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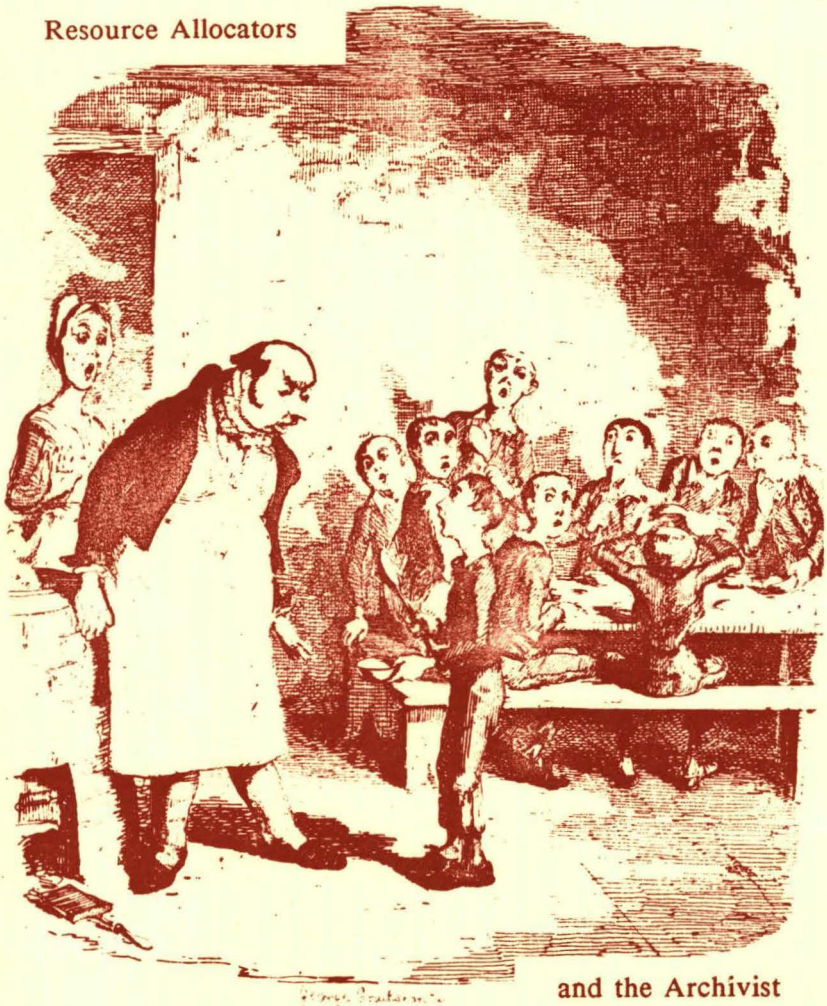
Resource Allocators



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Lessons Learned and to be Learned in Intergovernmental Appraisal

Kathy Roe Coker

Seneca, Roman politician, poet, and essayist, succinctly echoed the Roman view of cooperation, efficiency, and practicality when he wrote "one hand washes the other."[1] Centuries later archivists are still struggling to learn and apply Seneca's maxim. Although archivists have not successfully implemented Seneca's maxim in the realm of cooperative appraisal, they have for some time recognized the need.

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1 Quoted in George Mariz, "Multiple Use of a Survey: Training, Guides, Records Management, and Beyond," *American Archivist* 42 (July 1979): 301.

In July 1977 the Commission on Federal Paperwork published its report on *Federal/State/Local Cooperation.*[2] The commission selected a number of areas which, in its view, "delineate[d] the systematic issues that are the root cause of red tape and paperwork within the intergovernmental system. . . ." Among them was the "concurrent jurisdiction" at the federal and state level "over the lives of citizens." Two of the commission's thirty-four major findings are germane to the archival profession. The commission recommended that agencies "engaged in information collection should establish a procedure to identify the potential for satisfying both Federal and State information requirements through contracts or cooperative agreements executed individually with the States. . . ." and that state and local officials should assure that information collection and dissemination practices are developed. . . to meet the needs of Federal, State, and Local government." While archivists may or may not agree with the mechanics of the commission's recommendations, they can appreciate the commission's call for intergovernmental cooperation in the area of information management.

In the archival profession, there has been a similar call for cooperation and, at the same time, a recognition of the obstacles to that cooperation. This was especially apparent in the 1983 state assessment report made to the National Historic Preservation and Records Commission (NHPRC) by the grantees. In his report on state government records programs, Ed Bridges wrote that the "cohesion required for an effective overall public records program becomes virtually unobtainable" when records management is separated from archives. While he was commenting on a specific debate, the underlying message is clear. He called for cooperative attempts to improve archival conditions nationally. Bridges

2 Federal Paperwork Commission, *A Report of the Commission on Federal Paperwork, Federal/State/Local Cooperation* (Washington, D.C.: Federal Paperwork Commission, July 15, 1977), 2-3, 5.

depicted conditions of state archives as "a small, haggard band of defenders surrounded by forces that threaten to overwhelm them and desperately struggling to survive."[3] Addressing statewide functions and services, Margaret Child concluded: "Unfortunately, one of the overriding impressions left by these reports [the state assessments] is that each state is bound and determined not only to go it alone but to reinvent the wheel wherever and whenever possible."[4] On the local government records level, Richard Cox wrote that one of the main reasons given for the neglect of local records was the "poor relationship between state archival institutions and the local governments."[5] Inherent in all these reports is the cry for more cooperation between state and local governments in handling the abundance of documentation created by society.

The bounteous documentation is further multiplied by its redundancy--redundancy stemming from, among other causes, this age of xerography, computer technology, and the overlapping and interrelated functions of government at the federal, state, and local levels. One characteristic of modern government records is their repetitiveness. A local government's records may be duplicated by a state agency's records. Several state agencies involved in a particular program may have copies of the same documents in their files. This occurred in South Carolina, for example, with the American Revolution Bicentennial Commission which involved at least the state archives and the Department of Parks, Recreation, and Tourism. Because the state and local government

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3 Edwin C. Bridges, "Consultant Report: State Government Records Programs," in *Documenting America: Assessing the Condition of Historical Records in the States*, Lisa Weber, ed. (Atlanta: National Association of State Archives and Records Administrators, 1984), 3, 12.

4 Margaret Child, "Consultant Report: Statewide Functions and Services," in *ibid.*, 53.

5 Richard Cox, "Consultant Report: Local Government Records Programs," in *ibid.*, 21, 22.

participate in federal programs, duplication exists, too, in federal agency records. The problem only grows in magnitude when it is considered that states and local governments share in the same federal programs. This ever-multiplying mushroom of repetitive documentation requires pruning. Cooperative or intergovernmental appraisal can be an effective tool in pruning the ever-growing, repetitive documentation.

Intergovernmental appraisal requires the integration of records appraisal at the federal, state, and local levels. It is a comprehensive approach to determining the values of records which, like the flow of information, transcends governmental divisions and barriers. Records are not created in a vacuum nor should records appraisal be performed in one. The concept is not as novel as is its implementation. Schellenberg urged in *Modern Archives* that, "government records that contain information on a particular phenomenon should be appraised in relation to all other documentation on that phenomenon. . . ." He believed that "federal archivist[s] should consider whether the same or similar information is available in other forms or places. . . . The records universe," he added "is not limited to the physical records of the generating agency but includes any source or agency that contains the data."[6] The "records universe" is not limited by divisions between seats or echelons of government, nor need or should archivists limit their appraisal strategy to the particular generating agency or its place within the federal, state, or local hierarchy. The proliferation of modern records accompanied by the decrease in resources makes such an approach impractical. Not only is it impractical, but it also runs the risk of preserving duplicate information while fostering ignorance about gaps in documentation. In order

6 Theodore Schellenberg, *Modern Archives: Principles and Techniques* (Chicago: University of Chicago Press, 1956), 149.

to achieve balanced documentation, archivists must apply an intergovernmental appraisal strategy to federal, state, and local records.

Equally important and, indeed, essential to this strategy, is the lateral and vertical integration of records management and records appraisal programs. These two interdependent functions need to interact at the state or local level respectively and across or between governmental divisions. A program lacking such communication is in many cases alien to the very flow of information and documentation. While not always the case, the state may formulate a policy independently or under federal direction while implementation often occurs at the local level. Documentation of the given program exists at all three levels. An integrated, intergovernmental appraisal strategy discerns the different levels of documentation making it possible to judge the values of the records, and at which level or levels balanced documentation can best be achieved.

Intergovernmental appraisal is facilitated at the South Carolina Department of Archives and History by the department's comprehensive and integrated approach to records management and records appraisal. The state and local records management programs are currently under the direction of one of the department's five assistant directors. Until recently the records appraisal function was directed by the deputy director and the appraisal archivist. This function, along with personnel, has been transferred to the assistant director for state and local records management. Under both the old and new administrative organization, when appraising local records schedules the archivist has the advantage of the state records appraisal perspective from which to analyze local records schedules. One case in point concerned seventeen records schedules for Cheraw County's police department. The department had a considerable backlog of incident reports. These were original reports of felonies or incidents and the pertinent facts surrounding the offenses. In South Carolina local police departments are

required to file crime reports with the State Law Enforcement Division (SLED). SLED operates the comprehensive Uniform Crime Reporting System. From this system SLED produces thorough statistical reports. At the state level these reports were scheduled for permanent retention. The county's incident reports and criminal profile were considered to be documented adequately and, therefore, scheduled for destruction when no longer of legal or administrative use to the county. This same rationale was employed in justifying the destruction of the county's Booking Report, Case Number Log, Case Files, Arrest Cards, and Criminal History File. Similarly, the state highway department maintains and reports statewide accident data in a published format. This warranted the destruction of the county's accident reports.

In a case involving Charleston County School District's implementation of the United States Department of Agriculture's child nutrition programs, no adequate financial summary of the county program on the state level was found. Documentation did exist, however, on the state level of policy and procedures governing the program and coordination between the state department of agriculture and the county school district. To obtain balanced documentation the county fiscal record was scheduled for permanent retention and the duplicated county administrative files for destruction.

A far more complicated and time consuming appraisal project concerned 612 cubic feet of paper records and 878 reels of microfilmed records of the Department of Social Services. The noncontinuing record series, Client Information Summary Sheet (CIS) Verification Files, spanned the dates from 1937 to 1980. The series documented client information for eligibility and authorization for issuance of public assistance awards. More specifically, the records--at least the paper records--are part of the Client Information Summary System implemented in 1976 as a method of maintaining and controlling data associated with assistance

payments. It is a quality control effort intended to detect fraud cases among recipients. The CIS files, however, are distinct from the case files which are in the county offices and separately scheduled.

The files include diverse forms and certain demographic, programmatic, and financial characteristics of the recipients. At first it was believed the records would be of value in documenting the public assistance program and its recipients from its early beginnings following passage of the Social Security Act in 1935 to the more recent past. That view began to change as the appraisal project continued. One problem was that much of the information was coded. The extent of the coding increased as the records became more recent. The paper records were heavily coded when compared to the microfilmed records (1936-1976). The earlier microfilmed records (1930s) included some narrative comments made by caseworkers. By the 1970s, the form was completely coded. No key to the code accompanied any of the records. The search for a key turned up only a current one. It was useless in trying to reconstruct the obviously frequently updated key.

To determine whether or not the information was documented sufficiently elsewhere, another search encompassing both federal and state records and resources was conducted. Two federal studies (March 1977 and March 1979) and a 1979 state study were found to provide programmatic, financial, and demographic statistical information on South Carolina's program. This was coupled with information on the public assistance programs available in the agency's annual reports and the agency's monthly statistical reports scheduled for permanent retention. The monthly reports date from 1938. Also uncovered was a more recent yearly state report, the Recipient Characteristics Study-Income Maintenance report, which promptly was scheduled for permanent retention.

As another part of the comprehensive appraisal strategy, letters were sent to ten other state archives or historical societies who were identified as having appraised or had plans to appraise similar public welfare client sheets and/or case files. Replies were received from seven. The replies, especially from the New York State Archives and from the Wisconsin Historical Society, reinforced the initial appraisal decision concerning the value of the earlier records and the increasing doubt over the need to retain the later records. None of the respondents accessioned the client information sheets.

In the end, this intergovernmental and interinstitutional appraisal strategy convinced the appraisal archivist to recommend that the paper client information sheets be destroyed, that the earlier microfilmed records be retained for the 1930s and 1940s, and that another review be made of the county case files for the purpose of determining whether or not at least the earlier case files should be retained.

Other examples could be cited exemplifying the attempts in intergovernmental appraisal, efforts especially on the state records appraisal level which involved searching through available National Archives and Records Administration (NARA) guides, inventories, and other finding aids, and contacting NARA officials. Appraisals at this level are not as easily accomplished as those at the state and local levels. In one case, while State Forestry Commission records were being appraised, it was discovered that aerial photographs taken by the then Soil Conservation Service in the 1930s were duplicated at NARA but on silver nitrate film. Because the film had not been converted to safety film yet and for ease of reference, the decision was made to retain the agency's copies. In other cases, searches were made in vain to find evidence that state or local records were documented on the federal level, but it was not always possible to be certain that all resources had been exhausted.

That uncertainty has no doubt plagued others and is a definite obstacle to intergovernmental appraisal. To make intergovernmental appraisal successful, a change is required in the "go it alone," reinvent-the-wheel mindset. Archivists get so involved in their own institutional appraisals that they often do not see beyond those institutional walls. That mindset itself is antagonistic to the very concept of intergovernmental appraisal. Archivists must break those mental barriers before they can truly communicate and cooperate with each other vertically and laterally across governmental divisions.

One aspect of that cooperation is the sharing of appraisal experiences and decisions which will help in identifying duplicate information as well as gaps in documentation. The *Midwestern Archivist* and the *American Archivist* have begun publishing case studies sections, which is a beginning.

Often, however, it is difficult to obtain access to archival literature needed during an appraisal project. There have been some attempts to prepare bibliographies on appraisal and other topics, such as Julia Marks Young's "Annotated Bibliography on Appraisal."[7] But, these are not long-term, ongoing efforts. As Malvina Bechor found in her study "Bibliographic Access to Archival Literature," the systematic creation of effective finding aids is not keeping pace with the increasing number of literary products.[8]

One possible solution to the problems involved in information exchange is a recommendation made by Victoria Walch in a National Association of Government Archives and Records Administrators's (NAGARA) study, *Information Resources for Archivists and Records Administrators: A Report and Recommendations*. She suggested the creation of an archives and records information center (clearinghouse),

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7 Julia Marks Young, "Annotated Bibliography on Appraisal," *American Archivist* 48 (Spring 1985): 190-216.

8 Malvina B. Bechor, "Bibliographic Access to Archival Literature," *American Archivist* 50 (Spring 1987): 243.

the designation of the NARA library as the official depository for printed archival and records related material, and the development of NARA's bibliographic data base.[9] At a June 1987 follow-up meeting to Walch's report, NARA expressed its desire to transform its library into a centralized national depository for material on archives and records administration.[10]

Such a depository and its bibliographic data base should encompass the trans-border flow of data. Archivists in this country need access not only to the work and literature of their American counterparts but also to that of other archivists and information personnel around the world. This will be a challenge. While the United Nations Educational Scientific and Cultural Organization (UNESCO) has published bibliographies on archival matters,[11] much remains to be done in the international transfer of information and in breaking what one academic librarian has called the "stalemate on international information policy,"[12] which was perhaps only aggravated by the United States's withdrawal from UNESCO. While the technology is available to transcend geographic barriers, archivists and other information managers must be knowledgeable of that technology and be willing to use it.

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9 Victoria Irons Walch, *Information Resources for Archivists and Records Administrators: A Report and Recommendations*, (Albany, New York: NAGARA, 1987), 22, 31-32.

10 National Historical Publications and Records Commission, "Report and Conference on Archives and Records Information Exchange," *Annotation* 15 (October 1987): 3.

11 See, for example, Frank B. Evans, *Writings on Archives Published by and with the assistance of UNESCO: A RAMP Study* (Paris: UNESCO, 1983).

12 Robert V. Williams, "The Role of Intergovernmental Organizations in International Information Transfer and Policy," *Special Libraries*, 79 (Winter 1988): 5, 6.

A clearinghouse and publication of case studies in journals will help in improving access to printed material, but there is still the problem of sharing information on institutional holdings and the unprinted data on appraisal projects and decisions. For instance, it is at times difficult to discern exactly what the National Archives retains among its holdings on a particular program, which interferes with effective intergovernmental appraisal. To help archivists in wading through what sometimes seems to be a maze of bureaucracy and records, perhaps a liaison office or officer could be established within, for example, the Office of Records Administration (ORA) similar to the liaison officer NARA provides to federal historical offices. The Records Administration Information Center (RAIC), a records management information clearinghouse, opened by the ORA in January 1986 is certainly a step in the right direction.

Archivists need more cooperative efforts along these lines. One cooperative project which already promises to be of assistance in realizing intergovernmental appraisal is the Research Libraries Information Network (RLIN). Sharing of appraisal information across state lines is one of the project's goals. That information should also be shared laterally and vertically along state and local government records management and appraisal lines.

In May 1987 the author sent a questionnaire to the seven RLIN participants. Replies were received from three institutions. Those replies indicate that local and municipal government records schedules are not being entered yet into the data base. When asked how the institution would rate the usefulness of the data base in appraising records, one replied highly useful,[13] another moderately useful,[14] and the third said, "Except for studying what other states are

13 Laren Metzer, California State Archives, Sacramento, California, June 1987.

14 Alabama Department of Archives and History, Montgomery, Alabama, 24 June 1987.

considering entering as appraisal data, . . . [it had] not regularly used appraisal information."[15] When asked whether RLIN had helped in the identification of duplicated record series and information at the state and local levels, all three responded no. One attributed this to the "small size of the data base and the novelty of the project. . . ." The respondent added, "We envision the eventual need and usefulness of this type of comparison."[16] The need and usefulness for this comparison is long overdue.

On the individual state level, state archives should take the lead with local government assistance in establishing, implementing, and disseminating a statewide collection management policy for local government records. Many states, such as South Carolina, have done so. The policy should be flexible enough to recognize and meet distinctive needs between local governments.

In addition, improved lines of communication are needed between the state archives and local government officials to improve their poor and often strained relationship. As Victoria Walch points out in her NAGARA study, professional archivists and local government officials "have been the most vocal in calling for improved information exchange mechanisms."[17] State archivists should have learned from the days of centralized local records retention at the state archives of the need for and rewards of a cooperative approach or strategy.

The state and local records management and appraisal programs need to be more integrated, thereby enhancing communication and cooperation between archivists and records managers. The state archives could work with the state library to achieve better bibliographic control over

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15 Minnesota Historical Society, St. Paul, Minnesota, 18 June 1987.

16 Alabama Department of Archives and History.

17 Walch, *Information Resources for Archivists and Records Administrators*, 5.

printed and unprinted material which in turn could become part of regional and national data bases. But, as Margaret Child warned, archivists must not fall continued victims to tunnel vision and the "starting from scratch" mentality.[18] That is, existing bibliographic networks, such as the Educational Resources Information Center (ERIC), may suit or be adapted to archival needs. Walch found that the Information Resources's clearinghouse acquisitions director is receptive to increased coverage of archival literature.[19] As seen with ERIC and in the case of Machine Readable Cataloging (MARC) and the MARC-Archives and Manuscripts Cataloging (AMC) format, archivists can cooperate, learn, and share with and from other professions.

Cooperating with other information management professions, continuing and broadening the scope of ongoing projects like RLIN, establishing a clearinghouse on trans-border archival literature, sharing unpublished information on institutional holdings and appraisal information, improving communications between state and local governments, integration of records appraisal and records management programs, and sessions like the one on intergovernmental appraisal at the July 1987 NAGARA meeting are steps in the right direction. They are harbingers of the changing mindset from going it alone to cooperative strategies. Such strategies are essential if archivists are to realize the practical goal of intergovernmental appraisal.

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18 Child, "Cooperative Report: Statewide Functions And Services," 52.

19 Walch, *Information Resources for Archivists and Records Administrators*, 10.

Fitting In: The Automation of the Archives at Northwestern University

Patricia Cloud

By now the archival community has begun in earnest, though not always cheerfully, to participate in that special sector of the information revolution which involves the MARC (Machine Readable Cataloging) formats created by the Library of Congress. Most especially, many archivists are beginning to make use, or planning to begin to make use, of the recently published USMARC Archival and Manuscripts Control format, generally known as the MARC-AMC format, or simply AMC.[1]

Despite the heroic work which has gone into making AMC an appropriate tool for control of archival materials, that format carries for many the strong hint of matters and manners librarian rather than archival and, therefore, is not altogether welcome. The current and future problem of

1 For an introduction to the AMC format, see Nancy Sahli, *MARC for Archives and Manuscripts: The AMC Format* (Chicago: Society of American Archivists, 1985).

contrasting method may be most acutely felt in academic settings, where archivists so often work within college and university research libraries which have adopted or are now adopting automated systems wholly unprepared to accomodate the needs of archival collections. It is useful to address some aspects of the experience of the Northwestern University Archives as it has grown alongside Northwestern Online Total Integrated System (NOTIS)--the automated system developed, used, and marketed by the Northwestern University Library--and to consider in particular the manner in which the Northwestern University Library has implemented the AMC format.

The Northwestern University Archives was established in 1935, in the university's new Deering Library. Since 1973, its holdings have grown exponentially to ten thousand cubic feet, and its quarters have expanded from the one room it occupied in 1935 to an entire floor. The university archives's processed holdings include the records of several university presidents, minutes of the meetings of the Board of Trustees, and financial records dating from 1853. Administrative records from the various schools and departments of the university are also held, as are the curricular and administrative records of the university's Traffic Institute. Personal papers of university faculty include those of journalist and philosopher Baker Brownell, political scientist Kenneth Colegrove, Bergen Evans, Jean Hagstrum, Ernest Samuels, and Lilla Heston. The Northwestern University Archives collects faculty publications and has complete or nearly complete runs of all university-generated serials--over eight hundred fifty titles. The university archives's photographic collection comprises over eighty thousand still photographs and motion pictures documenting persons, buildings and campus events from the earliest days of the university to the present.

NOTIS, on the other hand, began life in 1970; in that year, the new Northwestern University Library building opened, and an automated circulation system began operating in the new building. At first, the system was simply an automated method of keeping track of circulating material. Then, in October 1971, the library began its first major shift from manual to automated procedures when it instituted automated technical services (ordering, cataloging, and check-in of monographs and serials). The system has from its beginning been based on the use of MARC format--the standard method of storing cataloging information in machine readable form--which is governed by the Library of Congress's Cataloging Distribution Service. In 1977, the system--NOTIS--underwent its first major revision, and its gradual development since has included the full automation of cataloging, acquisitions, authority control, serials control, and a public access catalog in 1980. (The card catalog was closed in that year.) Refinements have been made to the system throughout its life; it is now in its fourth generation.[2]

NOTIS is an integrated system. This means that all library functions--acquisitions, cataloging, circulation, etc.--are linked. A single bibliographical record for each title is the basis of the system. Each bibliographic record is linked to information such as classification number, location, and a bar code number for identification of each item. Records may be found by searching the author/title and subject indexes generated by the system, or by standard numbers (such as International Standard Book Number (ISBN), or International Standard Serial Number (ISSN), or Library of Congress number). Keyword and Boolean searching, which permit searching full bibliographic records for specified words or combinations of words, are in the test stages.

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2 See James Meyer, "NOTIS: The System and Its Features," *Library Hi Tech* 10 (1985): 81-90.

In 1980, the university library began the sale of NOTIS to other libraries. The system is reliable and relatively simple to use. It has been functioning uninterruptedly at Northwestern University for over sixteen years. Its use is growing briskly; NOTIS is now installed at over sixty sites.

All of this has been good news for the Northwestern University Library but, for the most part, of only distant relevance to the Northwestern University Archives. As recently as 1982, the university archives pursued its mission without benefit of computer assistance of any kind, including word processing. This reflects only in part the relationship of the university archives to NOTIS, for until the revision of the Library of Congress's USMARC Archival and Manuscripts Control format in 1985, only the serials collection, a small proportion of the holdings of the university archives, was considered appropriate for control using NOTIS. A file for the serials collection was instituted in 1983; the file now contains nearly nine hundred records. Word processing, which was instituted library-wide in 1983, was and remains a concern separate from NOTIS.

Nevertheless, the university archives and NOTIS, both of which have developed and grown dramatically over roughly the same period of time, have followed distinct trajectories which have for much of the time seemed to be taking them even farther from profitable concord. The difficult relationship which has existed at Northwestern may be emblematic of relationships in many academic libraries which are confronting automation. This relationship can be analysed under three informal rubrics of unequal weight: communication, legitimacy, and oversight.

Communication concerning automation has been predictably both a complicated and a troubled procedure in the relationship of the Northwestern Library Archives to the Northwestern University Library. There are, for example, at least four administrative units which have direct responsibility for some aspects of the use of NOTIS for the control of

university-generated serials. The serials department approved the set of data elements to be used in each record. The Northwestern University Library's Information System Development Office (ISDO) opened the file and established the various protocols associated with it. The technical services department established the necessary authority guidelines and routines to be followed, and the Northwestern University Archives creates individual records. Each of these administrative units remains involved in the use and maintenance of this file and participates in ongoing consultation, review, and oversight. Decisions concerning the online catalog at the Northwestern University Library involves, therefore, many persons, each with particular constituencies and concerns. Questions and problems are often, despite the best of intentions, inadvertently bounced from one decision maker to another, and delays are predictably very common.

Communications among these several units and the archives have been made more difficult by the lack of a shared language between archivists and librarians. "Processing," to choose an obvious example, is a quite different activity for the librarian and the archivist. In the one case, "processing" involves cataloging and classifying a particular item, whether monograph or serial. For the archivist, "processing" involves weeding, sorting, boxing, arranging, and describing material which can range in extent from a few folders to many hundreds of cubic feet and more.

The questions which arose during consultations at Northwestern have included how to classify an archival series within an automated system designed to accommodate only monographs, serials, or monographic series. (Archival series have elements in common with all of these but should properly be in a class by themselves.) Archival materials rarely have item identifiers such as a call number, and archivists would be horribly burdened by having to use them. This fact was at first difficult to communicate to the librarians who oversee the NOTIS system at Northwestern, as

was the function of series level identification numbers. For their part, the archivists involved were at first unfamiliar with a host of terms associated with library and library automation procedures.

Clarity is most readily achieved in a climate of mutual respect, which encourages the cheerful admission of uncertainty and unfamiliarity of terms, and such now is the happy state at Northwestern. This fortunate situation has been hard won at the price of much persistence on the part of the university archives and an equal measure of patience and considerable helpful instruction from the overseers of NOTIS. Nevertheless, despite the abundant good cheer and accessibility of other units in the university library, the weight of learning and adaptation have fallen squarely on the staff of the university archives. The archivist has had, in this case, to learn to speak the language of the librarian and to interpret archival matters in that language. It is difficult to see how else the trials of communication between these two professional groups will be moderated in such settings.

Archivists in library settings will almost always be in the position of the supplicant when questions concerning automation are addressed. The distinct professional background of the archivist often does not involve formal training in the technical processing of library material. Learning proper cataloging procedures, including MARC tagging and *Anglo-American Cataloging Rules, 2d ed. (AACR2)*,[3] is a challenge in the best of circumstances, and these procedures can seem hopelessly arcane and forbidding to the uninitiated. Mastery of these principles is vital, nevertheless, and it is neither surprising nor unreasonable that librarians charged with the oversight of automated catalogs will require some evidence of this mastery before accomodating the newcomer.

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3 (Chicago: American Library Association, 1978).

Before the university archives began to create records in NOTIS, archives staff were trained in the use of the system and introduced to cataloging principles in AACR2. Long-term consultation, extending over almost a calendar year, was required before permission to create records was granted. For the creation of AMC records, the archives staff went through training offered in 1984 by the Research Libraries Group (RLG), consulted at first on a weekly basis with members of the cataloging department, and made use of various pertinent professional publications, such as the standards described in Steven L. Hensen's *Archives, Personal Papers, and Manuscripts: A Cataloging Manual for Archival Repositories, Historical Societies and Manuscript Libraries.*[4] The right to create records in the NOTIS database has not been lightly granted at Northwestern, and AMC records created by the university archives are still subject to special scrutiny in certain cases.

At a time when the question of the value of the Masters in Library Science in archival work is still the subject of debate, it is of interest to note that an archives staff member's possession of the MLS apparently was not required in the development of the relationship between the university library and the university archives at Northwestern. The initial automation project carried out by the university archives--the creation of serials records in NOTIS--was proposed and executed by a staff member who did not have the MLS. The grant-funded project described below to create AMC records in the bibliographic utility of the Research Libraries Group, the Research Libraries Information Network (RLIN), was completed by a new staff member who possessed an MLS degree. The cataloging department and the ISDO showed an evenhanded skepticism toward the records created for both projects and have never suggested that a professional degree is either necessary or sufficient to the task of good cataloging.

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4 (Washington, D.C.: Library of Congress, 1983).

Of central concern to the cataloging department, as well as the systems managers at Northwestern University Library, has been oversight of authority control, or the routine maintenance of standards for the creation of headings within the NOTIS database. When problems of consistency are encountered, they are handled by the use of "error" reports within the library. Ongoing consultation with the authorities librarians helps to coordinate the establishment of headings. Nevertheless, since many headings in the system naturally are originated by the archives, such as those for departments within the university, proper understanding of cataloging principles in choice and form of heading is crucial.

In 1984 and 1985, the archives participated in a grant-funded project to create AMC records in RLIN and, for this project, created 1,168 such records. These records are currently accessible in RLIN, but have not yet been transferred to the local NOTIS database. This is in part due to differences between the implementation of AMC in RLIN and in NOTIS. Although the variations are only slight, the transfer requires some special programming. The priority assigned this tape transfer will be determined less by technical problems than by policy regarding priorities in the university library.

The university archives has and will always have a relatively small number of records--probably never more than fifteen hundred--to create within a system which has over nine hundred thousand bibliographic records. The archives staff members are newcomers to the use of automated systems in an institution which has been in the vanguard of such developments since 1970 and relative newcomers to the use of MARC and AACR2 in an institution which is justifiably proud of its rigorous cataloging standards. As a constituency, therefore, the university archives has been, like Dorothy in the Wizard of Oz, both small and meek.

Additionally, NOTIS's success has not been without some costs to the archives. ISDO has been greatly pressed by the competing needs of the Northwestern University Library and NOTIS. (Formation of NOTIS Systems, Incorporated, as a separate, for-profit corporation owned by Northwestern University, distinct from the Northwestern University Library, occurred on 30 August 1987.) NOTIS Systems, Inc. has begun a process of official and ongoing communication with the archival community in supporting the newly formed Society of American Archivists's NOTIS User's Group, which should provide a suitable mechanism for continued consultation between NOTIS and its new archival customers. Many projects of heroic scope have been in process for some time, including redesign of the index and implementation of the MARC holdings format. There has been little time to spare for small files such as those in the university archives. So, in part due to the low visibility of the university archives as a NOTIS constituent and in part to the great pressure under which ISDO has operated, the university archives was not consulted in any significant way concerning the NOTIS implementation of AMC.

ISDO was concerned chiefly about the potential length of the AMC record--given the facility for extensive narratives within the record--and about the potential number of added entries for an AMC record--since archival materials can generate a very high number of access points. Both total record length and the total number of indexed headings have a significant effect on the overall efficiency of operation of an automated system. At Northwestern University, potential problems were averted by mandating a total record length of slightly over four thousand characters. This is the across-the-board record length limit at Northwestern University Library, but, it is important to stress, this limit is specific to Northwestern; NOTIS users elsewhere can set their record length limit as high as approximately eight thousand characters.

Shorter record length and fewer access points contribute to the efficient operation of the NOTIS system and keep response times within a reasonable range. These limits also make full use of the new format almost impossible. While working with RLIN, in which record length limits were so high as to be of virtually no concern, the Northwestern University Archives created records ranging in size from 761 characters to 6,668; no more than a handful were over 4,000 characters, but a significant number were over 3,000. With use of the archival control segment for tracking processing activities, the NOTIS record limit on many records would be exceeded within a fairly short time.

It is possible, of course, to create shorter records, particularly by making use of linking entry fields in the AMC records and creating subseries level records. Nevertheless, the 4,000 character limit interferes significantly with full use of the archival control fields, for detailed tracking of actions concerning a collection. It interferes also with full use of the AMC note fields for extensive narrative descriptions. Since these two features are among the most useful aspects of the AMC record and are the most specific to the archival profession, the possibility of defining a higher record length limit for AMC records was proposed, but ISDO felt that this would decrease system efficiency too dramatically to be considered.

An additional difficulty with AMC as first implemented by NOTIS has been the inability to mask from public view those MARC fields (541 and 583) designed to be used for the recording of information concerning the acquisition and processing of material. If used as intended, these fields should properly be masked from public display. While at Northwestern the university archives has been required to canvass all processing units in order to request that public display of these fields be suppressed for all records in all formats, other repositories will undoubtedly seek a more

flexible solution to the problem. NOTIS Systems, Inc. is currently reviewing this aspect of their AMC implementation.

NOTIS can, of course, be used in different ways at different institutions. It is possible to create numerous separate files and have them accessed by patrons from a menu screen. However, there is at Northwestern a commitment to the single file for all units and all media. The single file is a point of orthodoxy in part because of the simplicity it promises for patrons. In addition, separate files have been proposed where it has been thought that something less than the standard authority work was appropriate, where, for example, backlogs of certain kinds of material were to be handled on a special basis. Generally speaking, separate files of this sort have proven unpopular with both the systems and cataloging departments at Northwestern. The university archives has always had as its goal the integration of its MARC records in the library's online catalog and, for this reason, has gone to considerable effort to maintain the required cataloging and authority standards. Creating records has often taken longer than was hoped, but the additional time spent has gone far toward winning valuable trust from the cataloging department and ISDO, both of which are responsible for protecting the integrity of the existing database.

The librarians who have developed and who now oversee NOTIS look for a basic knowledge of the tools of the trade and a basic sensitivity to the problems they face. As negotiations have progressed over the last several years, the university archives has succeeded in demonstrating competence as system users, respect for the requirements of the system, and willingness to learn and to accomodate as well as to make requests. The creation and maintenance of the university archives's small serials file in NOTIS enables the university archives to approach the ISDO as a NOTIS user. Of help, too, has been participation in creating AMC records in RLIN, which was inspired in part by a wish to gain

experience in the use of the new format and to begin the creation of records representing the university archives's most important materials. Working with the AMC format in RLIN helped to increase the visibility and legitimacy of the university archives as a user of MARC.

Many years ago the university archives established automation as a high priority. In addition to the self-evident, potential progress in efficiency of file and record keeping, the use of automation at Northwestern University promised the integration of records representing the university archives's holdings in the university library's public access catalog and the resulting improved access to and visibility of the university archives's collections. These goals have been achieved in part, and this success has involved the university archives in extensive exchange and consultation with several departments of the university library. The process has brought some increase in understanding and visibility to the Northwestern University Archives within the university library. This and enhanced access to the university archives's collections have been purchased at the price of conformity to national and local cataloging standards and to the stringent requirements of the online system at Northwestern.

The initial costs of using MARC format in an automated system are unquestionably high, and the very real benefits of doing so are often less apparent at first. Creating proper catalog records for the university archives's serials titles, for example, took considerably longer than had been predicted. The system requires meticulous attention to recording title and author changes and to the maintenance of authority control; this ongoing work, as well, represents a greater than expected investment of staff time. An additional cost has been the trial of shifting from a system with record group access to publications to one which provides only author and title access. This has proven a frustrating adjustment for some staff members. On the other hand, since under the new system serials are filed strictly according to title (with

author and title changes recorded in MARC, according to AACR2), student filing errors, one a significant problem, have been virtually eliminated. Perhaps more importantly, the NOTIS serials file provides a detailed record of all university archives serials holdings, which did not exist before, and permits the online check-in of serials with minimal trouble. The time-consuming tracking of title and agency name changes and authority records creates a constantly growing, sophisticated reference tool, as easily used by naive searcher as by those familiar with the university archives's record group system. On the strength of this example, it would seem that the benefits of automating with MARC will emerge gradually and not without significant adjustments. That the long-term benefits outweigh the costs seems beyond question.

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FEATURES

The AMC Format: A Guide to the Implementation Process

William E. Brown, Jr. and
Lofton Wilson

Use of the USMARC Archives and Manuscripts Control (AMC) format and the automation process necessary for archival and manuscript repositories to utilize a computer information system designed to centralize the storage, manipulation, and retrieval of bibliographic and collection management data are new phenomena for many archivists. Information systems such as OCLC (Online Computer Library Center) and RLIN (Research Libraries Information System) provide an attractive opportunity for repositories which desire to participate in the use of AMC at the national level, while other systems are operational at the local, state, and regional levels. Great strides in archival awareness and

automation expertise have been made in recent years, and the archival profession now can better use the many benefits available in automated systems.[1]

The development and implementation of the MARC AMC Format is a major component of this automation literacy, and archivists should strive to make informed choices concerning the implementation of automated systems and the use of the AMC format. This article will briefly delineate the process recommended for the coordinated integration of an automated system and the AMC format in archival and manuscript repositories. The experience of the authors lies with RLIN, although many of the same principles and practices apply to other automated/manual applications of the AMC format. Repositories with no immediate or long-term plans to join or implement an automated system may still benefit from the planned implementation of the AMC format as outlined herein, because of the opportunities for standardization that it offers. This article, however, will focus on the implementation of the AMC format within an automated system.

Decisions regarding the use of any automated system and the AMC format should be based upon a clear understanding of the needs of the institution, the products desired from the system and the AMC format, the capabilities of the system in question, and the potential of the automated system to expand and adapt to the changing needs of the institution. The basic steps required to answer these points are applicable to all sizes and types of repositories and are necessary whether the system is to operate on the local, state, regional, or national level.

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1 For general information on implementation of the AMC format, see William J. Maher, "Administering Archival Automation: Development of In-House Systems," *American Archivist* 47 (Fall 1984): 405-17 and Nancy J. Sahli, "Implementation and Application of the AMC Format," *AA* 49 (Winter 1986): 9-20.

There are two major phases to consider in this dual process: planning and implementation. Each phase is a time-consuming, learning process which demands much of the archivist. The planning phase involves the following steps:

1. Background research
2. Review of basic documents on automation
3. Site visits and consultations
4. Analysis of workflow and information sources
5. Contract with utility
6. Design of workplan and workforms
7. Staff adjustments

Background research should consist of a general analysis of professional literature on the subject of automation. Appropriate starting points begin with an analysis of many works cited in archival and library journals and publications. Literature relating to business and office automation may also offer information at the introductory level.

The basic documents on automation produced by and for archivists is a rapidly increasing body of literature. Central publications include the *MARC Formats for Bibliographic Data* (MFBD). Prior review of other publications may be more beneficial than immediate immersion in those documents. The Society of American Archivists (SAA) publication, "Data Elements Dictionary," provides standard definitions for relevant terminology. In *Archives and Manuscripts: An Introduction to Automated Access*, Tom Hickerson supplies background information on the subject of automa-

tion and the handling of archival and manuscript materials. A glossary of terms, charts, and examples of workforms are included.[2]

There are three crucial works to consult and to acquire as ready reference sources to facilitate the implementation and use of the AMC format. "Archives, Personal Papers, and Manuscripts, A Catalog Manual for Archival Repositories, Historical Societies, and Manuscript Libraries" by Steve Hensen provides the necessary definitions and structure to create bibliographic descriptions for archival and manuscript collections. Two more recent publications, both by the SAA, are *MARC for Archives and Manuscripts: The AMC Format* by Nancy Sahli and *MARC for Archives and Manuscripts: A Compendium of Practice* by Max Evans and Lisa Weber. These volumes are fine resources for understanding the technical array of alphanumeric identifiers, tags, subfield codes, and indicators which predominate within the US-MARC AMC format. The introduction to Sahli's work is particularly useful to those individuals searching for an overview to the implications of the AMC format and automation.[3]

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2 Society of American Archivists, National Information Systems Task Force, *Data Elements Used in Archives, Manuscripts, and Records Repository Information Systems: A Dictionary of Standard Terminology* (Chicago: SAA, 1984). Library of Congress, Automated Cataloging Division, MARC for *Bibliographic Databases* (Washington, DC: Library of Congress, 1980). H. Thomas Hickerson, *Archives and Manuscripts: An Introduction to Automated Access* (Chicago: SAA, 1981).

3 Steven L. Hensen, *Archives, Personal Papers and Manuscripts: A Cataloging Manual for Personal Papers and Manuscripts* (Washington, DC: Library of Congress, 1983). Max J. Evans and Lisa B. Weber, *MARC for Archives and Manuscripts: A Compendium of Practice* (Madison, WI: State Historical Society of Wisconsin, 1985). Nancy J. Sahli, *MARC for Archives and Manuscripts: the AMC Format* (Chicago: SAA, 1985).

There are several thesauri and reference works developed by archivists and librarians in order to standardize the use of access terms. Anglo-American Cataloging Rules, second edition (AACR2), for the determination of personal and corporate names, the Library of Congress Subject Headings (LCSH) for topical subjects, and several form and genre lists including *Form Terms for Archives and Manuscripts Control* compiled by Tom Hickerson and Elaine Engst at Cornell University are all highly useful.[4]

Armed with this information, an archivist can then consult with fellow professionals and visit as many operations as is practical in order to explore the direct ramifications of automation and the implementation of the AMC format on the workplace. It is useful to contact archivists using similar bibliographic utilities, in order to evaluate and consider the current applications of equipment and software in the field and to acquire examples of records, products, and workforms.

The archivist should examine planning documents and user aides and question users regarding problems, unforeseen costs, and difficulties in technical and personal adaptation to the automation process. The changes created by the automation process and the degree to which the individual operation has utilized the potential of the system should also be identified. Plans for similar workflow and systems analysis of current operations can then be made. The workshops currently sponsored by the SAA and generally held in conjunction with regional archival association meetings provide an excellent opportunity to explore these issues with fellow professionals.

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4 *Anglo-American Cataloging Rules*, 2d. ed. (Chicago: American Library Association, 1978). Library of Congress, Subject Cataloging Division, *Library of Congress Subject Headings*, 10th ed. (Washington, DC: Library of Congress, 1985). H. Thomas Hickerson and Elaine Engst, comps., *Form Terms for Archival and Manuscript Control* (Stanford, CA: The Research Library Group, Inc., 1985).

The analysis of workflow is likely to be the most time-consuming, interesting, and profitable part of the planning process. This is true in both small operations (one to five people), where all tasks may be shared, and in larger operations, where individuals are often assigned specific responsibilities. In either case, it is vital to document the flow of work throughout the institution and the corresponding record-keeping process. The automation process will neither eliminate nor lessen any burdens of work or record keeping unless the documentation process is fully explored. It is unlikely that all such problems will be solved with this analysis, but the widest possible exploration of activities will help to create support for the system and realistic expectations of its capabilities.

The analysis of administrative files, finding aids, catalog tools, records management schedules, reference forms, and other local documents and information sources will provide the basis for determining the types of information (date elements) to be maintained in AMC records. Similarly, consideration of the products desired from the system--catalog cards and/or online records, printed guides, collection management reports, statistical documents, and other information will help determine system requirements. At this time an analysis of the costs and requirements of a retrospective project to incorporate all or a definite percentage of the institution's holdings will also help determine the scope of the conversion process.

The analysis of workflow may require the assistance of in-house systems experts. If no local help is available, the possibility of utilizing an outside consultant is worth consideration. The long-term advantages of proper planning frequently support the expenditure of resources at this time. Based upon such information gathering, investigation, and study, the appropriate choice for an automated system should not be difficult. Other factors such as financial resources, time constraints, and institutional commitments may impinge upon the freedom of choice. The ability to justify and

communicate effectively the rationale for the preferred system can often influence the administrative decision-making process.

Assuming the decision is made to participate with an automated network such as RLIN or OCLC, the following steps also precede implementation. Negotiations with the utility selected involve the ordering of equipment (terminals, printers, sound enclosures, suitable furniture), the signing of purchase and/or rental contracts, and the completion of the many financial and technical details required to install and operate a functional system. Other local requirements may include the allocation of space for equipment and personnel, the installation of electrical and phone lines, and the acquisition of training and reference documents which support use of the system and the AMC format.

Final preparation for use of the system will require documentation of work routines, which should flow readily from systems analysis work. The use of flowcharts is often an effective method of illustrating this process and supports the elimination of unnecessary or redundant steps. It is also possible to consider the design and content of AMC workforms for entering bibliographic and collection management data. Utilities provide an array of examples and may also have samples of products available from the system.

In devising workplans and workforms it is essential to involve current staff. The cooperation, support, and expertise of staff is a prerequisite to success. In the course of preparation it may also be necessary to alter the staff configuration to accomodate the system and the new workflow. There may be new or different responsibilities for current and new staff members. Individuals involved with the planning and development of a system are generally more receptive and responsive to automation (and the necessary learning process). The compilation of in-house manuals and user guides (in addition to system supplied

ones) will facilitate the learning process, encourage the use of the system, and document the local practices and procedures in operation.

At this point, the planning and evaluation process is complete, the hardware is in place and operational, and the system is ready for use. The second phase, implementation, involves the following steps:

1. Train staff
2. Verify information
3. Perform data entry work
4. Order products
5. Review, evaluate, and analyze system

The process of training staff is begun in the planning phase and formalized here. A review of instructional manuals and guides, a full discussion of the features and capabilities of the system, and an analysis of examples, both those prepared in advance and those created during training, should precede the full-scale hands on exposure to the automated system. This training period will allow for experimentation with the input process, permit the exploration of searching strategies, and help foster a curiosity for the potential uses of the system. The practicality of record modification, the immediacy of accession-level control, and the variety of reference and research products available--if demonstrated and understood--will help staff accept any changes in descriptive practices, reference service, and collection development activity. The same process of training will be necessary to understand and utilize the MARC AMC format.

The capacity of an automated system to reach multiple users in remote locations places a high demand upon the accuracy of records (even higher than the demand that archivists place upon records). The preparation of bibliographic records from existing data, such as finding aids or

catalog cards, may require the confirmation of information one more time. Recognition that the information provided is available to unseen researchers in numerous locations, researchers who are not privy to the local "interpretation" of what is stated on descriptive tools, should be recognized. Here lies the significance of the use of standard terminology. The Library of Congress Subject Headings (LCSH), for example, allows for consistency of access to records within the same repository, within the same database, and within the same automated system. The utility of subject guides, both for individual repositories and for multi-institutional projects, is then increased.

The actual input of data is best performed by those who are trained in the data entry process and who possess the necessary skills. It is useful for those involved with the system to understand data entry procedures, but efficient and accurate data entry is best left to support staff. The editing of records does require the expertise of one familiar with the technical requirements of the system and the descriptive and cataloging standards of the appropriate authority (AACR2). The archivist should allocate time to spend here.

Feedback will be important to the short and long-term success of this process. The ability to adapt procedures and practices to meet the needs of staff and researchers and the concurrent need for staff and researchers to recognize the technical requirements of the automated system is truly a symbiotic relationship. Understanding and investigating the changing nature of archival work in such an environment is a challenging role for the archivist. The potential of automated systems is only beginning to become a reality. How this potential develops and the degree to which it is utilized is a responsibility all archivists share.

Proper utilization of the AMC format lays the foundation for the effective accumulation and exchange of information regarding archival collections. Systematic, inte-

grated use of automated systems extends this foundation throughout the profession and its clientele. To ensure progress in the archivist's professional mission to preserve, promote, and provide access to the historical record, development and adaptation of administrative, technical, and managerial skills must continue. Modern information systems will, to a large degree, determine the future path and function of the archival profession.

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Athens and Sparta: The Archivist and Resource Allocators

Harley P. Holden

One result of the social, economic, and technological changes and developments of the past two decades has been an increased monetary pressure on educational institutions. Rare is the academic or other nonprofit institution that has not found it necessary to mount a fund-raising campaign. Economic pressures on educational institutions are not new nor are efforts to solve them. What is new is the intensity and pervasiveness of monetary accountability, the professionalism employed in fund raising, and the web of involvement that affects everyone in an administrative position, no matter how minor. Fiscal responsibilities that once were confined to the province of presidents, treasurers, and governing boards now fall within the accountability of all levels of administration. Archives administrators are faced not with a problem but with a challenge: How do archives get their share of the pie from resource allocators and through the efforts of professional institutional fund raisers?

Harvard University is well known for having the largest endowment of any American educational institution, although some of its administrators would be hard pressed to prove it from experience. This endowment almost entirely is a twentieth century development. A perusal of records in the university archives reveals the distress of the governing boards when John Hancock got busy in Philadelphia and neglected (some have used stronger words) the university's finances. John Thornton Kirkland, president from 1810 to 1828, expanded the university's influence and student body

representation well beyond New England. He was not a good money man, however; and when Nathaniel Bowditch, the Great Navigator, became a member of the Harvard Corporation in 1826, he found an institution in serious financial difficulty. He got rid of the treasurer, and President Kirkland soon resigned due to poor health.

Bowditch put things in order and set the university on a road to solvency and expansion from which it seldom has deviated. It was around this time that Harvard begin to use the phrase "every tub on its own bottom," a philosophy of accountability still very much in effect that places fund-raising responsibilities on each faculty and other administrative units within the university. This philosophy filters down within faculties to individual units, and at budget time "every tub on its own bottom" is an oft repeated phrase.

Harvard had only two presidents between 1869 and 1933, Charles William Eliot and Abbot Lawrence Lowell. Under their leadership, the university underwent tremendous expansion in its physical plant, in the number and variety of courses offered, and in its educational influence nationally. This was all well and good and reflected the growth and economic expansion of the country as a whole. Such expansion, however, requires capital to initiate and even more capital to continue. Under Eliot, Harvard made its first organized fund-raising efforts. A. Lawrence Lowell, patrician of patricians, contributed partially to the salaries of some of his faculty and built a number of college buildings with his own funds; yet even President Lowell had to beg. He had his own expansion plans and had to support the great physical and educational heritage left to him by Eliot.

The foregoing is offered as an example of how financial needs grew and how they were met in one large university up to the early decades of this century. Scope and scale might vary among educational institutions, but the fundamentals of meeting financial needs were similar. Fund

raising tended very much to be a personal endeavor conducted only by the most senior officers of an institution. While at one time a college president might deal directly with an Andrew Carnegie, an Andrew Mellon, a John D. Rockefeller or a Henry Ford, in more recent decades institutional representatives have to deal with the Carnegie Corporation, Mellon Foundation, Rockefeller Foundation, and Ford Foundation. They must deal with the professional bureaucrats who run these foundations. It takes professional money raisers to deal with professional money givers--individuals trained to deal with competition for funds, with tax codes, investments, government influence and regulations, and the myriad complexities that today surround the transfer of money from individual to institution and from institution to institution. While a college president remains central to fund raising with the largest of individual and corporate donors, actually and symbolically, he cannot be expected to master all the intricacies of fund raising and allocation, nor to know and represent every facet of interest in a large institution.

Thus, in the past half century and particularly in the past two decades, there has been a large increase in professional fund raisers and professional resource allocators. Where once the vice-president, budget officer, and fund raiser were alumni with social charm or some talent for financial affairs who might look upon the college archives with nostalgic support, they now tend to be nongraduate professionals who may move from institution to institution every few years. Their job is to keep the institution solvent and--with minds unclouded by nostalgia--they hone in like ferrets on institutional units that are expensive to operate but produce little or no income. Unfortunately, archives with their sister libraries, museums, and manuscript repositories often are targets for examination and fiscal justification.

Archives and libraries are expensive to operate and part of this has come about through the social and technological change referred to above. The Harvard University Archives may be used as an example. Twenty-seven years ago when an apprentice went to work in the Harvard archives at $3,200, the entire budget for salaries for five full-time staff, supplies, and other line items was $58,000. At that time the only technical equipment was two ancient mechanical typewriters and two telephone instruments. During the passage of a quarter century, the staff has tripled and the budget is thirteen times as large as it was in 1960. Inflation is the largest factor in this budgetary increase, but there are other factors as well. Archivists like to complain about salaries, but in most institutions salaries are better now than they were in 1960, including benefit packages with medical, dental, life insurance, disability insurance, and retirement plans. Some colleges and universities are unionized, placing a constant pressure on the college or university for larger salaries and more benefits. The ancient typewriters have been replaced by complicated typewriting instruments, computers, and word processors. Harvard has a fairly new building with environmental controls, and the two telephone instruments have increased to ten. There is a photocopy machine, microform reader, a printer, a RLIN (Research Libraries Information Network) terminal, and some audiovisual equipment. There are also all of those acid-neutral supplies and preservation materials. This all costs money and, proportionally, costs a lot more money than it did when there were a few staff members, two beat-up mechanical typewriters, and two telephone instruments.

The same situation is affecting libraries and other units in nonprofit institutions. While much of this scenario is true only for the larger academic archives, elements of it are true for all colleges and university archives. Social changes and technological developments have made expectations higher, and the realization of these higher expectations costs money. When these changes coincide with a long period of national

economic stringency, archives administrators are faced with the challenge of getting their share (at least) from resource allocators and fund raisers.

Administrative placement and a strong mandate from the college or university governing board are essential. The archives has to be defined clearly as a functioning unit to receive broad internal recognition. It does not matter a great deal where the archives is placed administratively as long as it is clearly and firmly placed. The majority of college and university archives are included administratively in the library system. Others fall within the province of the chancellor, a vice-president, or the legal office. For nearly a century and one-half, the Harvard archives has been a part of the university library. While the archives administrator has to be wary constantly about becoming the "poor child" of the library and has to compete with other library units for budgets and special funding, the top library administrator, by training and background, usually has some affinity for the archives and can serve as a useful buffer in times of financial pressure. An individual archives administrator may establish strong bonds of support more easily with top administrators if he does not have to work through the administrative level represented by the library director, but the top administrators may soon be gone, the archivist may soon be gone, and the institution's archives, without the administrative cushion of the library, may be subject to the whims of new top administrators who do not realize the importance of archives.

To function effectively, an archives does need a clear and firm mandate from the institution's top administrative body, establishing the archives's responsibility for collecting, maintaining, preserving, and providing information from the institution's official records. Without this mandate the archives is likely to serve only as a repository for memorabilia of the college or university. While this is an important function for an archives, it is not likely to appeal

strongly to the professional and pragmatic resource allocators. They are more interested in practical services and that is where records management comes in.

The Harvard archives did not have a fully organized and professional approach to records management until 1982. However, for a half century previous to that date it had accepted university records in a piecemeal kind of way and had made it a policy to provide information from these records to administrators as quickly and efficiently as possible. When the budget and staff cuts came in the middle 1970s, the libraries, and particularly the rare books and manuscripts library, felt the effects severely. While the archives did not grow for some years it was not cut. Indications, gleaned over a period of time, were that the archives performed a practical service to those offices that determined budget allocations, and so had been spared. This convinced archives staff more than ever that a records management program was needed--a need that became a reality in 1982.

For five and one-half years, under Harvard's first records management officer, Richard Haas, the thrust of Harvard's records management program was to provide a practical and efficient service to the university for maintaining records, arranging for the destruction of records of term value, and supplying information from records retained. While much remains to be accomplished, Rick Haas should be given great credit for increasing the Harvard archives's visibility in a positive way within the university and both directly and indirectly for the increased support the archives has received in recent years. If the records management program had not been placed administratively under the archives, the archives would not have this pragmatic leverage.

Most who choose archives as their professional field enjoy serving scholars and other researchers. In the case of the Harvard archives a large percentage of this use is from

outside the university. Manuscripts, publications, and other memorabilia relating to the institution are interesting and a pleasure to share with others who are interested. In this way the archives functions like a library and particularly like a rare books and manuscripts library. It has been and continues to be clear, however, that the new professional breed of resource allocators, who often are not nostalgically connected with the institutions they operate, want practical results and care little about serving the greater scholarly community. For an archives to gain necessary support and to expand, it needs to provide a practical and clearly definable service. That is where records management enters the picture. By combining Athenian ideals with Spartan pragmatism, archivists have the best chance of gaining the support they seek.

Resource allocators and development officers have different administrative functions but, through their mutual monetary concern, work closely together. At the Harvard archives it is a policy to work closely with the development office. Fairly often a request comes in for an item that may evoke nostalgic generosity in a potential donor. An archivist should not be in business to give away collections and must consider professional ethics in how he cooperates. However, the archives does keep a certain amount of duplicates of Harvard publications, programs, brochures, and photographs on hand (more than is often practical), and generally, some item from this trove will do the trick. The item may seem small and insignificant but the gesture of cooperation has been made. When the archives cannot meet a request, alternatives are suggested.

Several years ago a telephone call came from one of the new breed of planning officers. He said that Speaker of the House Tip O'Neill was coming to Harvard and that the new Vice-President for Government and Community Relations (a new breed title) wanted to present O'Neill with a nice nineteenth century print of the university. The planning officer thought the archives probably had something lying

around. The archives does have some fine nineteenth century prints of Harvard, but none with which the archives staff was willing to part. Realizing that pressures might be brought to bear and that money probably was not a consideration, the archives staff called George Goodspeed of Goodspeed's Book Shop in Boston and determined that he had very nice copies of two Harvard nineteenth century prints and would be happy to sell one of them. The archives staff called the planning officer back, told him what was available, and suggested that perhaps the new vice-president would like to take a look in the archives at its copies to see what he might like to order from Mr. Goodspeed. The vice-president, a personable fellow, came over and looked at the prints. He found one he liked, ordered it from Mr. Goodspeed, and left feeling pleased and knowing something about the university archives. The incident did, however, produce some anxious moments.

During Harvard's $350 million fund-raising campaign, the archives received a call from the president's administrative assistant. The next day the president and dean of the faculty were paying a call on one of the university's largest donors, who shall be called Mr. Crowninshield for the purposes of this story, hoping to tap once again an oft tapped source. Would it be appropriate to attach his name to a functionally named building, and if they needed another choice, what relation was Mr. Crowninshield to a woman with the same surname after whom part of another building was named? Dropping all other activities, the archives staff quickly determined that the building did not bear the original donor's name at his request and reminded the president's office that the university was embroiled in a controversy with the original donor's family over the potential sale of a gift of land. Adding the name Crowninshield to the building certainly would not help the situation. However, the archives staff determined that the

part of another building named after a Crowninshield was named after Mr. Crowninshield's mother. He might wish to have his name attached to the building as well.

These are examples of how to work with resource allocators and development officers by using the present and past resources of the archives. While this is a generally optimistic picture of dealing with allocators, all the archives's experience has not been positive. The archives has a long way to go to meet what its staff perceives as support needs from the university. Automation efforts are only in the early stages, and adequate staff for processing collections is a constant struggle. The stereotypes mentioned in the Levy report have validity.[1] The 350Th. Anniversary Committee generously saw that the archives was well supplied with the special collections of photographs and lithographs produced for the event, costing several thousand dollars per collection. They did not, however, come across with money to deal appropriately with the hundreds of hours of official sound recordings, video tapes, and motion picture film produced for the occasion. Although the archives administrator has worked with the development office for many years and knows some of the staff quite well, he was at first startled and then discouraged recently to have a new developer who has floated around several of the ivy league colleges ask him whether his job was full-time--meaning not as head of the archives but as the entire staff of the archives.

Archivists dealing with professional resource allocators and development officers whose goals are pragmatic and who may have little knowledge about the goals and functions of an archives have a constant responsibility to educate about what they do and why they do it. If in this continual process archivists can effectively and even aggressively show

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1 Sidney J. Levy and Albert G. Robles, "The Image of Archivists: Resource Allocators' Perceptions," (Chicago: Society of American Archivists, 1984).

resource allocators how to use the archives as a practical information resource and evince a willingness to assist them with goals and functions, then archivists may reap rewards. Archivists will not get very far if they consider dealing with resource allocators as a problem. Instead, they should look upon it as a challenge, a necessity for survival and growth in an atmosphere where economic pressure appears to have weighted the scales of fortune more in the direction of Spartan pragmatism than in the direction of Athenian ideals.

Harley P. Holden is Curator of the University Archives at Harvard.
This article was originally presented at the annual meeting of the Society of American Archivists, New York City, 5 September 1987.

NEWS REELS

In 1987 the Alabama State Records Commission approved a Micrographics Laboratory Certification Program. Administered by the Records Management Division, the program will provide certification for state, county, and university micrographics labs as well as private vendors filming the public records of Alabama. The certification program is designed to make clear what the commission believes to be the acceptable minimum standards for producing long-term microfilm and to recognize the laboratories that meet these standards.

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The Alabama County Records Commission was replaced by a more expanded Local Government Records Commission through an act of the state legislature. The new commission can approve records retention schedules for all the units of local government, whereas the previous commission had authority for only county records. Appointments to the new body will be made before the end of 1987. The Director of the Alabama Department for Archives and History (ADAH), Ed Bridges, believes that the bill will "provide an excellent foundation for the ADAH local government program."

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The University of Alabama Archives is searching for someone from Kansas who is interested in acquiring an original copy of the first constitution of the State of Kansas. The university has contacted Wichita State in an attempt to swap a manuscript of equal value that would be appropriate to the collections of the university archives.

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The Records Center for the Florida Bureau of Archives and Records Management has created a computerized inventory system using Rbase System V. The system permits the entering and searching of records information, as well as the printing of reports, destruction notices, and bills for records storage and purchase of boxes. A copy of the user's manual, which thoroughly documents the system, is available from La Donna Wages, System Project Analyst, R. A. Gray Building, Tallahassee, Florida, 32399-0250.

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The City of Tampa, Florida received a grant of $61,017 from the National Historical Publications and Records Commission (NHPRC) to develop a city archives program. The city plans to locate, identify, and accession the city's archival records; review the city's records schedule and disposition requests to ensure the appropriate archival appraisal criteria were followed; and establish procedures for public awareness and use of the records.

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The Genealogical Society of Okaloosa County, Florida is compiling a biographical and historical record of early settlers. It is interested in receiving information about these pioneers. Anyone having information is asked to contact Martha Rogers, Laurel Hill, FL (904-652-4165), or Eileen McCall, Fort Walton Beach, FL (904-862-8388).

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The Florida Bureau of Archives and Records Management, which hosted the 1987 Southeastern Archives and Records Conference (SARC), honored Edward N. Johnson for his "contributions to the Florida Archives and Records Management Programs." The award was presented at the

SARC meeting by Florida Secretary of State George Firestone. Johnson is currently serving as Chairman of the Policy Board for the National Information Center for Local Government Records and as a member of the Florida State Historical Records Advisory Board.

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The University of Kentucky Board of Trustees has named the reading room in the special collections department of King Library-North in honor of Mary Breckenridge Patterson of Washington, D.C. Patterson is a member of the Kentucky Breckenridge family. She lived in Kentucky while working with the Frontier Nursing Service in the 1920s in Eastern Kentucky. The library hopes to set up a Breckenridge Kentucky Room in the future to serve as both a museum and a reading room.

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The Louisville Free Public Library of Louisville, Kentucky, has been awarded a subgrant of $32,000 for the Major Urban Resource Library (MURL) project by the Kentucky Department of Libraries and Archives from Library Services and Construction Act Title I funds. Of the two Special Resource Collections to which MURL could be allocated, the library elected to strengthen its *Census on Microfilm, 1790-1910* holdings by purchasing all available census materials for the state of Virginia.

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The Georgia Department of Archives and History received $48,230 from the NHPRC to convene a national meeting of the state coordinators for the NHPRC records program and to support meetings of the state coordinators' steering committee.

The Georgia Historical Society received $88,340 from the NHPRC to arrange and describe the Central Georgia Railway collection.

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The University of Georgia Libraries has confirmed that rare books, maps and manuscripts are missing from its special collections. These materials, which could be valued at more than $1 million, were discovered missing after an eighteenth century letter supposedly in the university's collection was offered to a Philadelphia dealer. Some missing materials were found in the home of former acting head of special collections when his home was searched in December of 1986. The case is currently pending in the Georgia courts.

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The Royston Involvement Project by Pupils for Lifting Economy and Society (RIPPLES) has harnessed the energy of sixth-grade students to save the two oldest buildings in downtown Royston, Georgia. Students wrote letters to the owners of the buildings encouraging restoration, and when the buildings were sold to new owners, the students helped restore the buildings and put them to new uses. For their efforts, the students received a National Public Service Award from the Secretary of Interior.

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In the spring of 1987, Georgia College, Milledgeville, Georgia, dedicated a room in the Ina Dillard Russell Library in honor of the late James C. Bonner, Professor Emeritus of History, Georgia College. The Bonner Room is a closed stack area containing the college archives; newspapers from the 1800s; business records from local companies; manuscript

collections; Georgia materials; and Dr. Bonner's collection of primary source documents, professional and personal correspondence, and memorabilia. Included in Dr. Bonner's primary source materials are original land grants, Civil War correspondence, business and personal correspondence of early Milledgeville residents, old photographs of Milledgeville and Baldwin County, and other materials of interest to scholars of nineteenth century Georgia.

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Central Piedmont Community College, Charlotte, North Carolina, is planning a two-year project to develop an archives and records management program. Central Piedmont, which will celebrate its twenty-fifth anniversary in 1988, serves a yearly student population of approximately 50,000 in the greater Charlotte area. The project has been endorsed by the NHPRC.

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This summer the North Carolina State Archives opened its traveling exhibit on the state and the U.S. Constitution to the public. The exhibit was funded by Friends of the Archives and the N.C. Commission on the Bicentennial of the U.S. Constitution. The high quality facsimiles in the exhibit will be accompanied by a videotaped introduction and a complementary brochure. The opening of the exhibit was highlighted by an address by Acting Archivist of the United States, Frank Burke, on the Constitution and the Declaration of Independence.

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McKissick Museum at the University of South Carolina, Columbia, South Carolina, received a grant from the NHPRC for $56,410 for a two-year project to develop an archives

and records management program for the university. Founded in 1801, the University of South Carolina was the state's first institution of higher education and, by educating many of the state's most influential leaders, has had a significant impact on the course of its history.

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The University of Tennessee at Chattanooga, Tennessee, received $3,000 from the NHPRC for consultation on establishing an archival program. The institution was founded as Chattanooga University in 1886 and is now the only state-supported university in southeastern Tennessee.

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The National Information Center for Local Government Records (NICLOG), which is administered by the American Association for State and Local History (AASLH), has received new leadership through new grants from the NHPRC and the Mellon Foundation. The grants have enabled the AASLH to hire Marilyn Ryall as NICLOG project director. Ms. Ryall has worked for the city of San Diego as its first records officer, for the California State Archives and the Federal Archives and Records Center in southern California. The Joint Committee that guides NICLOG has elected a new chair, H.G. Jones, the curator of the North Carolina Collection at the University of North Carolina Library.

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The Southeastern Archives and Records Conference (formerly the South Atlantic Archives and Records Conference or SAARC) was the featured regional in the September

1987 issue of the Society of American Archivists newsletter. The article noted that SAARC "was the first regional archival/records management association in the country."

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The Society of Alabama Archivists and the Society of Mississippi Archivists have joined forces in proposing to other states in the southeast that a Southern Archives Conference (SAC) be formed. The new organization would meet every other year beginning in 1988 and would be governed by a committee composed of the presidents and vice-presidents of the member organizations. Tennessee, Georgia, and Kentucky archivists are considering the proposal at their fall meetings.

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The NHPRC has funded the following historical editing projects in the southeast during 1987: Duke University, Durham, North Carolina, $5,000 for *The Papers of Jane Addams*; University of South Carolina, Columbia, $23,173 for *The Papers of John C. Calhoun*; The Martin Luther King, Jr. Center for Nonviolent Social Change, Atlanta, Georgia, $45,000 for *The Papers of Martin Luther King, Jr.*; University of Tennessee, Knoxville, $1,476 for *The Correspondence of James K. Polk.*

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The following universities in the southeast received National Endowment for the Humanities (NEH) grants to microfilm and catalog newspapers: Louisiana State University $201,780 plus $25,000 matching; University of Georgia $417,441 plus $50,000 matching, and the University of Kentucky $274,942.

Reviews, Critiques, and Annotations

The Management of Oral History Sound Archives. By Frederick J. Stielow. Westport, CT: Greenwood Press, 1986. Pp. xviii, 158. Appendices, illustrations, bibliographies (for each chapter), index. Cloth. $35.00.

This relatively brief work, of six chapters and as many appendices, strives to provide "the practical information necessary for organizing and managing a sound archive, as well as the theoretical concepts that should underlie such an endeavor (xvi)." The work is not a comparison of existing systems, but rather "presents an idealized system that is drawn from the information sciences and the small universe of sound archives" (3). The focus is on the medium of magnetic tape and, as indicated by the title, on repositories which consist primarily of unique field recordings--the author's frequent mis-use of the general term "sound archive" notwithstanding. Following an introductory, perspective-setting chapter, Stielow includes chapters dealing with the theoretical basis of sound "archivy"; questions of legality and public relations; technical processing and organization of collections; microcomputer applications; and conservation.

As Stielow recognizes, many folklore and oral history collections are staffed by non- or semiprofessionals, or by "professional archivists and librarians who . . . are somewhat baffled by the lack of standardization and training" (3) in

the field. His book addresses this need for standardization. Though not uniformly successful in meeting this goal, there is much in this small book that is useful in codifying, or at least giving initial structure to, much homegrown and stilldeveloping archival theory and practice.

Most valuable are the chapters entitled "Relations with the Public and the Law" and "Conservation Management." In the first, Stielow laudably argues for an active role on the part of the archives/archivist in the projects which generate material for deposit. "Lamentably," he writes "the archive is most often at the end of a conveyor belt, receiving deposits but having little input in their formulation" (36). Rather than allowing this situation to continue, archivists should become aware of themselves as "conscious intermediaries and stewards of a cultural heritage, who promote communication within a complex chain of informants, interviewers, researchers, the public, tapes, machines, and a bureaucracy" (3). He continues this plea in discussing the role the archives should play in the community, by stating that the repository "can play a larger cultural role in building a community's identity and sense of self-worth" (40). This chapter also contains brief discussions of copyright and of ethics, which, if not comprehensive, provide good basic information and guidelines.

The chapter "Conservation Management" consists of a concise discussion of the basics of conservation of magnetic tape. Stielow includes an extremely brief history of sound recording; a quick rundown on hardware, with the assumption that the cassette recorder is the norm in collecting equipment; a basic treatment of the storage requirements for magnetic tape; and an outline of a program for the creation of preservation masters and user copies from original recordings. Again, the material given in this chapter is not exhaustive, but it provides solid, basic information for someone with little knowledge of or experience with magnetic recordings.

The chapter entitled "The Processing and Organization of Collections" is of mixed usefulness. Part of the chapter is devoted to presenting and discussing some sample forms and flowcharts which are quite valuable, particularly for the untrained audience that Stielow is striving to reach. Yet, he also leads the reader into the murky "alphabet soup" of contemporary cataloging--MARC, AMC, AACR2, etc.--a move which is guaranteed to frustrate and confound the uninitiated. At the same time, the discussion is too superficial to be of much value to the seasoned professional who knows the processing systems but needs specific help in dealing with oral history materials.

The chapter on microcomputer applications is likewise of limited value, though generally not through any fault of the author's. Pity the poor writer who has to deal with the ever-changing field of microcomputers for the academic press, with obsolescence virtually guaranteed by the time his words see the light of print! Writing in 1984, Stielow was working in a world where a microcomputer with 256K of random access memory was considered to be on the high side of adequate. Apart from equipment discussions, however, the overview of database management systems is, like the cataloging discussion, too general to be really useful for either the experienced professional or the neophyte.

In addition to the chapters dealing with practical matters, Stielow gives, in the chapter "Toward a Theory of Sound Archives," a brief but valuable account of the development of both the folkloristic and oral historical perspectives on sound archives. Stielow, who, through his training, has a foot in both camps, notes that the concerns of the two fields have converged through time, as oral historians have moved away from a focus on the elite and folklorists have expanded their horizons beyond simple collecting of genre items to broader studies of community and creativity.

All in all, the book has much to recommend it. It must be noted, however, that the price is nothing short of outrageous.

Paul F. Wells
Middle Tennessee State University

Thinking Back: The Perils of Writing History. By C. Vann Woodward. Baton Rouge: Louisiana State University Press, 1986. Pp. x, 158. Bibliography, index. $12.95.

No name has figured larger in the interpretation of southern history during the past half century than C. Vann Woodward. Many young historians gained their initial insights to the South by reading *Origins of the New South* or *Burden of Southern History.* Woodward's *Strange Career of Jim Crow* influenced the entire nation's understanding of racial segregation, its origins and influence. More than any other historian, living or dead, Woodward established the contours of how one approaches and understands the South, its society and culture. Whether his persistent influence resulted more from the extent of his research, the brilliance of his analysis, or the skill of his prose is still debated, but almost no one denies his influence.

During the past thirty years many have challenged his basic conclusions. They have denied that the "New South" which came into being after 1865 was really a sharp break with the South's past. They have challenged the extent of radicalism that the Populists represented. They have denied the extent of racial diversity. All, however, acknowledge their debt to him.

In *Thinking Back: The Perils of Writing History* one reads Woodward in his most erudite and reflective mood. The writing is excellent, witty, and almost like an informal chat. His rebuttal of his critics is uniformly kind and good spirited; usually, it is convincing.

The format of this book is a series of chapters explaining the context of the author's life from which each earlier book came and a summary of the current disagreement or criticism of it. Finally, he states his modifications or defense. Are there any books quite like this one? In order to appreciate fully the book, familiarity with some of Woodward's books is necessary. For those readers who are, this volume will prove a treasure.

Unfortunately, Woodward deals little with southern religion either in his original volumes or in this one. When he began his career, scholars largely ignored religion, and Woodward fits that pattern. When discussing religion during the Progressive era, for instance, he argues that the three major influences on religion nationally--ecumenism, liberal theology, and the social gospel--largely missed the South. Despite the lasting influence of his premise, it remains unconvincing. Southern churches, colleges, seminaries, and ministers demonstrate a great deal more diversity than Woodward supposes, although scholars are only now exploring the full range of that diversity.

Despite such quibbles, the reader who enjoys southern history or simply wonderful English prose should read this book.

Wayne Flynt
Auburn University

On Doing Local History: Reflections on What Local Historians Do, Why, and What it Means. By Carol Kammen. Nashville, Tennessee: American Association for State and Local History, 1986. Pp. 184. Bibliographies, index. Paper. $13.50.

A good novel makes the reader wait anxiously for the sequel; a good movie makes the viewer want to know more about the characters; a good book on doing local history inspires the researcher to investigate a community and share the details with neighbors. Carol Kammen achieves just this effect with her new book *On Doing Local History.* The volume is filled with notes about what makes good local history and good local historians. The American Association for State and Local History has performed a service to the historical profession by publishing this reference volume, which all local historians should read before researching or writing about the past of their community.

Although very little of the information in this book is new, local historians have never before had such a well-written, understandable guide to follow. Certainly, newcomers to the field (from ages twenty to eighty) should find the book invaluable. All local historians can benefit from the discussions about "what it is we do and the conditions and traditions in which we labor" (2). Kammen also reminds the reader that "local history" is part of "history." Regardless of its perceived greatness or uniqueness, a community is not an isolated unit into itself. Its past should be examined in a larger regional and national context to be understood properly.

This book should be of interest to most local historians whether they are college professors, as Kammen herself is, local historical society staff, county historians, graduate students, and even the stereotypical "blue-haired ladies in tennis shoes." Local history has traditionally attracted people from all walks of life. Studying the heritage of an area

contributed to community pride and to the growing social and public history movements. From China, where the earliest local history dates back 2,000 years, to the United States, where *Foxfire* and *Roots* did much to popularize such studies, the value of local history is becoming more apparent to everyone.

In this volume, Kammen discusses the variety of sources available for researching local history and the kinds of questions researchers need to ask to get the whole picture. Going beyond Chamber of Commerce "boosterism" takes in-depth research and critical, questioning minds. The author then progresses to the often burdensome task of communicating what was learned. Writings about local history then might be used for speeches to civic clubs, exhibit labels at local museums, newspaper columns, or books. Kammen points up the dangers of writing only about the positive aspects of the good old days and of describing life as if only white Anglo-Saxon Protestant males had ever inhabited the area. Amateur historians owe the field and their community more than such a narrow view. Local historians also owe their readers clearly written, informative accounts with judicial use of footnotes indicating where the facts came from and where the reader can go for more information.

Later chapters examine local history in the popular press--the countless newspapers and magazine stories which appear throughout the nation. Kammen offers suggestions for getting these materials accepted for publication; warnings about the hardships (weekly deadlines for little or no pay and high burn-out rates); and assurances as to the joys of being successful. Enlightening unseen faces about the past and preserving part of this heritage are the most local historians can hope to achieve.

Carol Kammen obviously enjoys local history and has fun both learning more about localities and meeting people along the way. The final paragraph of *On Doing Local*

History begins "Finally, enjoy." Reading this volume should help all local historians (and, it is hoped, their readers and listeners) have more fun as they go about their task of documenting an area's heritage.

Kaye Lanning
Troup County Archives

Archives and Public History: Issues, Problems, Prospects. Edited by Bruce W. Dearstyne. Vol. 8, No. 3 of *The Public Historian*, Summer 1986. 123 pp.

In *Archives and Public History: Issues, Problems, Prospects*, guest editor Bruce Dearstyne endeavors to "evangelize" to American public historians about the "good news" of professional growth in the field of archives in the United States and Canada. In many ways, however, this special issue of *The Public Historian* reveals to the reflective archivist even more about himself and the field at this moment in history--a snapshot of "public history."

Mr. Dearstyne, a frequent speaker and writer on matters archival, is well qualified for this cross-fertilization effort. This most recent work attempts a "searching analysis" and interpretation of recent developments in archives in order to increase communication, improve cooperation, and stimulate discussion between archivists and the public history community.

Archives and Public History contains articles by a number of archivists with expertise in the areas of government records and national archival affairs. Essays on government records; the development of archives and public history as disciplines; organization and advocacy among the historical and archival disciplines; and national planning for archives in Canada are framed by retrospective and prospective essays

on American archives. Eleven book reviews of recent works on archives, historical documentation, local history, and historic preservation conclude the work.

Dearstyne's introduction sets the tone for the entire issue: "The world of archives, sometimes viewed as placid and complacent by outsiders, is today spirited and alive with change" (6). The focus is on archivists as a community and on their progress in understanding and organizing themselves as a professional group. Archival work is progressing from an erstwhile "calling, field of specialization, and a proud occupation" to an organized national system and an established profession. Similarly, Dearstyne sees "a growing number [of]. . .concerned, forward-looking archivists [bringing] to their field a growing sense of energy, of deliberation, and of self-understanding" (6).

Larry J. Hackman's lead article carefully frames the succession of institutional developments and new systems--automated and otherwise--with which archivists have dealt. Richard J. Cox's essay locates the source of the friction between archivists and public historians in the latter's inadequate perspective and analysis of the disciplines it presumes to subsume and reminds public history educators that their own curriculum is not the final word on the education and training of archivists.

Edie Hedlin's survey of government records finds America's documentary heritage at risk because of cycle of poverty, brought on by a failure of leadership and of understanding, while Page Putnam Miller's chronicle details the progress made in organizing an advocacy coalition for government records and the rest of the nation's documentary heritage. Terry Eastwood limns a portrait of Canada's unique federal-provincial-territorial planning for archives since the 1970s and the similar importance of archival advocacy, and Larry Hackman concludes the issue with both a diagnosis of important trends and current barriers, and a prescription for a healthier American archival community.

Critics will point out that the editor's viewpoint lends a progressivist tinge to the issue; the emphasis on growing and dramatic change at times suggests embarkation into a golden age of American archives. In addition, the articles are heavily weighted toward government and public records; manuscripts per se are scarcely mentioned. Finally, it is curious that no mention is made of experience of the library world in its own efforts at professional development and fulfillment of its mission to preserve historical and cultural records of enduring value.

Archives and Public History is a fine summary of recent developments in public archives and the archival profession for public historians, archivists, and manuscript curators.

Lynn Roundtree
Louisiana State University

A Culture at Risk: Who Cares for America's Heritage. By Charles Phillips and Patricia Hogan. Nashville, Tennessee: American Association for State and Local History, 1984. Pp. xxi, 95. Illustrations, bibliography. Paper. $10.

A Culture at Risk represents the published findings of a 1983 survey of American historical agencies sponsored by the American Association for State and Local History (AASLH) and funded by the National Endowment for the Humanities. Using a random sampling technique of 1,000 institutions represented in the *AASLH Directory of Historical Societies and Agencies in the United States and Canada*, the research attempted to accumulate data on a wide range of issues important to historical organizations. While previous profiles of museums, historical societies, libraries, and archives have appeared in print, their scope was limited to

larger, more recognizable, and well-established institutions. *A Culture at Risk* casts a much wider net and attempts to suggest the broader patterns of practice that characterize those smaller programs that numerically dominate the local history field.

The survey results present a distressing picture of the current state of the private historical society and offer little prospect for marked improvement in the future. While the local history movement has experienced rapid growth and expansion over the last quarter century, the resources required to support these historical agencies have lagged far behind. More than 60 percent of privately funded organizations were established after 1960, but the vast majority had no more than a single staff member and operated on annual budgets of less than $50,000. More than half of the surveyed institutions were located in towns with a population of less than 25,000, sustained by a small membership and shaky financial resources. Most open their doors on a sporadic basis, yet many attempt to provide the full range of historical services to their constituents including exhibits, library and archives programs, lectures, tours, publications, and educational materials.

Of the surveyed institutions, only 3.6 percent identified archival work as the chief purpose of the agency, but the trends noted in the archives segment mirrored the larger historical picture. Nearly 60 percent of the archives emerged after 1960, and a large majority suffered from the same budgetary, staffing, and membership maladies that the survey found elsewhere. Archival agencies in the South constituted 10 percent of the survey, while 23.5 percent of the historical agencies polled hailed from this section.

A Culture at Risk does not offer any quick-fix solutions to the deep-seated problems of the small local history unit. Rather, it suggests that the long-term survival prospects for such groups are bleak. In a period of budgetary retrench-

ment, only the strong will be able to maintain their bases of support, while the collection and preservation of local history will suffer.

As with most surveys, one may question whether a 20 percent sampling of historical institutions provided an accurate picture of the field in its totality, but even allowing for some statistical aberrations, this volume raises such critical questions that it should be mandatory reading for any organization involved in the practice of history. The study further underscores the need for the historical profession as a whole to do a better job of defining their role in society and establishing realistic programs that their publics are willing to support.

Philip F. Mooney
The Coca-Cola Company

Presenting the Past: Essays on History and the Public. Edited by Susan Porter Benson, Stephen Brier, and Roy Rosenzweig. Philadelphia: Temple University Press, 1986. Pp. xxiv, 424. Illustrations, bibliography, index. $39.95.

Presenting the Past consists of eighteen essays which explore three aspects of public history: history as portrayed in popular culture; public sector history including preservation, museums, and archives; and people's history, especially community-based history projects. Well-chosen and often witty illustrations, which sometimes make the point better than the text, precede each article. The goal of these studies, most of which have previously appeared in the *Radical History Review*, is to encourage "a more pluralistic vision of the past" (xxii).

As might be expected, the quality of the presentation varies from author to author. Too often the content is marred by a style and viewpoint which is didactic, dogmatic, and strident. Roy Rosenzweig's essay on the evolution of *American Heritage* magazine and Michael Wallace's reflections on historic preservation prove notable and well-crafted exceptions. In spite of the prevailing dogmatism, most of the essays provide interesting information and insights into the interaction between cultural values and the presentation and uses of history. Surprisingly detailed notes, which supply content and source information as well as pungent comments on the historian's craft, supplement and complement each essay.

Archivists will want to ponder the relevance of Terence O'Donnell's analysis of the "pit falls of public history" to the profession's current preoccupation with our public image. And the essays in Section III, "People's History," especially Linda Shope's account of the Baltimore Neighborhood History Project, offer archivists both practical advice and thoughtful reflections on the how-tos and whyfores of community-oriented outreach projects.

The greatest value of this volume for archivists, however, lies in its exposition of the priorities and philosophy of the "new history" which in the last two decades has changed the nature of historical research. Once considered radical, "new history" has now become part of the mainstream, as the publication of this volume by a major university press indicates. Meeting the needs of those researchers has and will require archivists to rethink many aspects of their profession, especially appraisal and description, and to re-examine their relationship to other disciplines. *Presenting the Past* provides archivists a concise and enjoyable introduction to this revolution in historical philosophy and methodology.

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Society of North Carolina Archivists. *Archival and Manuscript Repositories in North Carolina: A Directory.* Raleigh, North Carolina: Society of North Carolina Archivists, 1987. Pp. 109. Index. Paper. $10 SNCA members, $12 nonmembers.

The Society of North Carolina Archivists has published an attractive guide to archival and manuscript repositories in North Carolina. Most of the information for the guide was collected by a survey and includes 125 entries. The guide is arranged alphabetically by the name of the city and provides various information on the repository. This data includes hours of operation, need for prior arrangements, description of holdings, restrictions, types of material solicited, reference services provided, copy facilities, equipment allowed, availability of finding aids, and size of staff. The directory also includes an index by repository type and a subject index. The directory may be purchased from the Society of North Carolina Archivists.

Kentucky Department for Libraries and Archives. Public Records Division. *The Guide to Kentucky Archival and Manuscript Repositories.* Frankfort, Kentucky: Kentucky Department for Libraries and Archives, 1986. Pp. 127. Appendices, index. Paper. $12.

The Kentucky Guide Project began in 1978 with major funding from the National Historical Publications and Records Commission (NHPRC). This publication is the first in a series to be issued by the Public Records Division of the Kentucky Department for Libraries and Archives based on information gathered by the Kentucky Guide Project. The introductory volume provides a description of 285 reposito-

ries in Kentucky. Plans call for subsequent publications to include detailed descriptions of the collections maintained by these repositories.

The guide's format is identical to the NHPRC's *Directory of Archives and Manuscript Repositories*. Each entry includes basic information on the institution, hours of operation, user fees, restrictions, copy facilities, acquisition policy statement, size of holdings, inclusive dates, description of broad subject holdings, and references to any published finding aids. The guide also provides several very helpful appendices and an index. It is available from the Kentucky Department for Library and Archives.

INFORMATION FOR CONTRIBUTORS

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Members of the Society of Georgia Archivists, and others with professional interest in the aims of the society, are invited to submit manuscripts for consideration and to suggest areas of concern or subjects which they feel should be included in forthcoming issues of *Provenance*.

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Two copies of *Provenance* will be provided to the author without charge.

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Books for review should be sent to Bill Sumners, E. C. Dargan Research Library, 127 Ninth Avenue, North, Nashville, TN 37234.

Manuscript Requirements

Manuscripts should be submitted in double-spaced typescripts throughout--including footnotes at the end of the text--on white bond paper 8 1/2-x-11 inches in size. Margins should be about 1 1/2 inches all around. All pages should be numbered, including the title page. The author's name and address should appear only on the title page, which should be separate from the main text of the manuscript.

Each manuscript should be submitted in three copies, the original typescript and two copies.

The title of the paper should be accurate and distinctive rather than merely descriptive.

References and footnotes should conform to accepted scholarly standards. Ordinarily, *Provenance* uses footnote format illustrated in the University of Chicago *Manual of Style*, 13th edition.

Provenance uses the University of Chicago *Manual of Style*, 13th edition, and *Webster's New International Dictionary of the English Language*, 3d edition (G. & C. Merriam Co.) as its standard for style, spelling, and punctuation.

Use of terms which have special meanings for archivists, manuscript curators, and records managers should conform to the definitions in "A Basic Glossary for Archivists, Manuscript Curators, and Records Managers," *The American Archivist* 37, 3 (July 1974). Copies of this glossary may be purchased from the Society of American Archivists, 600 S. Federal Street, Suite 504, Chicago, IL 60605.

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