their records program development, their project priorities did not differ from those of their U.S. counterparts. Their constraints did not differ either. Both U.S. and Canadian university records managers and archivists complained about insufficient funding (mainly competition in allocation of library budget), time, and staff.

Their more salient complaint, however, was the unsatisfactory cooperation with the information technology department and their frustrating efforts, as one respondent said, to “integrate the records management program into the campus information architecture.” The following quotation from another respondent eloquently sums up the sources of frustration: “General campus-wide decline in the perceived need for reliable record keeping, unfounded confidence in the longevity of electronic products, continuing expansion of departmental responsibilities without related staffing increase, narrow libraries support for records management functions, insufficient technical support and resources.”

### *Institutional Culture*

With the last group of questions, the authors aimed at gathering some qualitative responses in order to assess the prevailing perceptions about the records and archives programs and their effectiveness of these programs in raising the level of accountability in the management of active institutional records. One of the questions examined the relationship between the records and archives program and the offices of internal auditor, legal counsel, and information technology. The U.S. respondents reported that they had good to strong collaboration and routine contact with the first two, while their relationship with the last of these was weak. They complained of not being included in the decision-making process pertaining to electronic records management. Most viewed the information technology department as “a challenging area.” The Canadian respondents reported a closer collaboration with the offices of internal auditor and legal counsel since these administrators were usually members of the records management advisory committees. Overall, there seemed to be a more uniform involvement of these offices in records management compared to their U.S. counterparts. Surprisingly, the Canadian comments on the relationship with the information technology office were limited.

The next question dealt with how the records and archives program was perceived by the university community and, more specifically, by the administrators, faculty, staff, and students. Most reported that the staff had a very decent to good attitude toward the university archivists’ and records managers’ efforts to promote their programs. The administrators’ attitude was improving. The students had good or no reaction and the faculty’s attitude was fair. One response echoed the consensus on the faculty’s attitude: “Mostly never heard of us unless they need us.” The Canadians’ responses on the staff’s and administrators’ attitude were the same as those from the U.S. In the case of faculty and students, they seemed to be more aware of the existence of the university archives in Canada and their attitude was overall reported as good.

### *Current Trends in Information Technology/Perception of Accountability*

Since the late 1980s, the university records and archives programs have been facing new issues brought about by the explosion of electronic records and the Internet, and the resulting ease of access to resources. When asked to discuss the negative and positive effects of information technology on their operation, the responses revealed that the programs were not equipped to face the new issues. They have struggled desperately to find a balance between satisfying the basic records and archives needs of their

institutions and the more complex ones stemming from the pressure to provide better and faster access to institutional information. To make matters worse, they seem to be continually caught between the senior management politics and the shortsighted view of information by the information technologists.

They all admitted that Web-based access to their archival and records management information had improved the visibility of their programs. For example, the photographic collection digitization and electronic finding aids projects have improved access to collections and boosted public relations. They have not, however, solved the problems of systematic collection of institutional records for the university archives. The negative effect of electronic access and communications has been the sharp increase in workload mainly because both result in higher expectations for fast turnaround. In addition, the Web sites are a dynamic collection of documents and they need to be regularly maintained in order to be effective tools. A more specific workload problem has emerged from the rise of photographic and other non-textual media reproduction requests that are labor-intensive and time-consuming.

In general, the persistent complaint, as one colleague put it, is that the electronic records issues are "not dealt with adequately." Even when electronic records policies or guidelines exist, no implementation mechanism is in place to support them. When it comes to electronic records, the crisis management approach has prevailed, while significant institutional records remain at risk (e.g., research, student, electronic records documenting university history, large databases). What is obvious is that both U.S. and Canadian university archivists and records managers wish to develop a closer relationship with their information technology colleagues and participate in electronic records management decisions. One of the respondents aptly observed that "archives and records management need to be seen as components of the campus information system architecture and we need an infrastructure that will support the carrying out of archival and records management activities."

The difficulties in managing electronic records effectively did not derive simply from not being able to enforce policies but rather from the fact that universities have adopted new technologies with little consideration given to appraising the information content. The content has not been managed according to its value. University administrators have not caught up with the concept of information as an asset/resource that must be protected and managed across the institution, or with the fact that university archivists and records managers are information content appraisers. This approach has resulted in increased legal risks, neglect of the electronic records requiring long-term preservation, and inconsistent documentation and collection of historical university records. In addition, new legislation has created new issues to consider. The Canadian colleagues reported that Freedom of Information legislation has increased awareness of the benefits of good records practices, but has created some problems in interpreting access issues.

The survey responses showed that university records and archives programs are caught between a very slowly changing institutional culture and an uncertain view of accountability in managing institutional information. Indeed, there were very few comments specific to perceptions of accountability. One, can, however, draw some conclusions from the responses as a whole. The institutional attitudes and the legal risks involving electronic records along with the traditional records management issues have created

increased responsibilities and workload for the university archivists/records managers. The university archivists/records managers are trying to improve archival services in their departments and train the employees of the entire institution in basic paper and electronic records management concepts, but have not been involved in the design of university-wide information management strategies. To make matters worse, the policies they help create have not been consistently implemented, leaving them in a constant state of frustration. While the solution to these problems in information management are multifaceted, it seems evident from the survey responses that universities would benefit from the application of standards relating to the development of policies and responsibilities, design and implementation of records systems, records processes and controls, monitoring and auditing, and training.

### *Standards for Model University Archives and Records Programs*

In spite of decades of discussion, analysis, and study by university archivists, there are still no official standards for university archives and records management programs. The closest model available to universities is the Society of American Archivists *Guidelines for College and University Archives*.<sup>20</sup> This document emphasizes the components of an archives repository with records management being viewed as largely supplemental to, rather than an essential feature of, a university archives. More recently, the University Archivists Group of the Committee on Institutional Cooperation produced "Standards for an electronic records policy," but it, too, fails to marry its standard with any overall records or archives regime for universities.<sup>21</sup>

With the publication of the ISO 15489 in September 2001, universities as well as all other public and private organizations have an opportunity to apply an internationally approved strategy for developing and maintaining an effective records management program. The standard, while not addressing archival institutions in particular, recognizes that one of the basic principles of a records management program is "preserving records and making them accessible over time, in order to meet business requirements and community expectations."<sup>22</sup> For universities, this standard should be used in conjunction with the SAA *Guidelines* in the development of a comprehensive archives and records program.

ISO 15489 is produced in two parts, Part 1: *General* and Part 2: *Guidelines*, and applies to records regardless of format or medium. Both of these documents should be reviewed as one assesses a program's strengths and weaknesses. As a general philosophy, universities need to recognize that "to support the continuing conduct of [university] business, comply with the regulatory environment, and provide necessary accountability, organizations should create and maintain authentic, reliable and useable records, and protect the integrity of those records for as long as required."<sup>23</sup> Part 2 of ISO 15489 describes a methodology that includes five broad areas that must be adopted by an organization intending to comply with this goal. In the following paragraphs, we present this methodology as it might be adapted to a privately or publicly funded university environment. References to the particular section of ISO 15489 are found in parentheses.

## **1. Policies and responsibilities (ISO 15489, Part 2, Section 2)**

### **1.1 University archives and records management policy**

A university policy on records management “should be adopted and endorsed at the highest decision-making level and promulgated throughout the organization”<sup>24</sup> and those responsible for compliance should be identified. While separate policy statements on archives and records management may be the norm in many universities, a single policy statement on records and archives would emphasize the reality of the records continuum, especially in today’s electronic information environment.

### **1.2 Objectives**

In developing a records program policy, the ISO standard identifies five basic goals covering the full records continuum from creation to final disposition and, where appropriate, ongoing preservation for scholarly research. In particular, these goals focus on the creation of records essential to the organization’s activities, the transparency of record processes and adequacy of records systems, and the maintenance, storage, preservation, and destruction of records according to a defined approval process.<sup>25</sup> The emphasis of these goals is the importance of an integrated records and archives system.

### **1.3 Responsibilities**

Today’s electronic information environment demands the close collaboration of all levels of administration. Ideally, the responsibilities for records and archives management should be under one administrative head. At the very least, the university archivist must be a key player in this process with authority to work closely with all levels of the administration. As we have seen from our survey responses, it has become a frequent practice to place records management activities under the jurisdiction of the university archives. This arrangement will be effective only if the office reports to a senior administrator who authorizes a close working relationship with the rest of senior administration, information technology staff, and general administrative staff. In short, all employees need to be made aware of their individual responsibility for the management of the records they create, use, maintain, and store in the performance of their duties.

## **2. Strategies, design and implementation (ISO 15489, Part 2, Section 3)**

Part 2 of the ISO standard discusses the design and implementation of a records system that would include such activities as preliminary investigation, analysis of business activity, identification of records requirements, assessment of existing systems, identification of strategies for satisfying requirements, and the design, implementation, and post-implementation of the records system.<sup>26</sup> The main objective of these steps is to determine to what extent the information in your current records system contains the following characteristics: reliability, integrity, compliance, comprehensiveness, and systematism.

Since this ISO does not address standards for archives specifically, we propose a summary of activities for the design and implementation of archival systems based

on the Society of American Archivists *Guidelines for College and University Archives*. The activities inherent in the design of an archival system would include acquisition mandate and strategies, identification of requirements for university archives, appraisal criteria, accessioning system, processing, descriptive standards, reference services, and access and use. In a university setting, the strategies for an archival system could be developed as part and parcel of the process for design and implementation of the records system.

At the implementation stage of these systems, policies, procedures, and standards must be well documented and distributed to all participants, training undertaken, and improved records management practices integrated into daily business activities. As reported in our survey, this is an area where university administrators have failed to act in a consistent manner.

### **3. Records processes and controls (ISO 15489, Part 2, Section 4)**

Once the analysis and planning have been done, universities must then look at specific tools and processes to manage their corporate information. In the summary below, we merged the instruments and processes described in Section 4 of the ISO standard into three broad areas and identified where the archives processes may come into play:

#### **3.1 Business activities classification**

This process is familiar to many of us as an essential feature of any records management program. A university must determine which records are to be kept as part of the records system, and how they are to be filed, indexed, and stored in order to be retrieved when necessary, regardless of whether they are paper based or electronic. The activities include the capture of records, registration, classification (such as a file classification scheme), the use and tracking of the records in the office, in storage, or in the archives, and the adoption of archival principles of provenance and original order for those records of permanent value that are transferred to the archives.

#### **3.2 Disposition authorities**

The need for retention schedules covering all formats and media of records is not new, but the need to develop these at the time electronic records systems are designed and implemented must be emphasized to university administrators in the development of any records system. As our survey responses indicated, this is not the case in most universities and, indeed, in many other organizations as well. In addition to identifying facilities for on- and off-site storage, a university must designate separate facilities for the permanent storage of archival records and ensure that procedures for the use and tracking of these records are in place.

#### **3.3 Access and security classification for records and archives**

Determining who has the right to access information in the university and protecting individual privacy are essential elements in today's information-based society. In

today's electronic work environment, the ability to duplicate and distribute information throughout the workplace and beyond can be done with the touch of a computer key. This element of a records system now must be identified at the time of creation and built into the records system. It is important to note as well that access rights and security of information do not end with the transfer of records to a university archives. University policies on privacy as well as state and provincial legislation may extend periods of restriction for many years and will impact the use of university records transferred to the archives.

#### **4. Monitoring and auditing (ISO 15489, Part 2, Section 5)**

The need for ongoing actions to monitor the compliance with records and archives policies and procedures is an area that has been neglected in many universities, as reported in the survey results. This activity should be imbedded in the records management policy for a university and involve means of measuring how well university employees, at all levels, are complying with the program. Regular activity in this area will help to identify weaknesses in a program before they can jeopardize the university's legal, fiscal, and operational responsibilities. Using survey tools to get user feedback from office administrators about the records and archives program services is useful in understanding the level of compliance, along with a more formal compliance review through regular auditing of information management practices.

#### **5. Training (ISO 15489, Part 2, Section 6)**

ISO 15489 identifies the need for all staff involved in creating and managing recorded information to be well-informed and trained in the university's records management program. This principle should include the archives as well. Universities should employ information professionals with recognized credentials to manage their programs. These professionals can, in turn, provide the training environment essential to ensure that university employees meet all compliance requirements of the program. Training sessions developed by archivists and/or records managers should utilize the resources of IT staff—systems administrators, Web designers—as well as legal counsel and auditing staff to present balanced and authoritative content.

### *Summary*

As demonstrated in the survey responses and the review of ISO 15489, basic archives and records management issues are integral parts of the overall institutional records and information system. How effective archives and records programs are depends on the establishment of comprehensive records management policies and procedures. In addition, the survey identified an advisory records management committee as vital to a well-managed program. This committee allows the university archivist/records manager to gain knowledge and consensus from the diverse groups of the university community and to garner senior management support. The collaboration with the committee may be greatly enhanced with a more "formal" or "regular" collaboration among the university archivist/records manager, internal audit, and legal counsel. Unfortunately, neither

written policies and procedures nor the work of a committee can yield any results if there is no mechanism to measure its effectiveness. Therefore, a process assessing compliance and measuring the effectiveness of the records and archives program is one of its vital components. Again, once designed, a compliance review process that lacks implementation and senior management support is as worthless as the policy it was based on.

Systematic training in information management was seen as a key to a university's records program's success in both ISO 15489 and in survey responses, since institutional information is created and managed by people. This training should target new employees as well as offer opportunities to all employees to "refresh" their knowledge on records policies and practices. A combination of in-person and on-line training would be appropriate to meet the different needs of employees as well as free up time for other tasks by the university archivist/records manager. Here again the effectiveness of the training methods needs to be measured and the employees need to be rewarded for participating. During training it is important to emphasize the importance of documentation of current business processes, to raise awareness of accountability issues on institutional, departmental, and individual levels, and to involve various experts (information technologists, Web designers, legal counsel, and internal auditors). Perceptions of accountability vary from group to group and are not easy to change. University archivists and records managers should keep in mind that their role is to educate the university community and to participate in information management policy design and implementation. More specifically, they must educate information technology personnel and senior administrators on the differences "between storage, ownership and responsibility for records,"<sup>27</sup> on assignment of responsibility as well as on the value of records content.

Although records management is media independent, electronic records issues have significantly complicated the management of archives and records programs. Therefore, they require new strategies based on basic records management principles. When designing electronic records policies, universities should include electronic records series in the general and department-specific records retention schedules so that electronic records are not seen as "different" records. Short- and long-term retention periods for records must be addressed. This includes assessing the "systems'" ability to allow the implementation of "scheduling" and when data migration and media conversion should be undertaken. In addition, when planning electronic records management projects (i.e., imaging, media conversions, and other types of "pilot" projects) design should take into consideration the overall systems architecture. They deserve thorough planning with reasonable but not unknown deadlines because of their complexity and the involvement of many information professionals and administrators.

Given the history of multiple approaches to managing records and archives in the last 50 years and the enormous challenges—technical, financial, managerial—that North American universities face today, widely accepted records and information management models challenge universities to seek a degree of uniformity in managing and safeguarding their information resources. Thus, university records issues need to be examined in the context of the large information picture of a university's long-range plan. ISO 15489, in conjunction with the SAA *Guidelines*, offers a strong foundation

for defining program objectives and responsibilities, designing effective information systems, ensuring systematic collection of institutional history, monitoring legal compliance and administrative efficiency, and establishing an ongoing employee training program.

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14. Robert M. Warner, "The Status of College and University Archives." *American Archivist* 31 (July 1968): 235–237.
15. Dwight H. Wilson, "Archives in Colleges and Universities: Some Comments on Data Collected by the Society's Committee on College and University Archives." *American Archivist* 13 (October 1950): 343–350.

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## NOTES

1. Philip P. Mason, "College and University Archives: 1962," *American Archivist* 26 (April 1963): 161; for original article on this survey, see Dwight H. Wilson, "Archives in Colleges and Universities: Some Comments on Data Collected by the Society's Committee on College and University Archives," *American Archivist* 13 (October 1950): 343–350.
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4. Posner, 156.
5. Mason, 161–165.
6. Also in 1966, the SAA College and University Archives Committee published the first directory. It included 45 Canadian institutions, which may coincide with the ones reported by the Committee in Mason's 1963 article. See *College and University Archives in the United States and Canada* (Ann Arbor: Society of American Archivists, College and University Archives Committee, 1966).
7. For the purposes of this paper, any institution whose name includes the word "university" was counted as a "university archives."
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9. 857 responses were received, with a total of 539 indicating the existence of an archival program. Survey included private and public institutions. See Nicholas C. Burckel and J. Frank Cook, "A Profile of College and University Archives in the United States," *American Archivist* 45:4 (1982): 411.
10. *College and University Archives in the United States and Canada* (Society of American Archivists, College and University Archives Committee, 1972): iv.
11. U.S. universities: 419; Canadian universities: 39.
12. For other attempts to measure records management activity at academic institutions in 1975, 1983, and 1987, see Don C. Skemer and Geoffrey P. Williams, "Managing the Records of Higher Education: The State of Records Management in American Colleges and Universities," *American Archivist* 53:4 (1990): 532-547.
13. Burckel and Cook, 421-422.
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15. However, a "university archives" reporting such activity did not have to have exclusive responsibility for official records, but could include a partial responsibility within a larger administrative unit responsible for non-university records.
16. Skemer and Williams, 537-538.
17. *Guidelines for College and University Archives* (Society of American Archivists, College and University Archives Section, August 1999), <[www.archivists.org/governance/guidelines/cu\\_guidelines.asp](http://www.archivists.org/governance/guidelines/cu_guidelines.asp)>.
18. Total number of universities in the U.S.: approximately 3,786; total number of universities in Canada: approximately 90.
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21. Committee on Institutional Cooperation, University Archivists Group. *Standards for an Electronic Records Policy* (2001), <[www-personal.umich.edu/~deromedi/CIC/cic.htm](http://www-personal.umich.edu/~deromedi/CIC/cic.htm)>.
22. ISO 15489-1:2001 *Information and documentation — Records management — Part 1, General*, Section 7.1 (g): 6.
23. ISO 15489-1:2001, Part 1, Section 7.1 (g): 6.
24. ISO 15489-1:2001, Part 1, Section 6.2: 5.
25. ISO/TR 15489-2:2001 *Information and documentation — Records management — Part 2 Guidelines*, Section 3.2: 2-7.
26. ISO/TR 15489-2:2001, Part 2, Section 3.2: 2-7.
27. ISO 15489-1:2001, Part 1, Section 8.3.4.



*Genealogical Research on the Web*. By Diane K. Kovacs. New York: Neal-Schuman Publishers, Inc., 2002. 194 pages. \$55. Soft cover.

The Internet has eased and transformed the process of conducting genealogical research. Any basic search engine can provide a large amount of information, which makes sorting the useful from the useless a difficult task. Frustrated with the misinformation that abounds on-line, many users may retreat to the printed page for advice. Several genealogy guides published recently have taken a combined approach in discussing how print and Internet sources can help manage information and provide a map for conducting research.

One of these, *Genealogical Research on the Web*, is notable in the straightforward approach that its author, Diane Kovacs employs. Kovacs outlines how to conduct historical research and discusses the importance of documentation, two items notably lacking in many genealogy and family history guides. Kovacs regards documentation as proof that cuts through myths embedded in many family histories. The process of selecting on-line resources and the best way to approach repositories for information is also explained with the verification of facts in mind. Kovacs's methodology sensibly utilizes Internet tools in concert with human interaction without neglecting the traditional research techniques.

Kovacs begins by covering the basic questions that all researchers must ask before proceeding, such as, What exactly is being sought? What is already known? Where do I go from here? She describes the hardware and software needed for Internet use as well as the types of information available on the Web while detailing what is not available from the Internet and why that information is not posted. Most importantly, she explains why there is no substitute for historical research and for the documentation and verification of sources.

The last half of Kovacs's book lists specific tools that are the most helpful to genealogists, such as indexes and databases and where to find them. For example, Section Two covers resources available on the Internet and uses many examples to compare software choices and explain the differences between membership-only and free Web sites. The book also provides a list of the most popular and effective genealogy sites on the Internet and gives Internet addresses of many repositories of genealogical data.

The last section in the book explains how genealogists can work with family members and network with other genealogists to improve their chances of success. The Internet can ease research and save wasted trips; it cannot replace the social and personal connection of interviewing family members. As a result, the text advocates a mixed approach to the process, one that encompasses technology and personal interaction. Section Four explains how to locate international, African-American, and Native American ancestors and addresses potential problems that may be encountered along the way. Also quite useful, especially as experience is gained in using on-line sources, is the "webliography," a glossary and reference list in the back of the book that provides Web addresses for sites that evaluate genealogical information on the Internet, reference tools, genealogy discussion lists, addresses for repositories, courthouses, and cemeteries, travel planning, adoptee and birth parents information sites, heraldry, and African and Native American genealogy. Kovacs also includes a bibliography of print sources

with links to recent articles; on-line genealogy tutorials; sites that evaluate genealogical information on the Internet; links to archives that have genealogical data on-line; and a listing of some reference tools (SSDI, vital records, etc.). She also includes contact information for professional and amateur genealogical associations.

The best asset of this book is its accessibility. Kovacs explains every aspect of the process, from getting on-line to finding and verifying information. Throughout the book Kovacs gives many examples of dilemmas researchers may encounter, such as conflicting information regarding an ancestor to deciding which databases will be the most helpful for certain searches. She also includes exercises that the novice can do. She even goes so far as to list her Web site that has many learning activities and an E-mail address for people to contact her with questions <<http://www.kovacs.com/genbook/genbook.html>>.

Because of Kovacs's simplistic style, this book is excellent for the novice genealogist. Perhaps the biggest drawback of this book is its cost. It is \$55, while other books such as *The Source: A Guidebook of American Genealogy* (Salt Lake City: Ancestry, Incorporated, 1997), \$49.95, by Sandra H. Luebking and Loretto Dennis Szucs, and *A Research Guide to American Genealogy* (Baltimore: Genealogical Publishing Company Inc., 2000), \$29.95, by Val D. Greenwood contain far more information and cost much less. The inability to update the information is also a downfall of this book as many of the Web sites may be outdated quickly.

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*Sample Forms for Archival and Records Management Programs*. By ARMA International and the Society of American Archivists, Consulting Editor: Mary Lea Ginn, Ph.D. Lenexa, Kansas, and Chicago: ARMA International and the Society of American Archivists, 2002. \$40.00. 264 pp. Pocket Part: Compact Disc. Soft cover.

The advertisement that accompanied the book stated boldly that this is “[t]he book you’ve been waiting for!” Though many advertisements are filled with unsubstantiated hyperbole, in this case the advertisement was accurate. *Sample Forms for Archival and Records Management Programs*, published jointly by ARMA International and the Society of American Archivists, is definitely a book for which I have been waiting. In fact, after receipt of the book, I eagerly digested it because it was such a valuable resource for my work.

An important and exciting aspect of *Sample Forms* is that it is a collaborative effort of archivists and records managers. All too often, archivists and records managers have been in opposing camps. It is very refreshing to see ARMA and SAA work together to produce such a useful product. This book may represent a return to the golden age of Margaret Cross Norton, Ernst Posner, and T. R. Schellenberg when archivists, record managers, and forms managers were integrated into one profession rather than split into three professions. Some observers of the three professions believe that the trend of the last 10 years has been one of greater cooperation. This collaborative effort of ARMA and SAA certainly is a continuation of that trend.

The book is divided into two major parts: one for records management and one for archives management. The scope of the topics covered is comprehensive. In the records management section the sample forms are divided into the following topics:

- records management—general
- inventorying/scheduling
- records center/records control
- records destruction/disposition
- micrographics/quality control
- vital records
- miscellaneous records management forms

The forms in the archives management division are organized under the following topics:

- survey and appraisal
- disposition and accessioning
- arrangement and description
- use and reference
- preservation
- management and miscellaneous

The book is accompanied by a very useful compact disc (CD) version (compatible with Windows 95, 98, 2000, and NT, and Macintosh operating systems) that contains all of the book’s forms in portable document format (PDF), rich text format (RTF), and in Microsoft Word 97.

Prospective readers need to be cognizant of two caveats stressed by the book's compilers. First, each institution's legal counsel should review the forms and policies before using them. Laws vary from state to state and change over time. Second, the ARMA-SAA joint committee did not set out to create the "ideal" form for a particular situation. Rather, they tried to compile a book of the best forms available and adapt them for general use: "The purpose of publishing this manual is to provide useful samples from a broad group of organizations from which users may choose those most closely mirroring their own needs and practices" (pp. xv-xvi).

The forms found in the "Vital Records" section provide a good example of the book's usefulness in, for example, disaster planning. This section contains forms covering the gamut of developing and implementing a vital records program, including analysis, retention, protection, control, and maintenance. By following the progression and organization of these forms, record managers and archivists will be able to better identify and safeguard vital records—records that are essential for the continuation, continuity, and sometimes even the survival of an organization, particularly in the event of a disaster or other calamity.

The number and quality of forms found in the "Preservation" section illustrate the book's comprehensiveness. There are 30 forms in this section alone. They include forms for conservation and for preservation surveys of audio, video, photographic, and microfilm holdings, together with guidelines and procedures for rescue and salvage of materials, emergency instruction and disaster prevention, and even a form with recommended questions that should be asked of paint manufacturers.

By using the forms and other resources provided by *Sample Forms*, records managers and archivists will find their work to be much less difficult and certainly less frustrating. For many of us in the fields of records and archives management, *Sample Forms* is definitely the book for which we have been waiting. This collaborative effort by SAA and ARMA is a great success.

Thomas Jones  
Records/Information Manager  
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*Creating a Winning Online Exhibition: A Guide for Libraries, Archives, and Museums.* By Martin R. Kalfatovic. Chicago and London: American Library Association, 2002. \$40.00. 117 pp. Index, black and white illustrations, and appendices, including bibliography of exhibitions. Soft cover.

In her forward to Martin Kalfatovic's book, S. Diane Shaw writes that "until now, there has been surprisingly little guidance directed specifically to the library and archival communities on how to go about doing on-line exhibitions" (p. ix). This is a key point because my first reaction upon reading Kalfatovic's book was to wish it had been available when I began working on digital collections and on-line exhibits.

One of the book's most valuable features is how it helps information professionals avoid reinventing the wheel each time they embark upon a digital project. Many books and articles discuss issues that impact the creation of on-line exhibits. To my knowledge, this is the first volume that brings together and clearly explains all of the steps and considerations involved.

While valuable when read cover to cover, this book also provides ready reference for various topics. The index is excellent, the chapters are laid out with clear subheadings to facilitate browsing, the appendices provide valuable examples of the various topics, and each chapter contains a list of sources cited and on-line exhibits discussed there. The book is divided into 10 chapters with descriptive titles that make it easy to grasp the basic concepts and issues covered in each. In the following paragraphs I will highlight just a few chapters I found particularly helpful.

"Online Exhibitions versus Digital Collections." In this chapter, Kalfatovic draws an important distinction between digital collections and on-line exhibitions. Kalfatovic argues that it is the "connection between idea, object and script" that distinguishes an on-line exhibit (p. 3), a well-established concept in the world of physical exhibitions. Over time, exhibitions created by museums, libraries, and archives have moved from simple displays of objects with labels to complex exhibits that explore and present a story, theme, or experience. For example, a well thought out and coordinated exhibit that allows visitors to travel through two centuries of textile-related technology is much more likely to generate interest than a collection of spinning wheels.

In creating a similar distinction for the virtual exhibit, Kalfatovic makes an important point. Many materials that museums, archives, and libraries put on-line—from searchable databases and finding aids to on-line library catalogs—provide valuable access to collections. But these are not exhibits. Understanding this distinction does not denigrate the value of digital collections. Rather, it allows information professionals to better define the purpose of a digital project and to determine whether that project makes more sense as an exhibition or as a digital collection.

"Executing the Exhibition Idea." This chapter provides a core set of advice for planning an on-line exhibition. Building on the previous chapter, it covers such topics as the exhibition proposal, drafting a script, and selecting objects for digitization (there is also an example proposal and script in the appendices). The chapter also discusses the importance of "a clear and well-defined exhibition policy" and gives an outline of the major elements such a policy should contain (p. 21). Kalfatovic's suggestions will prove

useful even for those who have worked on on-line exhibits and digital projects for years.

“Technical Issues” (Chapters 5–7). These three chapters cover a wide variety of technical issues that every institution working with technology must eventually face. Kalfatovic’s writing and organizational style are particularly valuable in this portion of the book. He clearly and succinctly lays out options, considerations, and technologies while avoiding (or explaining) any technical jargon. Every digital project has many technical issues; having a resource that presents and explains these options concisely is invaluable, especially for those new to digital projects. Kalfatovic’s explanation and examples of Cascading Style Sheets (CSS), for example, made much more sense to me than any description I’ve read.

My only criticism is that I would have liked more information on the basis for the recommendations in Kalfatovic’s scanning standards table (p. 47). While I agree with his statement that “you should always scan at the highest practical resolution” (p. 47) and with his discussion of different limiting factors, my experience has shown that there is a wide variety of recommendations for digitization standards. More detail in this area would enrich Kalfatovic’s discussion.

“Design.” In this chapter Kalfatovic compares design in physical and virtual environments. He discusses challenges Web designers face, including screen size and layout, color and font display, designing clear navigation, and developing metadata for the Web. It would have been helpful had Kalfatovic covered Web-site accessibility issues here or given a cross-reference to the “Technical Issues: Programming, Scripting, Databases, and Accessibility” chapter that covers this subject in more detail, but this is an otherwise excellent overview of Web design issues.

The chapters mentioned here only skim the surface of the topics covered in this book. *Creating a Winning Online Exhibition* not only lives up to its title, it exceeds it. Clear and well organized, this book lays out different considerations for planning and executing an on-line exhibit. From policies, staffing, and exhibit ideas to digital imaging and coding, this book provides a guide for every step of the process and points the reader to a wealth of resources for each topic discussed. There are many reasons for museums, libraries, and archives to create on-line exhibits, but there are also many challenges. Kalfatovic’s book helps us negotiate both.

Jessica Lehr  
 Manager of Digital Programs  
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*Archival Issues*  
*An Index to Volumes 22–26*  
*1997–2001*

Compiled by  
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## PREFACE

This index to *Archival Issues* begins where the previous index to volumes 9–21 (1984–1996), compiled by Monica Manny Ralston, ends. The format for this index is identical to the one established by Ms. Ralston. Coverage includes volumes 22–26 (1997–2001) of the journal. Because this index replicates the organization and methodology that Ralston developed for the previous index, most of the explanatory comments that follow are drawn from her “Preface” to the 1997 index.

The index provides title, author, and subject access to each of the article abstracts and book reviews appearing within the journal. It is arranged in four sections: Abstracts, Review Index, Author Index, and Subject Index.

### ABSTRACTS

The index lists the titles of the 44 articles published in volumes 22–26 in alphabetical order. Each entry is numbered sequentially and includes the full title of the article, author, volume, page citation, and reprint of the published abstract. In the few cases that abstracts were not published in the journal, excerpts from the article or summaries are presented. An abstract number preceding each entry corresponds to locators given in the author and subject indexes. Because the pages within each volume are numbered sequentially, citations are given as volume and page number with no identification of issue, e.g., 9:5.

### REVIEW INDEX

The second section of the index lists the titles of the 33 articles, books, collection guides, software packages, on-line documents, and other works reviewed in volumes 22–26 in alphabetical order. The reviews are numbered sequentially with locators that correspond to those that appear in italics in the author and subject indexes. Each entry consists of the title of the reviewed work, the author, the publication imprint, and date, followed by the name of the review author and the journal citation.

### AUTHOR INDEX

The third section provides an alphabetical listing of the authors of journal articles, works reviewed by the journal, and reviews. One entry is given for each author or coauthor’s name, followed by locators corresponding to the abstract and review sections of the index. Locators referring to reviews are printed in italics. Entries for some authors may include references to journal articles, to published works that were reviewed in the journal, and to journal reviews of another author’s work. For authors whose listings include references to both sections, abstract locators are given first,

followed by locators referring to reviewed works, followed by locators referring to reviews. Locators corresponding to reviews are preceded by the cue word "review(s)."

## SUBJECT INDEX

The last portion of the index provides access to the subjects covered by the articles and reviewed works. Subject terms used within the index include topics, geographic places, personal names, legislative works, institutional programs and projects, research methodologies, and specific genres such as bibliographies, manuals, and research guides. Wherever possible, subject terminology employed in the previous index to *Archival Issues* was used in this index. Additional terminology was drawn from the 1992 SAA *Archival Fundamental Series* publication, *A Glossary for Archivists, Manuscript Curators, and Records Managers*. Subheadings for geographic places, research methodologies, and genres were rotated so that entries may be found under topical headings as well as under place names, methodologies, and genres. "See" references are included to direct users from terms that are not used in the index to preferred headings under which entries may be found. Entry subheadings are listed in alphabetical order, followed by locators listed sequentially, corresponding to the abstract and review sections. Review locators are printed in italics following the abstract locators.

## ABSTRACTS

**1**

THE 80/20 ARCHIVES: A STUDY OF USE AND ITS IMPLICATIONS, William J. Jackson, 22:133.

A library science graduate school course challenged the author to use an established bibliometric analysis technique to study the use of an information service setting. The author used the technique resulting in Richard Trueswell's "80/20 Rule" to see if 80 percent of the use involves only 20 percent of the collection at the UW-Milwaukee Archives. The author discovered that, indeed, the relevant findings at the repository were almost a perfect 80/20, just as Trueswell had found in library collections. The findings at the UW-Milwaukee Archives hold implications for other institutions about appraisal, reappraisal, deaccessioning, and other areas of archival practice. The author concludes by challenging archivists to define the use of their institution's holdings and to consider adjusting their approach to the collection accordingly.

**2**

AFRICAN-AMERICAN DOCUMENTARY RESOURCES ON THE WORLD WIDE WEB: A SURVEY AND ANALYSIS, Elaine L. Westbrooks, 24:145.

Numerous institutions have launched historical digital collections on the World Wide Web (WWW). This article describes, analyzes, and critiques 20 historical African-American digital collections created by archival institutions, academic institutions, public libraries, and U.S. government agencies. In addition, it explores issues

that are an important part of historical digital collections, such as preservation, integrity, and selection criteria, as well as trends in collection content, institutional policy, technology, Website organization, and remote reference. Finally, this article assesses the value of individual digital collections as well as the overall value of digitization.

**3**

APPRAISAL OF SOUND RECORDINGS FOR TEXTUAL ARCHIVISTS, Christopher Ann Paton, 22:117.

As the twentieth century draws to a close, archivists are finding that audio recordings constitute a greater percentage of potential collections than ever before. Although audio materials do present a number of special concerns that require careful evaluation, archivists who are familiar with traditional, manuscript, and text-oriented appraisal methodologies will find that the most fundamental elements apply to audio recordings as well.

**4**

THE ARCHIVAL CURRICULUM: WHERE ARE WE NOW? James M. O'Toole, 22:103.

This essay describes the current state of archival education in university-based graduate programs. It concludes that archival education, properly so-called, is still underdeveloped and that coursework devoted to related but non-archival subjects remains a disproportionately large part of these programs. Through an examination of syllabi and other course materials, the essay also

examines how some introductory archives courses are taught.

**5**

**ARCHIVES VOLUNTEERS: WORTH THE EFFORT?** Rhonda Huber Frevert, 22:147.

Archivists can benefit from increased and improved use of volunteers to increase work output, provide fresh insight, and act as public relations advocates, but they must also be aware of the potential drawbacks associated with volunteers. Every archival repository has unique considerations and should evaluate whether the possible benefits of using volunteers as a resource will outweigh the drawbacks for that repository. To make effective use of this resource, staff must be willing to treat volunteer use as an integral, worthwhile part of the archival program and invest adequate, ongoing time to planning and managing a volunteer program.

**6**

**ARCHIVES WEEK AND THE POWER OF INTERSECTING RIPPLES,** George W. Bain, 23:5.

Like ripples on a pond, Archives Week offers archivists a genuinely broadscale public program for connecting with society at large. The article looks at the development of the Archives Week idea to date; focuses in more detail on the program in Ohio; explores a series of questions about the idea's potential expansion as well as structural challenges to it; and makes a general argument for more metropolitan, state, and multistate regional groups beginning their own programs.

**7**

**ARCHIVISTS, MEDIATION, AND CONSTRUCTS OF SOCIAL MEMORY,** Francis X. Blouin, 24:101.

What is our past and how do we know it? The authority of archival documentation as the foundation for our knowledge of the past has come under question. Increased interest in cultural studies and in new concepts of heritage has made archives not only a place of study but also the object of study. Some scholars are arguing that archives are not neutral parties in the process of exploration of the past. They may, in fact, be complicit in fostering certain perceptions based on institutional definitions and particular concepts of the state. Questions are also raised about the role of the archivist as mediator between what has survived and what we know. How are archivists to respond to these new questions?

**8**

**AUTOMATED ACCESS PRACTICES AT ARCHIVAL REPOSITORIES OF ASSOCIATION OF RESEARCH LIBRARIES INSTITUTIONS,** Tyler O. Walters, 23:171.

This article reports and interprets the data collected from the author's 1995 survey of 142 archives and manuscripts repositories at Association of Research Libraries institutions and their automated access practices. The goals of the study are, first, analyzing the data gathered to understand the development of archives' automated access programs and, second, understanding the extent to which libraries' cataloging and automated systems units interact with their institutions' archival repositories in their common mission of creating and maintaining intellectual access to

research materials. These interactions are analyzed in areas such as automated applications development and maintenance, use of specific automated access tools, overall responsibility for program planning, and the provision of training.

**9**

**BACK TO THE STRATEGIC ROOTS: APPRAISAL REFORM AT THE NATIONAL ARCHIVES OF CANADA**, Richard Brown, 24:113.

Towards the end of the 1980s, the National Archives of Canada recognized that the methods it employed and the criteria it used to pass judgment upon the archival value of government records lacked strategic focus and intellectual consensus. In essence, the NA was largely stockpiling government records in ad hoc anticipation of their potential for historical research or other secondary uses, and deferring real decision making about their value and benefit for future generations of Canadians. This essay describes some of the thinking, processes, and elements behind an ongoing corporate appraisal renewal that has changed—in the most fundamental and profound manner—the way the NA assesses the archival value and, coincidentally, the operational-business disposition of government records as a public information resource. Having originally introduced an archival strategy of macro-appraisal, the NA has subsequently been obliged to rethink and recalibrate some of its first assumptions towards the taking of more refined and difficult records preservation decisions.

**10**

**BETWEEN AUTHORS AND USERS: ARCHIVISTS IN THE COPYRIGHT VISE**, William J. Maher, 26:63.

The historical, social, economic, and political context of American copyright law is considered as a backdrop for archivists' role as both mediators and advocates on copyright. Effective administration of archives and service to donors and users require an understanding of the basics, including scope of copyright coverage, nature of exclusive rights, fair use, library and archival provisions, transfers of ownership, and expiration of term copyright, with especial attention to the distinction between published and unpublished material.

**11**

**BUYING QUARTER INCH HOLES: PUBLIC SUPPORT THROUGH RESULTS**, Elsie T. Freeman, 25:91.

Archivists must learn, specifically and accurately, who uses their holdings; a few individuals and institutions are now examining this question. Archivists must also learn what users produce with their research and how these products affect our personal and public lives. Four methods for ascertaining this information are suggested. Finally, armed with information about clients and results, archivists can reach new user constituencies, affect the general public's perception of the archives, and influence those who underwrite and support archival activity. The writer provides suggestions for undertaking this outreach. [Republished in the special anniversary issue, *Four of the Best from Our First 25 Years*. Originally published in *Midwestern Archivist* 10:2 (1985): 89–97.]

**12**

**BY FAIR MEANS IF YOU CAN: A CASE STUDY OF RAISING PRIVATE MONIES TO SUPPORT ARCHIVAL PROGRAMS,** Herbert J. Hartsook, 25:49.

More and more archival administrators are turning to the private sector, seeking funds to supplement their budgets. This article analyzes a program that has been successful in raising a significant endowment over a relatively short period. It builds on that analysis to describe fundamental development practices as they apply in an archival setting. If you believe in the importance and value of what you do, and can verbalize those feelings and your excitement about your work and repository, you can be a successful fund-raiser.

**13**

**CLASHING DISCIPLINES: ORAL HISTORY AND THE INSTITUTIONAL REVIEW BOARD,** Rachel Vagts, 26:145.

Archivists are finding that, often for the first time, our institutions are taking a closer look at the way we conduct research and questioning the very methods that we have used for many years. The primary body that does that inquiry is often the institutional review board (IRB). A review concept originally designed by and for the sciences, the IRB and the archivist often find themselves at odds when they first meet. This paper offers an example of how you can work with your IRB to come to an acceptable solution, satisfying the theory and practices of archival administration while remaining within the confines of the review board regulations.

**14**

**COMIC RELIEF: THE PROCESSING, PRESERVATION, AND CATALOGING OF EDITORIAL CARTOONS,** Pam Hackbart-Dean, 22:163.

The editorial cartoons of the Clifford "Baldy" Baldowski Collection consist of over 2,500 individual drawings spanning four decades. Because of the need to manage this special medium, the staff at the Richard B. Russell Library for Political Research and Studies initiated the Editorial Cartoon Description Project (ECDP) for the Baldy cartoons. The plan was to identify, preserve, and catalog at the item level. Fields in the Minaret database that provide access for item-level records are detailed. Also discussed are the background, the planning and implementation, and future developments for this project.

**15**

**CULTIVATING OUR GARDEN: ARCHIVES, COMMUNITY, AND DOCUMENTATION,** Robert Horton, 26:27.

Archivists have long shown an interest in documenting communities and in working with underdocumented communities. Planning such efforts should call into play a wide variety of intellectual and philosophical issues: identity, memory, epistemology, and even truth. A recent collaboration of state historic records advisory boards (SHRABs) in North Dakota and Minnesota examined these issues in a study of agriculture and rural life in the Red River Valley. After working with a wide variety of constituencies, the SHRABs began to analyze how to translate what they learned into the everyday routine of archival practices, with particular

reference to communities, cost, and benefits.

**16**

**DOCUMENTATION STRATEGIES IN THE TWENTY-FIRST CENTURY? RETHINKING INSTITUTIONAL PRIORITIES AND PROFESSIONAL LIMITATIONS,** Jennifer A. Marshall, 23:59.

Since its introduction into archival theory nearly 15 years ago, the documentation strategy approach has generated considerable debate within the archival community, garnering both advocates and critics. This discussion has been so widespread that Terry Cook has called documentation strategy "the single most important North American contribution to a growing debate on appraisal theory, strategy, and methodology." This article will utilize a review of the professional literature to trace the evolution of the documentation strategy, consider the arguments that have been raised for and against it, and analyze several experiments with the concept to date. In addition, this overview will argue for the importance of documentation strategy as an appraisal tool, and will examine its relationship with functional analysis and macroappraisal. Finally, the paper will include the results of interviews conducted by the author to assess the impact that these three techniques, particularly documentation strategy, are having on North American archival practice.

**17**

**EAD: OBSTACLES TO IMPLEMENTATION, OPPORTUNITIES FOR UNDERSTANDING,** Jill Tatem, 23:155.

Innovation diffusion theory explains different rates of adoption of new technologies as a consequence of potential adopters' perceptions of the innovation's advantages compared to alternatives, complexity, compatibility with accepted practices and values, trialability, and observability. Applying this analysis to Encoded Archival Description (EAD) suggests that its widespread adoption by archivists will depend on changing current negative perceptions of EAD's complexity and usefulness. Improving EAD's ease of use depends largely, though not exclusively, on advances in authoring and browsing software. User-centered research focusing on evaluation of the effectiveness of EAD finding aids offers the best chance of demonstrating EAD's advantages over other technologies for creating and delivering digital finding aids.

**18**

**THE FBI RECORDS APPRAISAL,** James Gregory Bradsher, 25:101.

The appraisal of the headquarters and field office records of the Federal Bureau of Investigation by the National Archives in 1981 was perhaps the most important and certainly the most extensive and expensive appraisal carried out by federal archivists. In this article the author discusses the FBI records appraised; the appraisal methodology, including sampling case files for appraisal; the decision-making process for retaining records; and the records to be retained. The author also provides

the background to the appraisal, including the 1979 lawsuit that led to the appraisal, and the judicial process that took place during and subsequent to the appraisal. [Republished in the special anniversary issue, *Four of the Best from Our First 25 Years*. Originally published in *Midwestern Archivist* 13:2 (1988): 51–66.]

**19**

THE FIRST NIXON PAPERS  
CONTROVERSY: RICHARD  
NIXON'S 1969 PREPRESIDENTIAL  
PAPERS TAX DEDUCTION,  
Matthew G. Brown, 26:9.

This article examines President Richard Nixon's gift of a portion of his prepresidential papers to the United States, his attempt to take an illegal tax deduction for this gift, and the role of archivists in bringing the matter to public attention. The chronology of the gift draws on interviews with participants in the affair, and on records held by National Archives' Nixon Presidential Materials staff. The article explores causes and implications of the affair and concludes that the scandal resulted in part from the acts of certain Nixon administration officials and from the National Archives' placement under the General Services Administration (GSA). The article also examines the negation of the Presidential Records Act by several recent executive orders and the likelihood of future scandals involving presidential records at the National Archives.

**20**

FROM VILLAGE SMITHY TO  
SUPERIOR VACUUM  
TECHNOLOGY: MODERN SMALL-  
BUSINESS RECORDS AND THE  
COLLECTING REPOSITORY, Mark A.  
Greene, 23:41.

Documenting modern business in the United States is a complicated matter for archivists, and has been the subject of much recent attention in the professional literature. The Minnesota Historical Society (MHS) has undertaken a major initiative to redefine its collecting approach to modern business records, based both on new conceptual approaches such as macroappraisal and on studies of actual records usage. Documenting modern *small* business adds to these complications three problems: 1) there is no agreed-upon definition of what a small business is; 2) small business has become invested, like "the family farm," with as much myth as reality; 3) small businesses do not operate like large business and, therefore, do not generate the same archival records. In this essay, an appraisal archivist uses the experience of MHS to argue for a nontraditional approach to documenting modern small business.

**21**

THE GIVENNESS OF KIN: LEGAL  
AND ETHICAL ISSUES IN  
ACCESSING ADOPTION RECORDS,  
R. Jackson Armstrong-Ingram, 22:21.

In the United States, legal adoption was originally a means of establishing heirship and thus required an open record. Later, it became primarily a matter of establishing fictive parenthood, and records become closed to foster that illusion. As a result of this change, cur-

rent practice in relation to records associated with adoption is often in conflict with general archival principles. The three central issues that have developed regarding adoption (the "sealed record," "as if," and "in the best interests of the child") have been applied beyond their original intent. More recent concepts such as "wrongful adoption" and the implementation of registries raise further access issues. Archivists need to have an understanding of the contexts of the creation and use of records associated with adoption in order to administer access to them in a legal and ethical way, and to enable them to contribute to the public debate on access to adoption records.

**22**  
GRADUATE ARCHIVAL  
EDUCATION AND THE  
PROFESSIONAL MARKET:  
PERSPECTIVES ON DATA AND  
DATA GATHERING, Anne J. Gilliland-  
Swetland, 23:91.

In recent years, the United States archival community has been striving to build a rigorous and recognized interdisciplinary foundation for graduate archival programs that is also responsive to emerging aspects of archival theory and practice. Such efforts have failed to achieve optimal results, however, because they have lacked the knowledge that can be constructed by employing a systems perspective and strategically gathered data. This article examines data published over the past decade relating to the state of archival placement and the educational base of members of the archival profession, together with previously unpublished data gathered from a survey of archival educators and recent graduates of

archival education programs. The author finds that these data, while suggestive, are able to provide little more than static, decontextualized snapshots. She suggests how a systems approach might be applied to identify and understand the complexity of the systems of which archival education is a part, thus yielding knowledge that could be used in the strategic development of archival education.

**23**  
HOW AND WHEN WE MAKE THE  
NEWS: LOCAL NEWSPAPER  
COVERAGE OF ARCHIVES IN TWO  
WISCONSIN CITIES, Sally J. Jacobs,  
22:45.

What do local newspaper editors consider newsworthy about archives? Utilizing the powerful searching capabilities of electronic databases, the author retrieved full-text articles that included any of the following terms: archive, archives, archivist, archivists, and archival. Articles were then analyzed by topic, size, placement, and date of publication. The single largest reason archives received coverage was that they housed materials used to create a cultural product that was currently offered for public consumption.

**24**  
HOW RESEARCHERS LEARN OF  
MANUSCRIPT RESOURCES AT THE  
WESTERN HISTORY  
COLLECTIONS, Kristina L. Southwell,  
26:91.

Researchers discover manuscript resources in many different ways. Traditional methods of locating manuscripts, such as using printed guides and conducting citation studies, are today often supplemented by the use of elec-

tronic bibliographic databases and Internet search engines. Although archivists absorb through the reference process a fair amount of anecdotal information about how manuscript users find their collections, gathering statistical data on which access points are most commonly used can be beneficial for repositories and users alike. The information can be used to evaluate the effectiveness of a collection's access points and outreach programs and lead to improved services for researchers. During the calendar year 2000, the Western History Collections at the University of Oklahoma conducted such a survey of its manuscript users. The results hold significance not only for the Western History Collections, but also for other manuscript repositories that plan to conduct studies on the information-seeking behavior of their users.

## 25

LISTENING TO USERS, Elizabeth Yakel, 26:111.

This article explores the concept of common ground as it applies to researchers using primary sources. It examines common ground through two activities central to making sense of archives and locating sources: defining what an archives is and identifying and using access tools, and through one type of venue for explicitly establishing common ground: user education. Overall findings indicate that common reference points are often lacking between researchers and archivists. Archivists may also be assuming that users understand more about archival operations and access tools than is warranted. As a result, archivists may be overestimating the expertise of

users and their ability to transfer knowledge from one repository to another. Finally, the author urges archivists to enter into a dialog on the purpose, scope, and content of archival user education offerings and work toward the development of a more fully delineated educational curriculum for users of primary sources.

## 26

MARGARET C. NORTON  
RECONSIDERED, Randall C.  
Jimerson, 26:41.

Margaret C. Norton (1891–1984) served as the first state archivist of Illinois (1922–1957). As founding member of the Society of American Archivists (SAA), she served as its first vice president, as council member, as president, and as editor of *American Archivist*. The common perception has been that Norton aligned her views with Hilary Jenkinson and European theorists in opposing the American historical manuscripts tradition and the dominant role of historians. A closer examination of her career and her unpublished writings, however, challenges this interpretation. An appreciation for Margaret Norton as a pragmatic archivist dedicated to the needs of public officials enables us to see her as a bold and consistent advocate for the significance of records in administration of state government. Norton adopted European archival principles such as provenance and moral defense of archives, but she adapted them to the requirements of modern American records. She pleaded for recognition of archives as legal records, but she also recognized their secondary importance for historical research. Rather than pulling the profession apart into sepa-

rate camps of historian-archivists and archivist-administrators or of practitioners and theorists, Norton's legacy should remind archivists of their twin responsibilities for archives: to maintain both their legal and administrative integrity and their usefulness for historical research.

**27**

**THE PERSONALITY OF ELECTRONIC RECORDS: THE IMPACT OF NEW INFORMATION TECHNOLOGY ON PERSONAL PAPERS**, Tom Hyry and Rachel Onuf, 22:37.

This essay considers the changing nature of personal materials in the digital age by examining changes in "personal" means of expression and "paper" formats. Much recent research in the profession has focused on electronic records, but the vast majority of it has dealt only with organizational records. The authors argue that new communication media offer increased opportunities to document the lives of individuals as we exist outside of organizational functions, but that archivists will need to consider broader societal implications of these innovations before collecting these materials. They analyze some possible strategies for archival retention of personal electronic records, and urge archivists to engage in further thought and discussion about how best to identify and preserve these materials.

**28**

**REAPPRAISAL OF CONGRESSIONAL RECORDS AT THE MINNESOTA HISTORICAL SOCIETY: A CASE STUDY**, Todd Daniels-Howell, 23:35.

In 1994, the Minnesota Historical Society developed a Congressional Papers Appraisal Policy in order to improve the content and reduce the size of the extremely large and complex collections of papers of U.S. senators and representatives. A 1994 *Archival Issues* article by Mark Greene detailed the development of that policy and its uses by the Historical Society with incoming collections of papers. But the Appraisal Policy was meant to serve as a reappraisal tool as well, and this article serves as a follow-up case study of the Historical Society's successful reappraisal efforts over the past few years.

**29**

**REMEMBERING ALMA MATER: ORAL HISTORY AND THE DOCUMENTATION OF STUDENT CULTURE**, Ellen D. Swain, 26:129.

For over a half century, archivists have debated the role of oral history in archives and libraries. While most agree that oral history is a valuable resource, many see its practice as an "extra" activity involving extensive funding, training, and time. When undertaken with careful planning and research, however, oral history offers endless possibilities for the academic archives. Through discussion of an alumni oral history project at the University of Illinois' Student Life and Culture Archival Program, this article illustrates how oral history not only strengthens the research potential of existing collec-

tions, but also enhances traditional archival activities such as collection development and user service. In turn, oral history presents new avenues for outreach programming on the campus, in the community, and beyond.

**30**

RE-MEMBERING THE FUTURE:  
ORGANIZATIONAL CHANGE,  
TECHNOLOGY, AND THE ROLE OF  
THE ARCHIVIST, Chauncey Bell,  
25:11.

A nonarchivist, one with background as a computer systems designer and business management consultant, views the choices facing the archival profession in the computer age. Archivists are challenged to embrace change but to avoid the trap of believing that embracing technology per se is the correct transformation. Rather, it is archivists' skills as interpreters and communicators that are the foundation of our work. Our work is not, the article argues, founded in the ability to classify records or to design systems that store, locate, retrieve, and deliver records. Our critical skills lie, rather, in our ability to listen to the needs of our clients, to mediate between their needs and the resources available to us, and to help our clients navigate in the world they are making by categorizing and guiding them to records and distinctions that will make them better leaders.

**31**

RIDING OUT THE APOCALYPSE:  
THE OBSOLESCENCE OF  
TRADITIONAL ARCHIVY IN THE  
FACE OF MODERN CORPORATE  
DYNAMICS, Paul C. Lasewicz, 22:61.

In the past decade, corporations have undergone change at a very rapid rate,

but corporate archives and archivists have not. Historic models of assessing archives' effectiveness do not mesh well with current corporate culture, which is heavily reliant upon decreasing staff and increasing emphasis on new technology. Past practices depended on increasing numbers of users, leading to a demonstrated need; this is no longer relevant in an environment of downsizing and outsourcing. With less in-person contact and more on-line research, archivists have to find new ways to evaluate their services. The author recommends that corporate archivists rethink their conventional roles by being more flexible and becoming involved in new areas, such as knowledge management.

**32**

A ROOM OF ONE'S OWN:  
WOMEN'S ARCHIVES IN THE YEAR  
2000, Kären M. Mason and Tanya  
Zanish-Belcher, 24:37.

The number of repositories dedicated to collecting women's papers has grown substantially in the past quarter century, with no fewer than 15 established after 1990. This article analyzes that trend, arguing that activists—as well as scholars and archivists—have been at the forefront in establishing these new archives. As the fields of women's history, women's studies, and gender studies have matured, and as women's historians have broadened their vision to include diverse groups, geographic regions, and topics, significant gaps in the documentary record have become evident. Scholars, archivists, and activists have responded to that need with new collecting initiatives and new archives. The authors contend that women-centered reposi-

tories will continue to play an important role in the archival landscape in the coming decades.

**33**

**SAINT PATRONS: THE ROLE OF ARCHIVES IN THE ROMAN CATHOLIC PROCESS OF CANONIZATION**, Anna Stadick, 24:123.

The newest legislation on the process of canonization in the Roman Catholic Church has combined with the desire on the part of the Church to highlight the sanctity of laypersons to encourage an increase in the number of persons beatified and canonized. This article examines the role of archives in the canonization process as sources of documents about candidates for sanctity, information about their historical milieu, and expertise in judging the authenticity of documents. Using the cause of the Dominican Samuel Mazzuchelli and surveys of both archives and postulators for canonization causes, the article details the use of archives in specific canonization processes, as well as problems and advantages for both researchers and archivists. It argues that the focus on diverse candidates for sanctity will increase the use of many types of repositories, especially nonchurch archives, in the future.

**34**

**SELLING THE COLLEGE AND UNIVERSITY ARCHIVES: CURRENT OUTREACH PERSPECTIVES**, Tamar G. Chute, 25:33.

In order to remain a viable part of their institutions, college and university archivists must promote their collections and services to their constituencies on

and off campus. How should this be done? How do archivists reach faculty, students, administrators, and staff? This article focuses on eight college and university archivists and describes the outreach programs they have used, what successes and failures they have experienced, and why they believe outreach is essential. The author concludes that outreach must be central to what all archivists do, even at the expense of other archival functions, because it can solidify the archives' position within the college and university community.

**35**

**THE SHAME OF THE CITIES: PUBLIC RECORDS OF THE METROPOLIS**, Sam Bass Warner, Jr., 25:71.

Urban archives in the United States are in need of a great deal of improvement. All of the fundamental concepts need to be reexamined. This article offers several suggestions: that urban archives strive to provide residents with enough historical information to contextualize their experiences; that archivists and historians work together to evaluate collections and choose specialized areas of concentration; and that materials be collected from groups that are often ignored, especially activists and people of color. The author recommends placing more emphasis on systematic sampling and collecting images. Originally presented at the 1971 Annual Meeting of the Society of American Archivists in San Francisco. [Republished in the special anniversary issue, *Four of the Best from Our First 25 Years*. Originally published in *Midwestern Archivist* 2:2 (1977): 27-34.]

**36**

**SPOILS OF WAR: THE FATE OF EUROPEAN RECORDS DURING WORLD WAR II**, Linda Barnickel, 24:7.

During wartime, ammunition plants, key river crossings, and even entire cities are military objectives. Seldom does one think of archives as such an objective. However, the possession and exploitation of records and archives during wartime is an important means of military power and control. This article will introduce the concept of "intelligence value" as it applies to records, followed by an examination of military forces in Europe during World War II and their behavior towards archives and records, particularly those of civil and political origin.

**37**

**STRATEGIES FOR MANAGING ELECTRONIC RECORDS: A NEW ARCHIVAL PARADIGM? AN AFFIRMATION OF OUR ARCHIVAL TRADITIONS?** Philip C. Bantin, 23:17.

The emergence of electronic records has initiated a spirited debate on archival methodology and practice. In this article, the author summarizes the concepts and strategies proposed by archivists, on the one hand, who advocate employing traditional archival methodologies to manage electronic records, and those, on the other hand, who recommend reengineering the management process and implementing new techniques and strategies. These concepts and strategies are reviewed in the context of three archival functions: custody, appraisal, and description. In the conclusion, the author offers some suggestions on how one might begin the quest to become an

informed player in electronic records management.

**38**

**SWITCHING THE VACUUM INTO REVERSE: A CASE STUDY OF RETROSPECTIVE CONVERSION AS COLLECTION MANAGEMENT**, Mark L. Shelstad, 23:135.

This article explores how a retrospective conversion project at the University of Wyoming's American Heritage Center became a vehicle not simply for improved access (a traditional objective of on-line cataloging), but also for reappraisal and a variety of other collections management initiatives. The article also examines in depth a collection management option—deaccessioning—that became available following the completion of the project.

**39**

**"TO APPROXIMATE JUNE PASTURE": THE DOCUMENTATION STRATEGY IN THE REAL WORLD**, Timothy L. Ericson, 22:5.

An NHPRC-funded grant allowed archival repositories in the Milwaukee, Wisconsin, metropolitan area to undertake a test of the documentation strategy framework. The two-year project attempted to better define the universe of documentation, analyze existing holdings, and outline specific areas of interest by participating institutions. Archivists, records managers, museum curators, and librarians participated along with records creators and record users. The article argues that the documentation strategy project did not fulfill any of its original goals due to both a lack of incentives for cooperation and an infrastructure that was too weak to support the work of the project. Even

so, a number of positive outcomes reinforce the value of cooperation in achieving common goals. [Indexer note: There is a letter to the editor in response to this article from Judith Campbell Turner published in 22:2.]

**40**

**TOWARDS A FRAMEWORK FOR MANAGING ELECTRONIC RECORDS IN SCIENTIFIC RESEARCH**, Kalpana Shankar, 24:21.

This paper discusses scientific record keeping in the context of current theories of electronic records management. It describes the role of the laboratory notebook and the advent of electronic record keeping in documenting research. This paper also describes weaknesses of existing models of electronic records management with respect to scientific research. Gaps in the understanding of scientific records, organizational culture, and the warrant for scientific record keeping point to a need for developing a framework for evaluating electronic scientific records. The paper concludes with a proposal for further research into developing a framework that would take into account problems described in the first part of the paper.

**41**

**UNDERSTANDING AND USING EARLY NINETEENTH CENTURY ACCOUNT BOOKS**, Christopher Densmore, 25:77.

Because of the renewed interest in local and community studies, archivists and manuscript curators are reassessing the informational value of business and institutional records. Account books and other business records, originally preserved because of their asso-

ciation with an individual or the early years of a community, or as documentation of economic history, are often the most significant surviving records of the early years of a community. Frequently, they constitute the only non-governmental record of the lives of many ordinary people. While not as readily intelligible as diaries, letters, newspapers, and other forms of prose documentation, account books kept by individuals and small businesses may be easily interpreted once their basic format is understood. [Republished in the special anniversary issue, *Four of the Best from Our First 25 Years*. Originally published in *Midwestern Archivist* 5:1 (1980): 5-19].

**42**

**THE VOLUNTEER PROJECT CHALLENGE: A MUSEUM ELDERHOSTEL™ SERVICE PROGRAM CASE STUDY**, Laura Graedel, 23:117.

In March 1996, the Museum of Science and Industry (MSI) in Chicago hosted the first Museum Elderhostel™ Service Program in the United States. Elderhostel is an independent, non-profit organization that offers adults aged 55 and over the opportunity to attend lecture series and to participate in service projects throughout the world. For one week, 50 Elderhostel volunteers researched, cataloged, cleaned, and rehoused three-dimensional and archival artifacts in MSI's collections. Since March 1996, MSI has hosted six additional Elderhostel service projects, the most recent of which occurred in September 1999. This article describes and evaluates the Elderhostel Service Program at MSI, using the February 1997 project as its

example. The archival component of the project is the focus of the case study and practical tips are included for those planning a similar project. The study provides perspective on how archival volunteer programs in general can be managed effectively.

**43**

**WAITING FOR THE GHOST TRAIN: STRATEGIES FOR MANAGING ELECTRONIC PERSONAL RECORDS BEFORE IT IS TOO LATE**, Adrian Cunningham, 24:55.

Over the past decade there has been a considerable quantity of research and published literature that has tackled the issue of electronic records. Almost all of this work, however, has had a governmental or large organizational focus. In the field of personal records, the challenges posed by electronic records have been largely ignored. This paper considers why so little attention has been paid to the management of personal records in electronic form. It revisits suggestions made by the author in 1994 and considers whether or not those suggestions are still viable in the light of the intervening years of research and implementation experience. The paper argues that the strategies suggested in 1994 are still worth pursuing, but that other strategies can also be explored. The paper concludes by calling upon personal records creators to help ensure that we can preserve a durable and reliable body of electronic evidence of human endeavor for the benefit of future generations.

**44**

**WORDS AND MUSIC: UNDERSTANDING THE VALUE OF TEXTUAL CONTENT ON COMMERCIAL SOUND RECORDING LABELS**, Robert Pruter, 25:57.

Textual content on the labels of commercial phonograph records is an important document for music research, serving as a basis for building discographies and writing music histories. Yet the research value afforded by disc textual content has not been understood or appreciated by sound archivists. This article explains the kind of textual information that researchers use with the aim of helping sound archivists fully appreciate how their collections can be used. A full understanding of the value of this textual content can help sound archivists make appraisal, preservation, and cataloging decisions.

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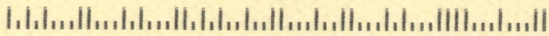
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