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PROVENANCE

volume XIII

1995



"...I AM NOT A CROOK!"

Baldy

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The Future of Archival History

James O'Toole

More than a dozen years ago, the archival educator and writer Richard Cox outlined the development of American archival history and offered some suggestions for the work that still needed to be done in that field.¹ Drawing on a range of publications, from the obscure to the well-known, he surveyed a century of writing in this country on the history of the archives profession, its people, and its institutions, as that history had appeared in monographs and in scholarly journals of state, regional, and national circulation. For all the output, however, Cox concluded that the coverage was uneven in terms of quantity and quality, a "truly lamentable" situation that left us as archivists with virtually everything yet to be known about the history and meaning of what we do. It is no less ironic today than it was then that a profession that likes to remind itself and its

¹ Richard J. Cox, "American Archival History: Its Development, Needs, and Opportunities," *American Archivist* 46 (Winter 1983): 31-41.

constituents that the past is prologue has done so little in the way of looking into its own prologue. It is surely not possible to remedy that lack entirely, but it is still useful to consider where we are with archival history at the moment and to speculate on where our study of this subject might go in the future.

My starting presumption is that archival history is indeed a valuable and worthwhile subject for exploration. I feel compelled to say that because, in this curiously anti-intellectual profession of ours, you never know how people will react if you dare to propose that it might be worthwhile to spend some time every now and then thinking about matters beyond purely practical questions of arrangement, description, conservation treatment, and the finer points of the 541 field of the MARC format. The naysayers complain with inexplicable delight that all this talk of larger issues, of the nature and meaning of archives, or of archival theory is just an acute case of status anxiety; it is an effort by archivists to make what they do sound more important than it is or ever can be. We need some reflection on why this apparent self-hatred is as widespread as it is, both in print and in cyberspace—but that is a topic for another day. Meantime, let us agree that the study of archival history, like the study of any history, has value, that it enlightens the present and its work by reminding us that things have not always been the way they are today, that other options have been possible, that change is a fundamental feature of any human activity through time. The past may indeed be a foreign country where they do things differently, but foreign travel has always been educational and useful. More to the point, exploring the changes that have already taken place

in our profession will, we hope, put the changes we see around us today in a new, less threatening perspective, and that must surely be the first step toward dealing with those challenges successfully.² What I propose to do here is threefold: to review some themes in the study of archival history that has been done to date; to offer some broad outlines of the kind of archival history that we ought to undertake in the future; and to suggest some methodological approaches we ought to use in getting from here to there.

I have done an impressionistic rather than a systematic review of the work available in archival history (for a more systematic summary, see Cox's characteristically thorough footnotes), going back through the principal professional journals in North America to see what sorts of things have been published in this field; I have also reexamined the limited monographic output in archival history. Before exploring the themes represented in this literature, we should note first that our attention to archival history has been sporadic and mercurial. Reading through the journals leads one to conclude that surges of interest are always followed by long periods in which little work is apparently being done. Interestingly enough, the topic came early to

² For more on these questions, see Richard J. Cox, "On the Value of Archival History in the United States," *Libraries and Culture* 23 (Spring 1988): 135-151; this essay also appears as chapter eight of Cox's *American Archival Analysis: The Recent Development of the Archival Profession in the United States* (Metuchen, New Jersey: Scarecrow Press, 1990).

the pages of the *American Archivist*, with an essay in its second volume (April 1939) on the history of archival literature in Europe.³ Thereafter, however, spurts of interest have always been more than matched by fallow times.

Nevertheless, there are some broad areas where our work has focused. There is quite a lot, for instance, on the history of certain types of archival institutions and on particular repositories, collections, and even individual documents. These emphases should not surprise us, for this is the easiest kind of archival history for archival practitioners to write. All archivists necessarily develop some sense of the history of their own repositories just by working there, and the collections that have interesting or illustrative histories are right there in front of them on the shelves. Thus, for example, histories of academic archives, of the archives of particular states and religious denominations, and of important repositories such as the US National Archives, the Library of Congress, and the Public Archives of Canada have joined studies of the succession of owners of the Thomas Jefferson papers, the travels of the Declaration of Independence and the Constitution, the repatriation of specific collections, and the forgery of certain manuscript items.⁴ Similarly, we have had

³ Olga P. Palmer, "The History of European Archival Literature," *American Archivist* 2 (April 1939): 69-84.

⁴ J. Frank Cook, "Academic Archives and the SAA, 1938-1979: From Arcana Siwash to the C&U PAG," *American Archivist* 51 (Fall 1988): 428-439; Henry J. Browne, "The American Catholic Archival Tradition," *American*
(continued...)

some explorations of notable chapters in the history of the organized profession: the establishment of a distinct professional society for archivists, our changing approaches to education and training, and wider efforts such as the

⁴(...continued)

Archivist 14 (April 1951): 127-140; Fred Shelley, "Manuscripts in the Library of Congress, 1800-1900," *American Archivist* 11 (January 1948): 3-19; Donald R. McCoy, "The Crucial Choice: The Appointment of R. D. W. Connor as Archivist of the United States," *American Archivist* 37 (July 1974): 399-413; Ian Wilson, "'A Noble Dream': The Origins of the Public Archives of Canada," *Archivaria* 15 (Winter 1982-1983): 16-35; William G. Ormsby, "The Public Archives of Canada, 1948-1968," *Archivaria* 15 (Winter 1982-1983): 36-46; Bruce G. Wilson, "Bringing Home Canada's Archival Heritage: The London Office of the Public Archives of Canada, 1872-1986," *Archivaria* 21 (Winter 1985-1986): 28-42; Paul G. Sifton, "The Provenance of the Thomas Jefferson Papers," *American Archivist* 40 (January 1977): 17-30; Milton O. Gustafson, "The Empty Shrine: The Transfer of the Declaration of Independence and the Constitution to the National Archives," *American Archivist* 39 (July 1976): 271-285; Edward F. Rowse, "The Archives of New York," *American Archivist* 4 (October 1941): 267-274; Harriet Smither, "The Archives of Texas," *American Archivist* 3 (July 1940): 187-200; R. H. Woody, "The Public Records of South Carolina," *American Archivist* 2 (October 1939): 244-263; Valerie Komor, "In Search of Archival History: Eugenio Casanova and the Suspect Lincoln Letter," *Archival Issues* 18 (1993): 55-61; Dorothy Twohig, "George Washington Forgeries and Facsimiles," *Provenance* 1 (Fall 1983): 1-13.

Historical Records Survey of the 1930s and 1940s.⁵ While archival history of this kind still has value, those who undertake such studies in the future might approach the subject looking for the larger meanings and wider applications of the particular stories they have to tell. A simple multiplication of how-we-did-it-good — or bad — histories will be less useful than more broadly based

⁵ William F. Birdsall, "The Two Sides of the Desk: The Archivist and the Historian, 1909-1935," *American Archivist* 38 (April 1975): 159-173; Gifford Leland, "The First Conference of Archivists, December 1909: The Beginnings of a Profession," *American Archivist* 13 (April 1950): 109-120; Mattie U. Russell, "The Influence of Historians on the Archival Profession in the United States," *American Archivist* 46 (Summer 1983): 273-285; J. Frank Cook, "The Blessings of Providence on an Association of Archivists," *American Archivist* 46 (Fall 1983): 374-399; Leonard Rapport, "Dumped From a Wharf into Casco Bay: The Historical Records Survey Revisited," *American Archivist* 37 (April 1974): 201-210; Trudy Huskamp Peterson, "The Iowa Historical Records Survey, 1936-1942," *American Archivist* 37 (April 1974): 223-246; Chester W. Bowie, "The Historical Records Survey in Wisconsin," *American Archivist* 37 (April 1974): 247-261; Loretta Hefner, comp., *The WPA Historical Records Survey: A Guide to the Unpublished Inventories, Indexes, and Transcripts* (Chicago: Society of American Archivists, 1980); Luke J. Gilliland-Swetland, "The Provenance of a Profession: The Permanence of the Public Archives and Historical Manuscripts Tradition in American Archival History," *American Archivist* 54 (Summer 1991): 160-175; Jacqueline, "That We Shall Truly Deserve the Title of 'Profession': The Training and Education of Archivists, 1930-1960," *American Archivist* 47 (Summer 1984): 243-254.

attempts to understand the larger contexts of particular cases. In what kinds of repositories has the locus of intellectual energy in the profession been focused at different periods, for instance, and how has the treatment of specific collections or documents provided models for the caretakers of others? What was the process by which National Archives inventories and Library of Congress registers came to be adopted as the preferred descriptive methods in other repositories? What did the planners and workers of the Historical Records Survey, nationally and in the several states, think they were doing, who did they think they were doing it for, and what did they hope the larger applicability of their work would be?

If there have been some good studies of repositories, collections, and professional activities, we have also had several treatments of individual archivists. In the study of archival biography, less well known names have received attention along with their more famous colleagues. Richard Bartlett of New Hampshire, a nineteenth century "minor prophet" of the preservation of public records, and J. S. Matthews, an advocate for archives in Vancouver, British Columbia, for instance, have their place alongside such better known names as Posner, Schellenberg, Jameson, and Leland⁶. There are biases in our coverage of archival

⁶ Richard G. Wood, "Richard Bartlett: Minor Archival Prophet," *American Archivist* 17 (January 1954): 13-18; Robin Kierstead, "J. S. Matthews and an Archives for Vancouver, 1951-1972," *Archivaria* 23 (Winter 1986-1987): 86-106; Fred Shelley, "The Interest of J. Franklin Jameson (continued...)"

biography, of course, and these should not surprise us. Like much biography in general, archival biography has focused almost exclusively on great white men. There is but a single treatment of the role of women in the American archival profession—not even Margaret Cross Norton has been the subject of a biography of her own, though the introduction to Thornton Mitchell's 1975 collection of her essays partially fills that gap—and only one biography of an African American, the pioneer historian and preserver of archival records, Carter Woodson.⁷ Given these gaps in the

⁶(...continued)

in the National Archives, 1908-1934," *American Archivist* 12 (April 1949): 99-130; Jane F. Smith, "Theodore R. Schellenberg: Americanizer and Popularizer," *American Archivist* 44 (Fall 1981): 313-326; Rodney A. Ross, "Ernst Posner: The Bridge Between the Old World and the New," *American Archivist* 44 (Fall 1981): 304-312; Rodney A. Ross, "Waldo Gifford Leland: Archivist by Association," *American Archivist* 46 (Summer 1983): 264-276; Victor Gondos, *J. Franklin Jameson and the Birth of the National Archives, 1906-1926* (Philadelphia: University of Pennsylvania Press, 1981). Schellenberg will be included in the massive *American National Biography* volumes, forthcoming from Oxford University Press and intended as a replacement for the *Dictionary of American Biography*, but only because I wrote them and told them I thought he should be in there. They rejected my suggestion that Posner deserved an entry too.

⁷ Michele F. Pacfico, "Founding Mothers: Women in the Society of American Archivists, 1936-1972," *American Archivist* 50 (Summer 1987): 370-389; Thornton W. Mitchell, (continued...)

coverage, the agenda for archival biography in the future seems pretty obvious.

There has been an encouraging amount of work in the history of recordkeeping practices, but here again it has been too scattered and particular in its focus. Several useful studies of federal government records practice, especially in the important area of records disposal, have appeared over the years, though there has not been comparable attention paid to the origins and history of recordkeeping practice at the state or provincial levels.⁸

⁷(...continued)

ed., *Norton on Archives: The Writings of Margaret Cross Norton on Archival and Records Management* (Chicago: Society of American Archivists, 1975); Jacqueline Goggin, "Carter G. Woodson and the Collection of Source Materials for Afro-American History," *American Archivist* 48 (Summer 1985): 261-271.

⁸ Harold T. Pinkett, "Investigations of Federal Recordkeeping, 1887-1906," *American Archivist* 21 (April 1958): 163-194; Henry F. Beers, "Historical Development of the Records Disposal Policy of the Federal Government Prior to 1934," *American Archivist* 7 (July 1944): 181-201; James G. Bradsher, "An Administrative History of the Disposal of Federal Records, 1789-1949," *Provenance* 3 (Fall 1985): 1-21, and "An Administrative History of the Disposal of Federal Records, 1950-1985," *Provenance* 4 (Fall 1986): 49-73; Richard J. Cox, "Public Records in Colonial Maryland," *American Archivist* 37 (April 1974): 263-275; Morris L. Radoff, "The Maryland Records in the Revolutionary War," *American Archivist* 37 (April 1974): 277-285; Richard J. Cox, "The Plight of American Municipal
(continued...)

Recently, some studies have looked at the functions of records and recordkeeping in particular bureaucratic settings, much of this work informed by historical studies of the development of modern business and other organizations.⁹

These latter approaches seem to me to offer the most promise for the future, and I think Peter Wosh's study of recordkeeping at the American Bible Society is the best example for others to follow when looking at particular institutions or kinds of institutions. He charted how

⁸(...continued)

Archives: Baltimore, 1729-1979," *American Archivist* 42 (July 1979): 281-292; Richard J. Cox, "Need for Comprehensive Records Programs in Local Government: Baltimore, 1947-1982," *Provenance* 1 (Fall 1983): 14-34.

⁹ Peter J. Wosh, "Bibles, Benevolence, and Bureaucracy: The Changing Nature of Nineteenth Century Religious Records," *American Archivist* 52 (Spring 1989): 166-178; see also Wosh's *Spreading the Word: The Bible Business in Nineteenth-Century America* (Ithaca: Cornell University Press, 1994); JoAnne Yates, "Internal Communication Systems in American Business: A Framework to Aid Appraisal," *American Archivist* 48 (April 1985): 141-158; JoAnne Yates, *Control Through Communication: The Rise of System in American Management* (Baltimore: Johns Hopkins University Press, 1989); Alfred D. Chandler, *The Visible Hand: The Managerial Revolution in American Business* (Cambridge, Mass.: Harvard University Press, 1977); Michael A. Lutzger, "Max Weber and the Analysis of Modern Bureaucratic Organizations: Notes Toward a Theory of Appraisal," *American Archivist* 45 (Spring 1982): 119-130.

recordkeeping requirements and practices changed as the Bible Society grew from a small religious mission in which workers were friends exchanging personal letters about their work into a highly articulated agency that wanted detailed statistical reports at specified times, including specified types of data. In this way, he has provided a useful framework for understanding the central questions of how records and information move around in organizations and in life, and therefore of what changes and practices in that area may tell us about the records themselves.

If there have been some studies of recordkeeping, there have been surprisingly few histories of the "stuff" of archives itself—paper, ink, writing implements—and its changing technology. The kinds of records produced in any historical period and thus the kinds of archives that survive are always dependent on the materials and techniques available for capturing and preserving information. One might think that, worrying as they do about changes occurring around them, archivists would be eager to learn from the history of similar changes in the past: surely, this would be the most "relevant" and fundamentally practical kind of history they could undertake. There are only a handful of writings in the archival literature on this subject, however, but fortunately models from broader historical studies are also available.¹⁰ Henri-Jean

¹⁰ William J. Barrow, "Black Writing Ink of the Colonial Period," *American Archivist* 11 (October 1948): 291-307; Victor Gondos, "The Era of the Woodruff File," *American Archivist* 19 (October 1956): 303-320; Laetitia Yeandle, "The
(continued...)"

Martin's recently translated *History and Power of Writing*, for example, necessarily devotes attention to these questions. Other works, such as the archival cult-classic of Michael Clanchy, *From Memory to Written Record* (now out in a revised and expanded edition), are also useful in this regard.¹¹ There should be more studies of the kinds of paper and books in use at various times in our history, more studies of copying techniques, of writing implements, of the development of certain kinds of forms, of typewriters and carbon paper and what used to be called "NCR paper," of filing cabinets and storage equipment, of computer hardware and software, of sound and video recording equipment. Many archivists have such materials in their collections, and they could surely profit from knowing where it all came from.

Three other areas of archival history have received especially spotty and incomplete treatment. First, the study

¹⁰(...continued)

Evolution of Handwriting in the English-speaking Colonies of America," *American Archivist* 43 (Summer 1980): 294-311; Maygene Daniels, "The Ingenious Pen: American Writing Implements from the Eighteenth Century to the Twentieth," *American Archivist* 43 (Summer 1980): 312-324; see also Henry Petroski, *The Pencil: A History of Design and Circumstance* (New York: Knopf, 1993).

¹¹ Henri-Jean Martin, *The History and Power of Writing*, translated by Lydia G. Cochrane (Chicago: University of Chicago Press, 1994); M. T. Clanchy, *From Memory to Written Record: England, 1066-1307*, second ed. (Cambridge, Mass.: Blackwell, 1993).

of archives in particular times and places has been wide-ranging, but what has appeared only helps call attention to what is not there. The coverage is varied: ancient Greece and Rome, medieval and early modern Europe, landmarks of archival legislation and archival literature, and of course that glorious chapter in American history, the Texas Archives War of 1842.¹² These are all fine as far as they

¹² Ernst Posner, "The Athenian Cavalry Archives of the Fourth and Third Centuries BC," *American Archivist* 37 (April 1974): 579-582; James M. O'Toole, "Herodotus and the Written Record," *Archivaria* 33 (Winter 1991-1992): 148-160; Phyllis Culham, "Tablets and Temples: Documents in Republican Rome," *Provenance* 2 (Fall 1984): 15-31; M. T. Clanchy, "'Tenacious Letters': Archives and Memory in the Middle Ages," *Archivaria* 11 (Winter 1980-1981): 115-125; Ernst Posner, "Some Aspects of Archival Developments Since the French Revolution," *American Archivist* 3 (July 1940): 159-172; Carl Lokke, "Archives and the French Revolution," *American Archivist* 31 (January 1968): 23-32; Patricia Kennedy Grimstead, "Lenin's Archival Decree: The Bolshevik Legacy for Soviet Archival Theory and Practice," *American Archivist* 45 (Fall 1982): 429-443; Wilma MacDonald, "Keeping Safely the Public Records: The PRO Act of 1838," *Archivaria* 28 (Summer 1989): 151-154; Richard J. Cox, "American Archival Literature: Expanding Horizons and Continuing Needs, 1901-1987," *American Archivist* 50 (Summer 1987): 306-323; Robert D. Reynolds, "The Incunabula of Archival Theory and Practice in the United States: J. C. Fitzpatrick's *Notes on the Care, Cataloging, Calendaring, and Arranging of Manuscripts* and the Public Archives Commission's Uncompleted "Primer of Archival Economy"," *American* (continued...)

go, but there is virtually everything yet to be done in this area: pick your historical time and place, and get to work. Such massively learned treatments as Lawrence McCrank's study of archives in medieval Spain point the way to the kind of work that can and should be done.¹³ Second, we should note the irony that archivists have shown almost no interest in publishing and making available even their most important primary sources. Key texts in archival history almost never appear, and when a document pertaining to the history of the profession is published, the point has almost always been a whimsical rather than a scholarly one. Thus, while the *American Archivist* did publish a translation of Baldassare Bonifacio's *De Archivis* as early as 1941, the more common treatment of what might be called the archives of archives has been, unfortunately, a good deal sillier: reproductions of James A. Garfield's trying his hand at a typewriter in 1875 (with predictably amateurish results) and the letter from a ten-year-old Fidel Castro to Franklin

¹²(...continued)

Archivist 54 (Fall 1991): 466-482; Dorman H. Winfrey, "The Archives Wars in Texas," *American Archivist* 23 (October 1960): 431-437; David B. Gracy II, "Our Future is Now," *American Archivist* 48 (Winter 1985): 12-21.

¹³ Lawrence J. McCrank, "Documenting Reconquest and Reform: The Growth of Archives in the Medieval Crown of Aragon," *American Archivist* 56 (Spring 1993): 256-318; see also McCrank's *Discovery in the Archives of Spain and Portugal: Quincentenary Essays, 1492-1992* (New York: Haworth Press, 1993).

Roosevelt in 1940, asking for \$10.¹⁴ Finally, there are only a few reminiscences of archivists. Bob Warner's recently published memoirs of the independence struggle of the National Archives, for instance, are a cautionary and ultimately sad reminder of how hopeful we all were then. Recollections are not the most reliable accounts of archival history, of course, but like SAA's own oral history program, they have their place as additions to the primary sources of archival history.¹⁵

The most important hole in our treatment of archival history is in what we might think of as the intellectual history of archives. Our professional literature largely gives the impression that ideas about how archivists should approach their work simply do not have much of a history: our methods of appraisal, arrangement, description, and reference services would all appear to have sprung fully

¹⁴ Lester K. Born, "Baldassare Bonifacio and His Essay *De Archivis*," *American Archivist* 4 (October 1941): 221-237; "Garfield Tries the 'Type-Writer,'" *American Archivist* 24 (July 1961): 288; "From the Archives," *American Archivist* 50 (Spring 1987): 284-288.

¹⁵ Philip C. Brooks, "The First Decade of the Society of American Archivists," *American Archivist* 10 (April 1947): 115-128; H. G. Jones, "The Pink Elephant Revisited," *American Archivist* 43 (Fall 1980): 473-483; Patrick M. Quinn, "The Midwest Archives Conference: A Rich History Revisited," *Archival Issues* 18 (1993): 5-13; Robert M. Warner, *Diary of a Dream: A History of the National Archives Independence Movement, 1980-1985* (Metuchen, New Jersey: Scarecrow Press, 1995).

formed from the brow of Zeus, and from that day until our own "we've always done it this way." We know, of course, that that is not so, but only rarely have we explored the changing understandings archivists have brought to their work. Taking arrangement as an example. Maynard Brichford has provided a useful introduction to the "provenance of provenance," but the earlier arrangement schemes and abandoned options remain largely unknown; so does the question of what archival repositories went through in converting from whatever came before provenance and original order as guiding principles.¹⁶

¹⁶ Maynard Brichford, "The Provenance of Provenance in Germanic Areas," *Provenance* 7 (Fall 1989): 54-70; Michael Roper, "The Development of the Principles of Provenance and Respect for Original Order in the Public Record Office," *The Archival Imagination: Essays in Honour of Hugh A. Taylor*, ed. by Barbara L. Craig (Ottawa: Association of Canadian Archivists, 1992), 134-153; Mabel E. Deutrich, "Decimal Filing: Its General Background and an Account of Its Rise and Fall in the U. S. War Department," *American Archivist* 28 (April 1965): 199-218; Frank B. Evans, "Modern Methods of Arrangement of Archives in the United States," *American Archivist* 29 (April 1966): 241-264. We have had only a little work, much of it derivative, on the differences of so-called public archives and historical manuscripts traditions: Richard C. Berner, *Archival Theory and Practice in the United States: A Historical Analysis* (Seattle: University of Washington Press, 1983); James M. O'Toole, *Understanding Archives and Manuscripts* (Chicago: Society of American Archivists, 1990), ch. 2; and Gilliland-Swetland, "Provenance of a Profession," *American Archivist* 54 (Summer 1991): 160-175.

Serious work on the history of the whole idea of appraisal—when and how did archivists come to think that the most important thing they do is throw things away, and how did that notion gain currency, if indeed it has?—remains to be done, and only recently have we had some contributions toward the history of descriptive practice.¹⁷ These are areas in which one would expect more work from our relentlessly practical profession, and the work would surely pay off. As we think about the nature of archival description in the future, as well as in the present, with Internet and World Wide Web descriptions largely replacing the detailed scholarly finding aid, should we not know something about how we got to the finding aid in the first place?

As archivists undertake these specific historical studies in the future, they should try to maintain a broader focus. All historians face the problem of drawing general conclusions from particular cases. When we study any historical subject we have to be concerned about whether it was representative or not, typical or atypical, an example of a common and widespread phenomenon or an exception that may or may not prove a rule. All those studies of colonial New England towns which were produced in the 1970s and 1980s, for example, were worthwhile historical enterprises, but interest in them has fallen off in recent years

¹⁷ Richard J. Cox outlines some of the recent history of appraisal in his "The Documentation Strategy and Archival Appraisal Principles: A Different Perspective," *Archivaria* 38 (Fall 1994): 11-36; on description see Luciana Duranti, "Origin and Development of the Concept of Archival Description," *Archivaria* 35 (Spring 1993): 47-54.

because generalization seemed so difficult and was rarely attempted. Their authors, as one reviewer noted, too seldom addressed the most important question any historian can ask: "so what?"¹⁸ What did it all mean? "If Dedham had been Sudbury, it would have been different"? In the words of the great philosopher, Peggy Lee: is that all there is?

Future archival history has to address this problem of generalization more seriously. As we look at any given topic—the history of recordkeeping practice, the history of archival theory and practice, the biography of individual archivists, the history of archives in specific historical settings—we have to keep this "so what?" question before us; we have to know whether we are looking at rules or exceptions. The way to do that is to approach archival history as an attempt to delineate aspects of the broad, cultural significance of recordmaking and recordkeeping, what Barbara Craig has perceptively called "the ecology of records."¹⁹ There are some good models for this quest. Though it has found an enthusiastic audience among archivists, Clanchy's work, for instance, is not about archival history as such; he has larger aims in view, namely, the "development of literate ways of thinking and of doing business" and the processes by which societies come to

¹⁸ Douglas Greenberg, "Our Town," *Reviews in American History* 9 (1981): 454-458.

¹⁹ Barbara L. Craig, "Outward Visions, Inward Glances: Archives History and Professional Identity," *Archival Issues* 17 (1992): 113-124.

rely on written documentation in a variety of forms. Among archivists, only Hugh Taylor and his disciples have tried to take this approach.²⁰ Similarly, Richard Brown's *Knowledge is Power* seeks to describe how information moves through society and how those who have it use information to separate themselves from those who do not.²¹ Regardless of the particular phenomena we investigate, we should look on archival history as part of this kind of effort to understand the underlying questions about what we do and why it needs doing. Frank Burke posed some of these questions long ago—why are there archival records in the first place? why do humans make records and, at least today, make them so abundantly? why do at least some people value their preservation? what are the practical and not-so-practical motivations, the immediate and more distant purposes for recordmaking?—and we have barely begun to look for answers to them.²² A broad cultural approach to archival history and its meaning will take us in the right direction.

²⁰ Clanchy, *From Memory to Written Record*, 1; see also Hugh A. Taylor, "My Very Act and Deed": Some Reflections on the Role of Textual Records in the Conduct of Affairs," *American Archivist* 51 (Fall 1988): 456-469.

²¹ Richard D. Brown, *Knowledge is Power: The Diffusion of Information in Early America, 1700-1865* (New York: Oxford University Press, 1989).

²² Frank G. Burke, "The Future Course of Archival Theory in the United States," *American Archivist* 44 (Winter 1981): 40-46.

In order to get there, we need to be concerned about two questions of method. In particular, we have to avoid two methodological traps. The first is the necessity of avoiding the "Whig" approach to archival history. Those who have had some graduate training in history have probably encountered in one form or another Herbert Butterfield's classic, *The Whig Interpretation of History*.²³ Butterfield warned his fellow historians to resist the impulse to look on the past merely as a glorification of and justification for the present. He was arguing against the unconscious disposition to think that whatever in the past could be seen as prefiguring or helping to bring about the present—whether the Whig party in England or, in our case, methods for organizing and cataloging records in ancient Babylon—was good, and whatever impeded that ineluctable "progress" toward today and us was bad. Avoiding this pitfall is all the more important because it is so very tempting, and we have seen it in practice in archival history. The classicist Rosalind Thomas has recently criticized no less a figure than Ernst Posner on just this score, arguing that his *Archives in the Ancient World* (1972) was an essentially anachronistic effort to find historical antecedents for twentieth-century archival theory and practice. In contrast to Posner, she maintains, the recordmaking and recordkeeping processes of the ancient world were not fundamentally the same as those of modern society. They were decidedly unbureaucratic—Sparta kept almost no official records at all, while in Athens the public, monumental

²³ Herbert Butterfield, *The Whig Interpretation of History* (London: G. Bell and Sons, 1931).

display rather than the administrative use of records suggests the absence of what Thomas calls an identifiable "archives mentality"—and they evince an entirely different relationship among people, institutions, and records than the one we know. Posner, she says, seriously distorts the historical reality when he presents the records of pharaonic Egypt as being effectively the same as the records of the modern state—the correct parallel is with presidential libraries, perhaps, those repositories of the records of the modern pharaohs.²⁴ Other classicists will have to mediate between these two substantial scholars. The rest of us should at least recognize that the path to unthinking anachronism is a broad one and resolve that the archival history of the future not be Whig history.

Second, archival history must be careful to avoid an exclusively "rationalist" view of recordmaking and recordkeeping. Following Thomas again, I strongly recommend her discussion of the rationalist and non-rationalist meanings of records.²⁵ This should be an important aspect of any future work in archival history. Because we are literate people, because we necessarily look for meaning in the contents of written documentation, we fall into the habit of supposing that records mean what

²⁴ Rosalind Thomas, *Literacy and Orality in Ancient Greece* (Cambridge: Cambridge University Press, 1992), esp. 128-144; Ernst Posner, *Archives in the Ancient World* (Cambridge, Mass.: Harvard University Press, 1972).

²⁵ Thomas, *Literacy and Orality in Ancient Greece*, 74-100.

the words in them mean. To be sure, this is quite often, probably even most often, the case, but records may also mean a great deal more. Sometimes the act of recordmaking is more significant than the record that is made. Sometimes the record is made in such a way as to render its use difficult or even impossible. Sometimes records are prized less for their contents than for their physical being and form, revered or hated as objects rather than as carriers of information.²⁶ Most archivists have in their collections (and in their personal possession) records that they value highly but that have almost no real usefulness, records that they never consult for the information they convey. How often do university presidents come to the archives, asking to read through the school's charter before taking a particular administrative action? And yet the archives keeps the charter, puts it on display, and drags it out to show distinguished visitors. How often do individuals consult their diplomas to find out how smart they are? And yet, they keep the diploma—they may even have it framed—and they have the photograph their mother took of the precise moment at which the dean handed it over.

Can archival history help us understand these impulses, these aspects of the ecology of records and their meaning in human affairs? It surely can, but only if we widen our angle of vision to include an understanding that records have meaning on a number of different levels of experience all at the same time. So by all means let us study, for

²⁶ I have argued this case more fully in "The Symbolic Significance of Archives," *American Archivist* 56 (Spring 1993), 234-255.

example, the origins of recordkeeping practices in particular historical times and places—the American colonies in the seventeenth century would be a good starting point—and not ask just what kinds of records were produced and how they were used; let us also ask what society's decisions to record that kind of information in those kinds of formats for those intended purposes tell us about all the parties to the transaction: society, the information, the records, and the larger social goals and values. We should study the history of archival principles and practices—ideas about reference service and expanding access, for instance—in an effort to describe what archivists thought they were doing, for whom they thought they were doing it, and why they thought it was important to do. We should study the changing historical fortunes of archival repositories, of particular archival collections and individual documents, to discover the complex of practical and emotional reasons people invested so much time, effort, and cash in them.

There is almost everything yet to be done and, as archival education programs continue to develop, there are more and more circumstances in which to do it. Student research in archival seminars, which should at least occasionally focus on archival history in addition to the usual topics, can be easily focused in this direction. Those few archival education programs which require a thesis should encourage at least some historical work under this rubric. There is no reason, for example, why we cannot build a fuller history of public and private archives and recordkeeping in each state: these would make ideal topics for theses. Archival educators, who still remain disappointingly unproductive scholars of their own

discipline, should likewise take archival history as a theme for at least some of their own research and publication. In an era in which we feel that there is little new to be said in many academic disciplines, the situation in this one is just the opposite. Let's—to use the contemporary phrase—just do it.

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Gophers in the Archives: Planning and Implementing an archives and Records Management Gopher

Michael Holland and Elizabeth Nielsen

Introduction* *This paper was prepared and revised by the authors in 1993-1994 and accepted for publication by "Provenance" in 1994. Consequently, it presents the use of Internet technology by the OSU Archives and other repositories as of that time. Rapid advances in technology have been made during the last 2+ years, most notably in the use of the World Wide Web (WWW). In 1995, the OSU Archives launched its website*

<<http://www.orst.edu/Dept/archives> >

which has gradually replaced the Gopher as our preferred provider. The OSU Gopher was discontinued as of March 1, 1997.

The archival community is within the early and unsettled stages of an important transition in information access as an increasing number of repositories and records management

programs utilize powerful communications tools such as the Internet Gopher, Cello, and Mosaic.¹ By the spring of 1994, the authors identified well over a dozen academic institutions that had made descriptive guides to historical materials or records management information available through the Internet. Among the first repositories to make historical records descriptions available in this way were Johns Hopkins University, Wheaton College, Trent University, and the University of Virginia. Internet resources dealing with historical records are not, however, the sole province of academic institutions; the Texas State Archives, the Library of Congress, the National Archives and Records Administration, and the British Columbia Archives and Records Service have developed Internet finding aids.

This essay examines the planning, development, and implementation of the archives and records management Gopher located at Oregon State University. The authors will

¹ Internet access tools such as Mosaic and Cello, which are based upon non-hierarchical and non-document information structures, possess interesting potential for use by archives and users of historical information. Mosaic is a freeware Internet communications and search application developed by the National Center for Supercomputing Applications in Champaign, Illinois. Cello is a similar application developed by the Legal Information Institute of the Cornell Law School. Cello's hardware requirements are significantly lower than those required by Mosaic. At this writing, Cello functions only in a Windows environment while Mosaic is available in both a Windows and a Macintosh version.

also discuss several issues that the archives and records management communities must address if the Internet is to live up to its potential. The authors do not present the Internet Gopher resources developed at Oregon State University as the only successful application of this technology or as the model for other archival and records management programs to emulate. The OSU Gopher, with its diverse yet integrated content, does however invite examination, criticism, and analysis.

The Internet Gopher, which is currently the most well-established and widely deployed Internet access application, is a user-friendly communications program. It allows one to find and use text files and databases located around the world through a unified and seamless set of directories and menus without the user having to know where the actual information resides or the specific Internet pathway. The program was developed at the University of Minnesota in early 1991 and is named for that institution's mascot, the Golden Gopher.² Gopher, Mosaic, and all

² Among the more useful works in print on Gopher and other Internet tools are: Jonathan Kochmer, *Internet Passport: NorthWestNet's Guide To Our World On-line*, 4th ed. (Bellevue, Washington: NorthWestNet and Northwest Academic Computing Consortium, 1993), and Harley Hahn and Rick Stout, *The Internet Complete Reference*, (Berkeley, CA: Osborne McGraw Hill, 1994), as well as Ed Krol, *The Whole Internet: User's Guide & Catalog* (Sebastopol, CA: O'Reilly & Associates, 1992). A significant number of guides and reference information on
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other members of the family of network communication tools utilize the long-established Internet electronic communications network to link individual personal computers, public access file servers, and supercomputers.³ These new and easy to use communications technologies have made descriptive and records control information widely available. Internet access to detailed inventories and descriptions no longer requires the user to visit the institution's research room to consult finding aids. The researcher using finding aids on the Internet does not even need to contact the repository staff directly to request photocopies of finding aids. This passive reference service provided through the Internet Gopher

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the Internet and its basic tools are found on the Internet itself. These guides, such as *The Big Dummy's Guide to the Internet*, published by the Electronic Frontier Foundation in 1993 and again in 1994, contain the most timely and up-to-date information available on the Internet and its uses.

³ The Internet is a network of smaller networks that can trace its origins to the Department of Defense ARPAnet of the early 1970s. The communications protocol developed by ARPAnet designers was widely adopted and has been refined into the TCP/IP communications suite. The public Internet now in use is derived from a network, NSFNET, established by the National Science Foundation for use primarily by scientific researchers. Electronic files on the Internet are made available for public use by government agencies, academic institutions, and commercial as well as not-for-profit organizations.

saves the repository initial reference staff time and postage as well as providing the researcher with almost instantaneous access to finding aids. This creation of a virtual research room allows an archives user to avoid the time and expense of travel to collections of uncertain research value and to be better prepared when travel and research are warranted. Similarly, institutions wishing to provide wide public access to information about their holdings can utilize the Internet and avoid the considerable expenses associated with published finding aids, repository guides, and records disposition schedules.

Assessing Program Needs

The OSU Archives has had, since its inception in the early 1960s, the dual responsibility of the management of institutional records and the preservation of historical records and materials. Balanced service to a dual constituency—institutional and administrative users as well as public, student, and faculty researchers—has been a primary goal of the program. However, providing wide access and timely information has been difficult. Our goal of publishing a guide to the historical records and manuscripts of the university has not been achieved due to revision and distribution concerns as well as budgetary limitations. Descriptions of the historical materials held by the University Archives were relegated to unpublished finding-aids housed in the repository research area. The reliance upon unpublished finding-aids to describe historical materials forced researchers to either come to the facility to use the finding-aids and then determine their need to

consult the primary documents, or request the reference staff to do some time-consuming preliminary research. Either of these alternatives required the investment of time and/or financial resources that electronic access to finding-aids might eliminate or at least moderate.

An additional limitation of reliance upon in-house finding-aids rather than a published and widely available guide was the problem of collection identification and location. Researchers involved in a project without obvious geographical or institutional ties might never find relevant records and historical collections. The Archives is currently engaged in a development project to load USMARC AMC-format catalog records onto the University Library on-line catalog and subsequently OCLC. But at present no cataloging records exist which could direct researchers to potential primary resource materials. Electronic publication of detailed finding-aids to archival holdings with full text searching could do much to reduce this serious collection location and identification problem.

For almost a decade the records disposition aspect of the program has been served by the publication and occasional revision of the *Archives and Records Management Handbook*, which includes a sizable records schedule. While the records program satisfactorily achieved distribution of records control information to departmental records managers through a printed handbook, new retention information was not easily distributed.

Recognizing the shortcomings of relying only upon published administrative directives and unpublished in-house finding-aids, the OSU Archives evaluated means of

wide information dissemination with practical update capabilities. Distribution of ASCII based record schedules to all departmental records managers on floppy diskette or via an electronic-mail platform was considered, as was providing FTP-able files.⁴ Significant shortcomings discouraged such attempts to improve access to both archives constituencies. Traditional methods of information distribution and publication seemed either overly expensive, as in the case of hard copy publication; excessively difficult to update, as in the case of paper or diskette publication; or too complex for wide use, as in the case of FTP file sites.

Gopher Development

In early 1993, OSU's University Computing Services announced that an OSU Gopher server had been established and that Gopher client software was available for personal computer installation.⁵ Network users both on

⁴ FTP, an acronym for File Transfer Protocol, is a communications program which allows one to transfer files between Internet-connected computers. FTP users are required to know some basic UNIX-like commands.

⁵ Gopher is a client-server publication, meaning that it consists of two independent software programs: the client or search engine program typically resides on a personal computer or work station, and the server or data management program exists on a mainframe or other large computer system. A particularly important feature of the Gopher software is its ability to conduct stateless communication. Stateless communication means that
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and off campus were encouraged to browse through the files already available, and university information providers were urged to use the Gopher for "publishing" their files or other resources.

Coincidental with this announcement, the University Archives was completing the editing and production of a new campus-wide records disposition schedule and an accompanying *Archives and Records Management Handbook* for distribution to all university administrative offices and academic departments. The OSU Archives immediately realized that the Gopher might well fill the need for the electronic publication of the new records schedule and handbook because it offered a cost-effective, easily-revised, and user-friendly means of information dissemination.

At the same time, as part of a comprehensive appraisal and processing project of all the Archives holdings, archives staff were continually preparing inventories and collection-level descriptions of institutional records as well as

⁵(...continued)

queries are sent from the client work station in discrete packets and the query is processed after the direct communication from the client to the server has been temporarily discontinued. The results of the search are then sent back to the client by the server program as discrete data packets. Thus while there appears to the user to be a continuous on-line connection, in actuality the connection has been open for a very short time. The Gopher client-server application creates a virtual on-line connection rather than a true continuous on-line communication session.

manuscript collections. These were being created electronically using both desktop cataloging software, MicroMARC AMC, for collection level cataloging records and word processing software for inventories. Older inventories were being converted into digital form by both document scanning and re-keying. The ultimate intent was to make summary cataloging records available on the University Library's on-line public access catalog (OPAC) and have inventories and full descriptions available in the Archives for use by researchers. It was immediately obvious that the Gopher would allow finding-aids to be used not only by researchers in the Archives but by anyone possessing Internet access. During the next months, the OSU Archives extensively explored other Gophers, developed a draft outline of directory and file structure, and were trained by the campus Gopher administrator on the procedure for loading and updating files. The staff began loading files onto a developmental area of the OSU Gopher server in late March 1993 and continued to load files and modify the file and directory structure for the next several months. The developmental area of the OSU Gopher server was not available for public access. This developmental phase allowed the archives staff to experiment with various file formats and organizational structures away from public view.

All files were transferred to the public access area of the OSU Gopher server, and thereby the Archives and Records Management Gopher became available to on and off campus Internet users in early June 1993. The Archives Gopher included the new handbook and records retention schedule, collection descriptions and inventories, the

program newsletter, and other files describing the services and holdings of the University Archives. New and revised collection descriptions and inventories are added to the Archives Gopher regularly.⁶

Gopher Description

The Archives Gopher files comprise a portion of the OSU Gopher server and reside on a Sun 6/690 computer maintained by University Computing Services. The OSU Gopher includes information posted by academic departments, research institutes, student and faculty organizations, and the University Library, as well as other administrative units. Archives Gopher files are accessible through two different directories on the OSU Gopher's main menu—one for library and reference services and another for administrative units.

The organization of the Archives Gopher reflects the primary services and functions of the program and consists of four major components: the *Archives and Records Management Handbook*, records disposition schedule, quarterly newsletter, and collection descriptions and inventories to the holdings. The hierarchical directory and file structure serves the casual browser by presenting short

⁶ In June 1993, the Archives Gopher consisted of 616 files in 47 directories. Six updates have been made to the Archives Gopher, primarily the addition of new collection descriptions and inventories. As of August 1994, the Gopher included 745 files in 71 directories.

and unitized files in a logical outline format.⁷ The number of directory levels between the main menu screen and a text file varies, depending on the complexity and file size of the information being provided.

The first menu within the Archives Gopher includes three introductory files. "About This Gopher" explains how the Archives Gopher is structured, gives instructions for access, and outlines the directory and file structure. "Recent Additions and Changes" describes for the well-initiated user new and updated files that have been added to the Archives Gopher. "About the University Archives and Records Management Program" consists of the text of the program's brochure describing services and holdings. In addition, announcements of upcoming workshops and other events are occasionally posted on this main menu.

Handbook. The Handbook section includes all of the text and tabular information of the 1993 *Archives and Records Management Handbook*, presented in twenty files that directly parallel the chapters and sections of the forty-eight page printed version. The handbook provides information on a variety of records management topics including confidentiality and destruction of public records; electronic records; temporary inactive records storage; filing

⁷ No Gopher file is larger than twenty-five kilobytes or about ten single-spaced pages. This limitation was originally imposed by software and communication speed constraints; however, it has been found that this file size serves the Gopher user quite well.

systems and equipment; and procedures for transferring permanent records to the Archives.

Records Schedule. The "Records Retention and Disposition Schedule" directory includes all of the information in the 275-page printed schedule. The files under the schedule directory consist of an introductory preface and about 500 series descriptions divided into twenty-six functional sections. Each of the series descriptions is an individual text file which includes the series title, alternate titles, a series description, the retention periods for both the record copy and other copies, and occasional special notes about the series.

Newsletter. All issues of the quarterly newsletter of the Archives, *The OSU Record*, are available on the Archives Gopher. Each issue of the periodical is included in a separate subdirectory with each article loaded as a separate text file. The latest issue of the newsletter is added to the Archives Gopher as soon as the printed version is distributed.

Holdings Descriptions. The most extensive component of the Archives Gopher is the holdings descriptions.⁸ Unlike the handbook, schedule, and newsletter which have been

⁸ Although the 172 files in the holdings section comprise only about twenty percent of the total number of files on the Archives Gopher, they represent about two megabytes of the total three megabytes of Archives Gopher files.

distributed in paper form, these files have been published only in electronic form. The "Archives Holdings" directory consists of five subdirectories representing the five major components of the archives' holdings: "Institutional Records," "Photographs," "Manuscripts," "Memorabilia Collection" and "Films and Videotapes". Each of these subdirectories includes a file describing that portion of the holdings, a list of the constituent collections, and collection descriptions and inventories. The number of files per institutional record group or manuscript collection ranges from one to thirteen, but more than seventy-five percent of the collections are described in one file, and only ten percent require more than three files. While not all of the archives holdings are currently described in detail, the general information and lists of collections provide researchers with a preliminary indication of the scope and variety of primary materials held. The OSU Archives initially loaded general descriptions of the holdings and has subsequently added more detailed collection descriptions as they are prepared.

Other University Archives and Records Management Gophers. One of the fundamental features of the Internet Gopher software is its capacity for making files at other locations easily available. The Archives Gopher attempts to increase ease of use by providing direct access to other university archives and records management Gophers through a main Gopher menu option. This is intended primarily as a service to our on-campus users who may not be familiar with other repositories. A similar service

provided by The Johns Hopkins University Special Collections and Archives was the model upon which the OSU system is fashioned.⁹ The "Other University Archives and Records Management Gophers" menu option directs the user to only those Gophers that meet selected criteria. The information provider must be a higher education institution. The Gopher files must be full-text files that describe a repository's archival holdings and/or manuscript collections or provide records management information. Gophers that only direct or refer users to an on-line catalog or database are not included.

Searching. One of the primary advantages of Gopher is the ability to perform full-text file searching. We have attempted to organize the Archives Gopher files in a logical way that allows for browsing and will not require the familiar user to always employ the search program. However, full-text searching provides greatly increased access to both the records schedule and the holdings descriptions. Searching is available for all the Archives Gopher files from the main Archives Gopher menu or is available for only certain sets of files, such as the schedule or holdings descriptions from

⁹ The Johns Hopkins University Special Collections and Archives staff volunteered, in early 1993, to create and maintain a "master list" of other university and college archives Gophers as a menu option on their Gopher server. The University of Michigan clearinghouse of subject-oriented guides also includes a preliminary guide to archives providing information via the Internet.

subordinate section menus. With some large text files, it may be advantageous to download the file to the user's personal computer and use the search capability of a word processing program to locate the exact search terms within a file.

Gopher searching is not limited to a single Gopher or the files of only one particular institution or agency because of Veronica, a service for limited searching of all public-access Gopher servers. Veronica does not provide full-text searching of Gopher text file contents, but its capability to search all the file and directory names on all Internet Gophers allows users to locate resources that otherwise might remain unknown. Access to Veronica is provided through the main directories of most Gophers under the heading "Other Gopher and Information Servers" or "All the Gophers in the World." Like the Internet Gopher, Veronica is a new product and continues to be refined and upgraded.

Gopher Usage

The Gopher server software automatically produces periodic access reports indicating which files and directories have been selected by users and how many times for each.

Because of the newness of the Archives Gopher, we are unable to draw broad conclusions regarding usage and access, and we have not performed a rigorous scientific

survey; however, we have noted the following preliminary observations.¹⁰

The OSU Archives Gopher is being accessed hundreds of times per month. All of the different types of files on the Gopher are being accessed—collection descriptions, records dispositions, and the program newsletter.

Usage reports also indicate an increase in the retrieval of records dispositions after the Archives offered several records management workshops for departmental personnel that included on-line training on use of the Archives Gopher. This suggests that offering a workshop on the use of the Archives Gopher to our "researcher" audience, primarily students and faculty, would probably increase retrieval of files in the holdings section.

Contacts by electronic mail, telephone, and post indicate that the Archives Gopher has been used by individuals not affiliated with OSU. Not only have the holdings descriptions been retrieved by off-campus users, as one would expect, but the records disposition files have been of interest and use as well, primarily to individuals at colleges, universities, and other public institutions who have the dispositions as

¹⁰ Interest of the archives community in the impact of providing electronic access to finding aids was evidenced in an extensive discussion on the Archives and Archivists Listserv in December 1993 as well as a November 1993 survey by Jeremy Megraw and Deborah Sherman of Long Island University Palmer School of Library and Information Science.

guidelines in preparing dispositions for their own institutions.

The Archives Gopher has also proven to be a useful tool for researchers who come to the Archives. The Gopher seems to be especially useful to researchers whose interests or topics are broad and who could benefit from understanding the full scope of the repository's holdings. Researchers who visit the University Archives also benefit from the search capabilities of the Archives Gopher.

Some Observations on Developing a Gopher

Based upon OSU's experience in setting up an Archives Gopher, the authors suggest that a hierarchical organization will make files more accessible to all users, including browsers and especially those who are unfamiliar with the repository. An outline-style directory structure also facilitates smaller file size. In addition, it is best that the selection of the archives title or program name is not too institution-specific, i.e., assuming that a Gopher user will know to which administrative subdivision or library section the repository reports. It is essential to remain mindful of the limitations of the Gopher on-screen format; a document that looks good in a printed guide may not provide a satisfactory form for a screen display. All Gopher files are in ASCII format, which means no graphics or textual enhancements such as bold, underline, or italics are available. Even centering of text, which will transfer easily into ASCII format, may not be an appropriate use of the limited space on a Gopher screen and may not deliver a useful printout.

It is important to be aware that Gopher software is new and constantly being revised and updated and therefore data migrations and compatibility concerns must become part of institutional routine. It is also important to understand that the Internet Gopher is freeware software, and, while it is available at no charge, it also comes with the disadvantages of limited technical support and written documentation.

Finally, using a "developmental area" not available for public access to load and re-organize files and directories is highly recommended. This preliminary step allows for testing and manipulation away from public view. Once significant numbers of files are loaded they can then be easily transferred to a public-access Gopher.

Conclusions and Considerations

Making finding-aids to archival materials and records management information accessible through the Internet has proved beneficial to the OSU Archives and Records Management Program. The Gopher allows researchers with an Internet connection to have access to the Archives finding-aids at little or no cost to the researchers or to the Archives program. Publishing and distributing a conventional printed guide to OSU's holdings would have been prohibitively expensive. Without the Internet Gopher there would have been little possibility that the finding-aids and records schedule would have been widely available beyond the boundaries of the campus. The Internet Gopher created for the University Archives not only a virtual

research room but also a virtual records management manual and records schedule.

Internet finding-aids are more immediately beneficial to users than printed guides because partial and newly created descriptions may be quickly and easily added to the Gopher. In producing a published guide to holdings, which must be as comprehensive as possible to justify the expense of printing and distributing, the institution must complete all descriptive materials before publication may proceed. The capabilities of the Internet Gopher for frequent revision can result in the researcher gaining access to a finding-aid shortly after the archivist gains intellectual control of a newly acquired or newly processed record group or collection.

The Internet Gopher is also an excellent planning tool. Much like a printed guide to the holdings of an institution, finding-aids on the Internet should move one to plan and establish processing, preservation, and description priorities for the collections and record series in one's holdings. While publishing finding-aids and reference tools through the Internet Gopher alleviates the need to gather all descriptions prior to sending the guide to the printer, placing descriptive materials on Gopher does stimulate the responsible archivist to develop a comprehensive plan for administering archival holdings. Consequently the OSU Archives has established priorities for arrangement and description. The need to prepare succinct and comprehensive descriptions to the records of the University President's Office led staff to take the decisive step of fully describing and reconciling microfilm and paper holdings.

It has also served to point out areas of weakness in institutional documentation.¹¹

The Internet Gopher, as it now exists, is not a substitute for cataloging and subject analysis. Researchers continue to need a means of locating specific materials through subject terms. Full-text searching of all files on all Gopher servers will be essential before any move away from bibliographic utilities and cataloging can be considered. Veronica, with its many impressive features, is not the tool that will eliminate or even ease reliance upon cataloging and on-line public access catalogs.

One of the advantages and thereby the attractions of Gopher is the lack of standards for format and content. This allows institutions the flexibility to establish Gopher descriptive programs that best serve their needs. However, this is at the same time a disadvantage. Without standards, there is a wide variability in the format, quality, searchability, and content of archives and records Gophers. Because of the easy availability of digitizing technology, it has become easier for repositories to digitize and load inventories and calendars without much forethought or editing for consistency and convention. Loading files onto an archives Gopher does not relieve one of the responsibility of following established professional guidelines for arrangement and description, including rigorous subject

¹¹ An intelligent and insightful analysis of the role of published guides in an archival program is found in Roy C. Turnbaugh's "Living with a Guide," *American Archivist* 45 (Fall 1983): 449-452.

analysis and vocabulary control, which at present can only be provided by "cataloging." Gopher allows one to creatively implement existing descriptive guidelines within a new medium. The OSU Archives Gopher intentionally includes collection-level descriptions with the standard descriptive components of Title, Date, Scope and Content Note, Physical Description, Biographical or Historical Note, and Provenance Note, from which the USMARC AMC cataloging records are derived.

The development of a clearinghouse or coordination center for all institutions, agencies, and organizations loading records control and historical records descriptions on the Internet would be most helpful. This is a potentially daunting task for any single institution that might take up the challenge. The Johns Hopkins University Special Collections and Archives Department has served as a model for development of "Other Archives" directories. OSU and several other institutions have emulated Hopkins in this area. However, the difficulty and practicality of a single institution serving as a coordinating center for hundreds of institutions with established records and archives Gophers is intimidating.

In conclusion, the development of the Archives and Records Management Gopher at OSU was a very productive experiment. The Gopher is an impressive tool, but it is also in its infancy and thus somewhat crude in appearance and performance. The authors are not of the opinion that the Internet Gopher, in its current form, is the Internet product destined to dominate archives, records management, or any other information management

endeavor. Refined Internet Gopher versions or alternative products, such as World-Wide-Web servers (WWW), which perform similar tasks in enhanced ways, will undoubtedly be developed in the near future. Nevertheless, the experience gained in the planning and development of the OSU Archives Gopher was valuable. The comprehensive digitization of all record schedules, finding-aids, and other publications potentially is of even greater importance to the program. This systematic creation of electronic resources will allow the Archives and Records Management Program to migrate with and adapt to the changing technology of the Internet. Like hosts of FTP archives, Gopher information providers have achieved sound footing upon the path of migration to future Internet technology.

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Holland delivered an earlier version of this paper to a meeting of the Reference, Access, and Outreach Section at the annual conference of the Society of American Archivists held in New Orleans in September 1993, summarized in that section's Fall 1993 newsletter (v. 9, no. 1).

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"Pricing" the Corporate Memory: User Fees and Revenue Generation in a Public Archives

Gabrielle Blais

In their current bestseller, *Reinventing Government*, David Osborne and Ted Gaebler have attempted to provide a "map" of entrepreneurial government by suggesting new ways of delivering public services. One of their basic principles, entitled "Enterprising Government: Earning Rather Than Spending," argues that a profit oriented mentality can translate into more efficient and client-driven services. They provide several examples of successful government competition with the private sector, development deals, and the introduction of user fees.¹ Not surprisingly, their arguments are similar to those presented in recent years by archivists when they debate funding issues. This author wonders how far we have come from the "quiet, pleasant

¹ David Osborne and Ted Gaebler, *Reinventing Government* (Reading, MA: Addison-Wesley Publishing Company, Inc. 1992).

and powerless" individuals that the 1985 SAA Task Force on Archives and Society described; the "resourceful ferrets" that a Canadian government official once referred to; and the persons of "impotent virtue" caricatured by David Gracy in a number of his writings.²

It is generally accepted in our profession that archives exist for the common good and for that reason should be as accessible as possible. This is even more important in the case of public archives, since, in addition to enabling efficient decision making, they are expected to foster a collective sense of identity. Selective access practices, as in the former Soviet Union for instance, can only lead to a warped sense of reality and collective amnesia.³ Given this

² Society of American Archivists, Task Force on Archives and Society, "Archivists' Resource Allocators: The Next Step," unpublished report (9 December 1985): 4. Don Page of the Canadian Department of External Affairs referred to archivists as "resourceful ferrets" as a post-ICA symposium presentation in Ottawa, Canada, in October 1989. See also David Gracy, "Is There a Future in the Use of Archives?," *Archivaria* 24 (Summer 1987): 3-9; "What's Your Totem? Archival Images in the Public Mind," *Midwest Archivist* 10 (1985): 17-13; and "Archives to Archives and Dust to Dust," *Provenance* 4 (Spring 1986): 1-9.

³ Patricia Kennedy Grimsted has written extensively on this topic. See, for instance, "Intellectual Access and Descriptive Standards for Post-Soviet Archives: What Is to be Done?," International Research & Exchanges Board (IREX), preliminary preprint version, 1992; "Perestroika in
(continued...)

principle then, how can user fees be introduced in public archives? This paper examines these issues, with special emphasis on audio-visual records, against the Canadian backdrop. Recent initiatives at the National Archives of Canada relating to the implementation of user fees and the development of revenue generation projects will illustrate the challenges and opportunities that such ventures present.

Some years ago, archivists would have vehemently rejected the notion of user fees, as they were viewed as an infringement on rights of access and the democratization of archives. In the aftermath of *Roots* and Watergate, the priority was to eliminate barriers to access and to encourage popular interest in people's documentary heritage. Current economic realities, however, have forced archives to reconsider this position. Many of them are now faced with a serious resource crisis; others have witnessed crippling increases in requests for services; and all are faced with skyrocketing costs when they attempt to make non-paper records available.

User fees serve two purposes: principally, they provide financial support to institutions, and, in some instances, ensure that the provision of greater public access is not done at the detriment of other archival functions. Osborne and Gaebler have argued that, given the option between raising taxes or generating revenue, the public will prefer that fees be charged to those who actually use public

³(...continued)

the Archives?: Further Efforts at Soviet Archival Reform," *American Archivist* 54 (Winter 1991): 70-95.

services. They even quote from a United States official who stated that "All of our public-opinion polls indicate that when you confront citizens with their preference for raising revenue - user fees, property tax, local sales tax, local income tax—user fees win hands down."⁴ Secondly, the costing of services may serve as a moderating factor, ensuring that there is an actual need for the services requested.

A distinction must be made between user fees and simple revenue generation. The Canadian government has defined user fees as "the recovery of a fair share of the cost of providing goods and services from those who receive a direct benefit from them."⁵ Revenue generation, on the other hand, refers to "new activities which could be undertaken... with the intention of generating revenue. ... [In the case of archives] these activities are not undertaken strictly because of their archival nature."⁶ (This is the National Archives of Canada's interpretation of the concept.) The sale of copies of records, for instance, would constitute

⁴ Osborne and Gaebler, *Reinventing Government*, 203.

⁵ Treasury Board Secretariat and the Office of the Comptroller General of Canada, *Guide to User Fees* (Ottawa: Minister of Supply and Services Canada, 1992): 1.

⁶ Wanda Noël, "Legal and Ethical Issues Relating to Revenue Generation," (Ottawa: National Archives of Canada, 29 May 1992): 1.

user fees; the sale of illustrated Christmas cards would fall under the rubric of revenue generation.

The National Archives of Canada, as part of a Canadian government-wide initiative, is currently determining what special benefits are given to researchers and how these benefits should be charged. It recently adopted its own user fee policy, which "regards the functions of acquiring, describing, organizing and conserving this national resource as a public good, as a benefit to the Government of Canada and to society as a whole, and thus takes the position that the costs of these activities will be covered from the general tax base ... Those external users who use the special services and products of the National Archives receive specific benefits that are not received by others ... The National Archives will set charges for such services at an appropriate level, commensurate with departmental objectives, government policy and the ability of users to pay."⁷

This policy intends to respect existing access rights. This is not easy to achieve, however, as often the implementation of fees jeopardizes such rights. It is consequently important for public archives to ensure that above all, archival information is available and accessible to

⁷ National Archives of Canada, "User Fees Implementation Plan," (Draft, March 1993), 24.

all.⁸ Users should be able to walk into a public archives and consult non-restricted holdings. If those holding require manipulation before they can be consulted, such as census records in electronic form, it is the responsibility of the archives to make that information available. Public archives must support the information needs of their citizens, whatever medium the information resides upon. This principle poses enormous challenges for archivists responsible for non-paper records who, in addition to having to overcome the costs of making information available, face increasing and divergent interest in their records. Nonetheless, inadequacies in the area of description and access must not be used as an excuse for penalizing users.

The initial study into user fees at the National Archives of Canada unearthed interesting avenues. At the start, all their "lines of business" were identified; from those 102, it was discovered that seventy-eight were being offered to external users without fees.⁹ From this list, thirty-three services were judged to be "suited for user fee consideration." The criteria for determining if user fees would be assigned to a particular service were: (1) public good

⁸ Archives may wish to use the "ALA-SAA Joint Statement on Access to Original Materials in Libraries, Archives and Manuscript Repositories," as a guide. This was published in *Archival Outlook*, Society of American Archivists (July 1993): 15.

⁹ National Archives of Canada, "User Fees Implementation Plan," 7.

versus special benefit; (2) demand; (3) value to users; (4) impact of fee on users; (5) importance of activity to NA mandate; (6) user profiles; (7) and administrative feasibility.¹⁰

Many unusual proposals were made in the survey. It was suggested, for instance, that audiovisual materials be marketed more aggressively as a source of revenue, and that fees be set for the on-demand provision of captions for photographic reproductions of holdings and copyright verification. In the coming year, reference services will also be examined within the context of the current *Access to Information and Privacy* regulations.¹¹ On the revenue generation side, the Archives will examine the marketing potential of their specialized conservation copying expertise. The sale of its specialized conservation expertise, such as photograph conservation workshops and presentations about imaging, will also be considered.

Numerous social and economic factors have to be taken into consideration before decisions concerning user fees are made. These usually transcend the more obvious request-response scenario that we associate with user fees. In Canada, for instance, public archives must consider the

¹⁰ *Ibid.*

¹¹ Charging for reference service already occurs in some repositories. Simon Fowler provides examples of British Record Offices that charge for access to searchrooms in "The Root of All Evil: Income Generation by the PRO and Local Authority Archives Services," *Journal of the Society of Archivists* 14:2 (Autumn 1993): 144.

interventionist role that the government has historically played in the development of the country. Numerous federal institutions such as the Canadian Broadcasting Corporation and the National Film Board have mandates to play key roles in enhancing the concept of nationhood. The National Archives of Canada's vision statement reflects this philosophy, as it aims to "make the documentary memory of the nation available to all Canadians for their use, well-being and enjoyment." In supporting the achievement of this mission, certain circumstances will have to be taken into consideration. For instance, if the Archives were to pass on to researchers the true costs of providing access to their audio-visual holdings, some small production houses would immediately be put into bankruptcy. This would not be beneficial to Canadians as it would force the disappearance of a vibrant research community. Nonetheless, the National Archives cannot maintain past levels of service for both research and commercial clientèles.

Given their own geographical imperatives, the Archives has to be cautious not to overly impede off-site access. If it were to fully recover costs for the inter-institutional loan of microform, for instance, it would immediately reduce access opportunities for researchers who live some distance away from the institution. While fees may have to be introduced, given the current resource climate, these will be reasonable. As for the production of copies for commercial ventures, such as a picture book, the Archives will have to decide if its objectives are better served by having this information widely disseminated or by requesting a sizable access fee. Finally, a review was undertaken of how some archives are

trying to develop categories - with varying fee schedules - of researchers. In the National Archives of Canada's case, this may mean differentiating between actual sponsors (taxpayers) and other clients (mostly foreign researchers). It is difficult to determine the extent to which this can be implemented. When this issue was examined a few years ago as a result of an influx of genealogical inquiries, and when it was learned that close to fifty percent of these inquiries originated from outside Canada, it became so difficult to define the concept of citizenship (is it restricted to someone who lives in the country or are Canadians living abroad included?) that the institution postponed the initiative.

Existing situations also have to be brought in line with the new user fee environment. In the case of the Canadian government, all fees generated by an agency are currently deposited into a general consolidated fund. In this context, even if the National Archives established a cost recovery policy for its services, it would not have access to those funds, even though it would still have to absorb the costs associated with the delivery of the services. This situation led the National Archives some years ago to transfer selected services to the private sector. For instance, when clients request copies of film, they are directed to private firms that have copying agreements with the Archives. The Archives produces a copy of the document, forwards it to the firm, which then serves the client at a profit. The Archives still has to pay for the production of first copies, but it does not have to absorb the costs in labour and supplies associated with the production of client copies.

Similar arrangements exist for the reproduction of microfilm reels, photographs, and photocopies. The Archives has not decided to bring these services back in-house, as it has yet to obtain the assurances that it will be able to adequately fund them from its public service income.

Intrinsic to all of this is the concept of service standards. Users must clearly know what is available at no cost and what has an "added-on" price. In such standards, the relationship of the client to the provider of the service must be clearly spelled out and there must be an explanation of what are reasonable expectations. User fees also imply service, speed, convenience, and accuracy, concepts that are often foreign to archives. It should also be understood that before introducing fees for a service that was previously free, users must be advised and, if possible, consulted as to the fee structure.

Another important factor is that of physical ownership and copyright. In the case of Canadian government information, ownership ends with the transfer to the Archives. The copyright for the whole of the Government of Canada, however, is held by its Government Services - the equivalent of the General Services Administration in the United States. In the audio-visual sector, where there often is not one but many original documents, it is often hard to investigate and enforce ownership and copyright, as there may be more than one custodian of the record. Situations also exist where records contain both public and private information. At the National Archives of Canada, where it is estimated that only approximately three percent of the

collection has cleared copyright, these considerations weigh heavily in the decision-making process.

Once these questions have been resolved, the actual user fee strategy may be devised. In principle, such a strategy should not include a profit factor but aim to recover the costs associated with providing the service. This would not include normal processing and conservation costs, as these should have already been funded in the initial budget. Users should not be responsible for filling the gaps in the normal resource allocation process. If the purpose of the exercise is to moderate use, the fees will be inferior to the services provided, as their purpose will be to deter unessential use rather than recover costs. The services for which there will be fees also have to be assessed. It would be futile to develop a financial infrastructure for services that will never be purchased. A public institution is not structured to absorb the costs associated with the introduction of services that may not be profitable. And, as we all know, in government, once you embark on a project it is almost impossible to turn back.

In the case of the National Archives of Canada, the frustration at being used as an inexpensive stock photo agency has led to suggestions that competitive access and user fees be adopted. If the institution decides to do so, it will have to clearly distinguish between educational and personal requests, and commercial ones. Such an approach would enable it to continue supporting the first uses while providing reasonable access to the latter. Nonetheless, we must remember that since archives are not stock photo agencies, they cannot charge the same rates.

After all, such agencies provide more than an image; they also provide a fast retrieval service which few archives can match.

At this point it should be obvious that where audio-visual records are concerned, issues of user fees and revenue generation are both extensive and complicated. In the first place, conservation and copying work often has to be performed before consultation even occurs. This adds a cost dimension to the concept of the universal right of access. Decisions must also be made about who, if anyone, should pay for this work. Some public archives place this burden on the back of the first user of a record. Is this fair? In time, will this result in a decrease in demand for new records as users will only request the material already conserved and copied? Also, does this penalize those researchers who have to conduct in-depth (and consequently time consuming) research? Finally, the equipment required to service collections is specialized (thus expensive) and transitory, as new formats are introduced and the technology is rapidly transformed. As a consequence, archives are forced to re-format information, upgrade technology, and even maintain museums of audio-visual artifactual equipment. Should these costs be passed on to users?

For those records with high financial value, institutions may wish to maintain control over their circulation and use. The extent to which this can be done from both the legal and practical points of view is unclear. Some form of control may be exercised over records that have not yet cleared copyright but it is impossible to devise a system for

those documents that are in the public domain. On occasion, this situation can be frustrating for archives. For instance, in recent years the number of stock photo agencies which sell information obtained from archival collections has mushroomed. The National Archives of Canada discovered a few years ago that several of these companies were selling some of the National Archives' most popular holdings at a price greater than the Archives was charging for the same image. Officials of the National Archives were unable to stop the companies from doing this, as most of the holdings were in the public domain. They were not even able to convince them to credit the Archives, instead the documents were credited to the companies. There are few ways of restricting such practices. Archives could always control circulation of copies of holdings to ensure that user fees are paid whenever records are consulted. This could mean operating an extensive system of inter-library loan and forfeiting on the sale of copies of holdings. It is more probable, however, that this issue can be resolved by implementing a fee structure that is linked to the quality of the product.

There is still another dimension to the costing of services. Archives may decide to produce consumer goods on their own or in partnership with other parties.¹² The gift

¹² Most issues discussed in this section were inspired by Wanda Noël's work for the National Archives of Canada, entitled *Legal and Ethical Issues Relating to Revenue Generation*.

shop at the National Archives and Records Administration in Washington, DC, for instance, sells a variety of products inspired or copied from their collections. The Minnesota Historical Society's *Complete List of Publications in Print* includes, in addition to reference tools, art and map reproductions, native dictionaries, a coloring book, and audio recordings. Where else can you obtain selections of Minnesota polkas? These products serve as awareness tools to heighten public knowledge and appreciation of the work and holdings of an institution; they can also be good sources of revenue which can be redirected to activities requiring additional funding.¹³

For most institutions, it is advisable that commercial ventures be undertaken in cooperation with more knowledgeable parties. The archives can enable use and interpretation of their holdings. The partner, on the other hand, can assume responsibility for the production and marketing of the product. If archives were to decide to copy old films onto video, for instance, they should expect to participate in the development of the series concept and the selection of the material. The partner could then be responsible for the mass reproduction, packaging, marketing, and distribution of the product. A similar

¹³ The museum community has been very active in the development of marketing strategies. See, for example, "Productive Licensing: Boosting Revenues and Prestige," *Museum Store* 20, (Winter 1992): 25-30; and "The Education Connection: Are We Fooling Ourselves," *History News* (September-October 1992): 6-23.

arrangement could be made with the creation of an interactive visual product. This approach is most likely to succeed when it does not require that archival institutions develop a new expertise in what is a highly competitive sector.

While there is more room for maneuvering within this framework, some ethical questions still remain. To what extent, for instance, should public repositories compete with the private sector? Would it be admissible for an institution to segregate its most valuable material for its own marketing uses? Also, given the availability of material, should archives undercut their competition? In choosing a funding strategy, archives must weigh these factors and be careful not to place themselves in a situation where the private sector could question its marketing practices.

Finally, archivists must consider their obligations to donors. In the case of copyright, donors are usually agreeable to uses made of the information by the archives (such as in an exhibition) as long as no money is made from the activity. But as soon as the concept of revenue generation is introduced, the negotiations take another turn. Great care must also be given to the selection of products so that donors are not offended. It would not be considered appropriate, for instance, for Indian treaties, which have great spiritual significance to the Canadian native population, to be copied and sold as placemats. Indeed, we suspect that there would be widespread opposition to any attempt at the commercialization of such symbolic documents. Yet, these are the documents that have wide popular appeal. While it may be appealing to

some to operate archives on a free market system, they cannot avoid considering such ethical questions. The museum community should be able to provide much guidance to those institutions who wish to develop revenue generation plans. For a number of years, these issues have been debated within that community and great strides have been made in the development and production of quality museum products that, in addition to raising money to support the parent institutions, increase their visibility and enhance popular knowledge of their collections.

In conclusion, one may ask how user fees and revenue generation initiatives will ultimately affect basic archival access principles and archives' relationships with their user communities. For archivists who were active during the years when efforts to democratize and demystify culture were prominent, the introduction of money-making strategies could be considered treasonous. For them and others who may view these developments with concern, the following opinion about marketing, which appeared in an issue of *Rotunda*, the magazine of the Royal Ontario Museum, may help set aside certain fears: "...like any well run business in the modern world, there is no harm in being market oriented while value driven. [moreover]... a value driven, market oriented approach is one that is common in our society, even in the commercial world, and ... government and most of the public would applaud and support our efforts not to sacrifice our values in our search

for markets."¹⁴ Such a policy is much more inherent to the nature of governance than the free market strategies promoted by Osborne and Gaebler and echoed by some archivists.

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¹⁴ Cuyler T. Young, Jr., "Value Driven, Market Oriented," *Rotunda* (Summer 1986): 6.

***A Hint of Scandal: Problems In Acquiring the
Papers of U. S. Senator Herman E.
Talmadge—A Case Study***

Pam Hackbart-Dean

On May 30, 1994, *Roll Call*, a weekly newspaper for Capitol Hill, boasted an emphatic headline on its front page that read, "Congress Has Strictest Ethics Rules in World, According to a New CRS Study of 24 Nations." But the ethics of Congress proved less scandalous than the headline for the Thursday edition that same week which announced in heavy bold type, "Rosty Indicted on 17 Counts." These telling words condemned Representative Dan Rostenkowski, Democrat of Chicago and chairman of the powerful Ways and Means Committee, for his graft charges.¹

¹ Cythnia Pease Miller, "Leaving Office Under Duress: the Archival Responses to Collecting Papers of Public Officials (Opening remarks at the fifty-eighth Annual Meeting of the Society of American Archivists, Indianapolis, Indiana, September 10, 1994).

Although junior members of Congress have their allotment of ethical and legal dilemmas, it is the senior members, with the power and contacts of a committee chairman or a leadership position, and other highly placed government officials that attract the headlines. And it is the papers of senior members that repositories most vigorously endeavor to collect, because over a lengthy career in Congress or in a high level appointment, the official's papers include materials that document major issues of regional, national, and even international importance—papers that researchers are eager to use.

Hale Boggs, Democrat from Louisiana and the late Majority Leader of the House, characterized Congress as a collection of regular men and women, with extraordinary problems.² The United States Government is founded on the belief that any citizen could assume the role of public official. Political leaders are "ordinary people," agreeing to take on the enormous tasks of the government, yet not be corrupted by Washington politics nor ignore the concerns of their constituents. However, once in office, public officials are placed in the proverbial "glass house." Political leaders are judged ruthlessly for their deficiencies and shortcomings. Congressman William C. Redfield of New York said that the House of Representatives is "probably a

² Cokie Roberts, "Why the M.I.A.'s Live On," *New York Times*, 20 September 1991, A19.

fair cross-section of the people, showing us very much as we are and throwing faults and virtues into high relief."³

The hint of scandal involving a public figure, whether real or perceived, can overshadow a long and distinguished career. This may involve a person's career that deserves the preservation of his or her papers in a research library. Repository staff must transcend the sensationalism of negative publicity and reassure officials of the long-term significance of their papers, not simply in regard to the official's career but to the study of the American political system.

Lessons can be learned from the experience of soliciting the papers of a reputedly tarnished individual, from funding the processing and housing of these collections, and from donor relations prior to the receipt of the collections for research use. For example, collecting papers is difficult when a senior member of Congress leaves office in disrepute, as in the case of Herman E. Talmadge. The acquisition of his collection, now housed in the Richard B. Russell Library for Political Research and Studies at the University of Georgia, was especially problematic because the Russell Library was not initially involved with the negotiations between the senator and the university. Reaching a gift agreement proved to be a challenging experience for Senator Talmadge and the Russell Library.

³ William C. Redfield, *With Congress and Cabinet* (New York: Doubleday, Page & Company, 1924), 15.

It was once said in Georgia that if you were not a Talmadge man, you were a communist.⁴ The Talmadge dynasty began in 1926 when Eugene Talmadge, Herman's father, was first elected Commissioner of Agriculture. Gene Talmadge would later be elected governor of Georgia for an unprecedented four terms. After his father's death in 1948, Herman Talmadge began his political career—a career that would begin and end in a cloak of controversy with the “two governor conflict” in 1947 and ethics charges in 1978.⁵ The Talmadges dominated Georgia politics for over fifty years, until Herman was defeated in 1980.

⁴ Gary Pomerantz, “Herman Talmadge, the ‘Late’ Senator? He Gets Up at 3:30 in the Morning,” *Atlanta Constitution*, 27 December 1992, D11.

⁵ The “two governor conflict” began in 1946 when Eugene Talmadge was elected governor in the general election. Because he was in failing health, some of his supporters had started a write-in campaign for Herman Talmadge, his son, during the general election. Eugene died in December 1946, before being sworn in as governor. The Georgia General Assembly elected Herman as governor. Outgoing governor Ellis Arnall refused to surrender his office unless it was to the just elected lieutenant governor Melvin Thompson. After a period of uncertainty, the Georgia Supreme Court ruled that the constitutional portion under which the General Assembly had elected Herman Talmadge did not apply. The court declared M. E. Thompson acting governor until a special election could be held. In September 1947, Talmadge was elected governor. He was re-elected in 1950, serving until January 1955.

Herman Talmadge served six years as Georgia's governor and twenty-four years as United States Senator. Talmadge achieved his greatest national prominence through his role on the Senate Select Committee on Presidential Campaign Activities, which investigated the Watergate break-in and ultimately led to the resignation of President Richard M. Nixon and the conviction of three cabinet members on felony charges. Talmadge thought that the Watergate investigation was one of the most important events in the history of the United States because it demonstrated that a republican form of government has a way of correcting the conduct of public officials and alerting others not to make the same mistake.⁶ These sentiments would prove ironic in light of charges made against him a few years later.

At the same time he was gaining national recognition, Talmadge was besieged by a series of personal and political tragedies. In 1975, his son Robert drowned in a swimming accident at Lake Lanier, Georgia. By the fall of 1977, Betty and Herman Talmadge had divorced. Then, in 1978, Talmadge confronted his serious drinking problem. Following an alcohol treatment program at the naval hospital in Long Beach, California, he returned to Washington ready to work. Instead, he was met with accusations of dishonor.

⁶ Herman E. Talmadge, *Talmadge: A Political Legacy, A Politician's Life* (Atlanta: Peachtree Publishers, 1987), 298.

Shortly after returning to Washington in December 1978, Talmadge was notified that the Senate Select Ethics Committee had "substantial credible evidence" that he had violated Senate rules and faced trial-like hearings on these charges.⁷ He was accused of misappropriating office funds and campaign donations for his own personal use.⁸

The case was the first Senate disciplinary proceedings to go to the trial stage since 1967 when the Senate censured Senator Thomas J. Dodd, Democrat from Connecticut. Thirteen years later, the careers of three senators would be shortened by their involvement in the Keating Five case.

By September 1979, the Senate Ethics Committee unanimously recommended that the Senate "denounce" Talmadge for his financial misconduct. He was charged with submitting bogus expense vouchers and diverting campaign funds for personal use through a secret account. The committee rejected a proposal to censure Talmadge. Censure was considered the strongest Senate penalty short of expulsion. The committee stated that Talmadge's conduct "was reprehensible and tended to bring the Senate into dishonor and disrepute."⁹ Yet the committee evaded

⁷ "Senate Ethics Committee Votes for Formal Action in Talmadge Investigation," *Inside Congress*, 23 December 1978, 3493.

⁸ "Talmadge Opens Own Defense in Ethics Case," *Congressional Quarterly*, 5 May 1979, 828.

⁹ "Panel Urges Senate 'Denounce' Talmadge," *Congressional Quarterly*, 15 September 1979, 2025.

the question of Talmadge's direct involvement in the financial misconduct. Instead the committee stated that "Talmadge either knew, or should have known, of these improper acts and omissions, and therefore, by the gross neglect of his duty to faithfully and carefully administer the affairs of this office, he is responsible for these acts and omissions."¹⁰

Talmadge proclaimed the committee's action "a personal victory" and said the findings "support my basic contention...that I was negligent in the oversight of my office, but that I have committed no intentional wrongdoing."¹¹ By a vote of 81 to 15, with four voting "present," the Senate "denounced" Herman E. Talmadge, and he was required to refund at least \$13,000 to the Senate. His administrative assistant, Daniel Minchew, who was a key witness in the Senate investigation, later pled guilty to making false statements to the government. Minchew served time in a federal prison.

Despite the problems surfacing in his fourth senate term, Talmadge sought re-election in 1980. Many were surprised, especially Talmadge himself, when he was rejected by Georgia voters, Talmadge's only electoral defeat. His twenty-four years of service in the United States Senate ranked him fifth in seniority among Senate Democrats and seventh overall by the time he left office. Talmadge gained national recognition during the Watergate investigation and

¹⁰ Talmadge, *Talmadge*, 334.

¹¹ *Ibid.*

emerged out of the shadows of his late, controversial father, Eugene Talmadge, and former senior senator from Georgia, Richard B. Russell.

In 1977, a year before the Ethics Committee charges, a \$3 million endowment fund was established by the University of Georgia's (UGA) School of Law to honor "the contribution of United States Senator Herman Talmadge and the Talmadge family to the state of Georgia."¹² Several prominent Georgia attorneys had major roles in the fundraising campaign. The endowment was to establish a Talmadge Foundation, encompassing the Dean Rusk Center, the Talmadge Library, a moot courtroom named after Talmadge, and an endowed Talmadge professorial chair in the law school.¹³ Another focus of the foundation fund was to increase student scholarship aid in an effort to attract many highly qualified law school applicants.

According to James Dunlap, endowment chairman, the fund was established in Talmadge's name "in recognition of his contributions to his state and nation as senator and governor, and the prominent role the Talmadge family has played in the advancement of Georgia, especially in

¹² "Multi-Million Dollar Fund to Honor Talmadge," *Columns/University of Georgia Faculty-Staff News*, 31 October 1977, 1.

¹³ Rogers Wade, Administrative Assistant to Herman Talmadge, Wade telephone interview by author, 1 June 1994.

education and economic development."¹⁴ During Talmadge's six years as governor, \$275 million worth of new schools and college buildings were constructed. More state money was spent on public schools and colleges than during all previous administrations combined. He continued to support education as a U. S. Senator on the Finance Committee by encouraging industrial development in Georgia which provided additional revenues for public education both at the secondary level and college level.

Talmadge was approached for the fundraising campaign because of his popularity in the state. The UGA Law School believed he was a sure way to raise money for them. Although he did not actively solicit money for the law school, he gave his support to the project. Then, during the height of the ethics controversy, it appeared to Talmadge and his supporters that a conscious decision was made by the law school not to proceed with the Talmadge Foundation.¹⁵

In spite of this apparent decision, Fred Davison, president of UGA, solicited Talmadge's papers in early 1981. The papers, 1,650 boxes or 25 tons of material, arrived at the university later that year and were temporarily stored in the Richard B. Russell Memorial Library. The ultimate disposition of the papers had not been decided; they would either stay at the Russell Library or be placed in a special facility inside the Law School. Talmadge had also

¹⁴ "Multi-Million Dollar Fund to Honor Talmadge," 1.

¹⁵ Wade, 1 June 1994.

been approached for his papers by the agriculture school at the University. They, like the law school previously, promised the Senator his own library.¹⁶ Neither the law school nor the agriculture school had an archives, nor were they considering developing an archival program for just these papers. The University of Georgia Libraries already had three established special collection departments, which included the Russell Library.

The papers came to the Russell Library initially because Talmadge was very familiar with this particular institution. He was the first chair of the Richard B. Russell Foundation which established the library in 1974. Senator Russell personally selected Talmadge to be the first chair. Talmadge, according to a former Russell aide, raised over 80% of the funds to establish the Russell Foundation.¹⁷ Talmadge attended the dedication of the Russell Library with several of Russell's contemporaries and he knew of its solid reputation.

Yet it would not be until 1988 that a final decision was made as to where the Talmadge papers would to be housed permanently. According to Talmadge's administrative assistant, Rogers Wade, there was no question in Talmadge's mind that if there were no Talmadge Library established in the Law School then the papers were to go to the Russell Library. Although some \$2.5 million

¹⁶ *Ibid.*

¹⁷ Charles Campbell, 1980 Campaign Manager for Herman Talmadge, interview by author, 26 May 1994.

was raised by the Law School project by 1979, the proposed Talmadge Foundation, separate Talmadge Library, and moot courtroom never materialized. Only the Talmadge Chair of Law, established in 1978, exists. It should be noted of the approximate \$2.5 million raised by the law school, none was given to the Russell Library to assist in the expense of processing or housing this collection. There is no apparent animosity between Talmadge and the law school, although to this day there is a distinct chill. Talmadge felt used and discarded by the law school, according to his former administrative assistant Wade.¹⁸

Despite the earlier uncertainty of where the Talmadge papers would ultimately be housed, the Russell Library gladly accepted the official donation of the Talmadge Collection in 1988. The Talmadge Collection fits the mission of the Russell Library, which is to collect the papers of twentieth-century Georgia politicians, elected officials, federal appointees, and political parties and groups. It also complements the Richard B. Russell Collection, the cornerstone collection of the library, in subject matter, date span and events. Furthermore, these two collections are important because members of the Russell and Talmadge families dominated Georgia politics during the first three-quarters of the twentieth century.

Processing of the Talmadge papers was completed in 1992. In accordance with the Privacy Act of 1974, the only

¹⁸ Wade, 1 June 1994.

section of the collection that is not available for research use is the case mail. Case mail consists of correspondence from constituents and federal departments or agencies and casework reports. This documents the public official's assistance with constituents and their difficulties related to the federal government. Talmadge has not restricted any section of his papers for research purposes and no part of his collection has been destroyed. Even sensitive topic files like those on civil rights, Vietnam, Watergate, and transcripts from his ethics trial remain open to the public. The Talmadge Collection consists mainly of official files reflecting the career of the former Georgia governor and United States Senator. Talmadge himself has been accessible to students and other researchers for interviews on a variety of topics.

A reception honoring Talmadge for the donation of his papers to the Russell Library was held in the spring of 1988. Senator Talmadge was touched by the outpouring of support of old friends and colleagues on that day. Many people from around the state and region attended the reception, much to his delight and surprise. "It was a day that meant more to him [Talmadge] than any other since his defeat in 1980," declared Rogers Wade. "Talmadge is an historian by nature, although he has no understanding of his place in history."¹⁹

There are numerous other public figures who have left office touched by scandal, and undoubtedly there will be

¹⁹ *Ibid.*

more in the future. Many of these individuals are resentful of their forced retirement from office, whether it is precipitated by the Congress or the electorate. That resentment or resulting distrust of the media and the public can easily impact the acquisition of such collections as well as their subsequent research access.

Acquiring the Talmadge papers was a valuable experience for the staff of the Russell Library. The primary difficulties included not being part of the initial discussions on soliciting these papers and lack of available funding to care for the collection once it was decided where it was to be permanently housed. Being outside the loop hindered the library staff members from making contact with the donor directly. The politics involving three different university areas impeded decisions concerning what was ultimately best for the collection.

An important lesson to follow is to try to participate in the preliminary discussions concerning the acceptance of collections before they are given to one's repository. Today, the Russell Library staff has more leverage to participate in these initial discussions than they did during the period of the Talmadge gift. With over twenty years of successful development, the Russell Library now enjoys a position of strength within the university libraries' administration, and the staff has gained considerable support for the Library's programs and services. The Russell Library, a department within the University of Georgia Libraries, is administratively under the Director of Libraries.

Equally important is the need for repositories to approach high-ranking public officials at the moment they enter office. By starting a relationship with a public official early in his/her career, a repository ensures a better chance of obtaining that individual's papers. Subsequently, if any problems occur, at least the public official will have given thought to the disposition of his/her papers. In times of crisis an official's staff may take it upon themselves to make major decisions about the disposition of papers. Fearing damage to a reputation after a lifetime of service, staff aides tend to adopt the attitude: "when in doubt, throw it out."²⁰ This is a disastrous move for repositories interested in a public official's papers.

Another advantage to working with a public official early on in his/her career is the establishment of a trusting relationship with the individual and the staff as someone who is acting in their interest. Organizing their noncurrent records for the reference needs of the office and preserving the history of the accomplishments of the entire staff will validate the importance of these records. In addition, by working with the staff at the beginning, the archivist will be able to document the work flow of the office. This is an important step in understanding the work of an office and will assist in future appraisal and processing decisions. The archivist will also be able to assist with implementing records management, weeding and storage guidelines. Being able to offer advice on archival and records

²⁰ Richard B. Baker, "Managing Congressional Papers: A View of the Senate," *American Archivist* 41 (1978): 295.

management should improve the quality of materials saved.²¹ This will help prevent hasty decisions from being made in a time of crisis.

A repository should be ready to respond quickly if unfortunate circumstances do arise. When Harrison Williams, the senator from New Jersey who was convicted in the ABSCAM scandal, left office, he contacted the archivist at Rutgers University to pick up his papers. The archivist was given only 24 hours notice to collect Williams's papers. Williams has not restricted any of this collection from research, although use has been hindered by lack of funding to process the collection.²²

The archivist must be prepared for hurt feelings on the part of the donor and for difficulty in raising funds for processing and housing the collection. Although the initial response by researchers may be to study the scandal itself, later they will begin to utilize the entire collection. It is important to obtain these collections and make them available for future use.

While it may be true that bad news tends to get more attention than good, controversy only holds public attention for a very short period of time. It is crucial to emphasize to

²¹ Susan Goldstein, "Appraising a Retiring Senator's Papers: A View from the Staff of Senator Alan Cranston," *Provenance* 10 (1992): 30-31.

²² Ron Becker, "Beyond ABSCAM: The Harrison Williams Senatorial Papers" (Paper delivered at the fifty-eighth Annual Meeting of the Society of American Archivists, Indianapolis, Indiana, September 10, 1994).

those public officials affected by disgrace that they should not forget how significant their work has been overall. Since they were elected to hold office by the electorate, every citizen has the right to have access to these papers. It is crucial for the public official to make sure this occurs. "The archivist has a major role to play in guaranteeing that these collections will be as rich and available as possible," asserts Richard Baker, U. S. Senate Historian. "The quality of research in the late twentieth-century political history will be determined in large measure by the foresight and initiative of today's archivist."²³ When controversy has touched a public official, archivists must rise above the sensationalism of negative publicity and inform officials of the long-term importance of their papers, not simply in regard to the official's career but to the study of the entire American political system.

Pam Hackbart-Dean is an archivist at the Richard B. Russell Library for Political Research and Studies, University of Georgia Libraries. She presented a version of this paper on September 10, 1994 in Indianapolis, Indiana, at the fifty-eighth annual meeting of the Society of American Archivists.

²³ Baker, 296.

Reviews

Sharing the Responsibility: Communities and Their Records. McCarnish Broadcast Center, Rhinehart College (VHS, Color, 20:21), 1996.

Funds for the video, workshops, and grants have been made available from state appropriations and from the National Historical Publications and Records Commission grants. The video, is available for purchase from the Georgia Department of Archives and History, Box RAB, 330 Capitol Avenue, S.E., Atlanta, GA 30334. Price, \$10.

The Georgia Historical Records Advisory Board (GHRAB) and the Office of the Secretary of State's Department of Archives and History, as part of their mission to help improve the condition of Georgia's heritage, produced this twenty-minute video to illustrate how several communities have successfully addressed their records problems. The effectiveness of this professionally produced video is in hearing first-hand from the archivists, private citizens, and local officials who have been involved in the records management program's public-private partnership plan. They tell how partnerships between Georgia

communities and GHRAB improve the preservation and use of local historical records and documents, with professional guidance of the Advisory Board. Included on the tape are representatives from community sites in the Gwinnett County Records Program, Thomaston-Upson Archives, Troup County Archives, and Rome-Floyd Records Program, telling of their experiences and benefits from these partnerships.

The video tape, funded by state appropriations and grants from the National Historical Publications and Records Commission, introduces efficient and productive ways in which communities are working together to accomplish these goals. The concept of forming a public-private partnership to preserve their history, successfully adopted by these Georgia communities, prompted GHRAB to highlight the video presentation with some of their success stories. Archivists, records managers, citizens, and officials describe how they have joined efforts effectively.

Lewis Massey, Georgia Secretary of State and Chairman of the State Records Commission, tells of the involvement of his office in assisting and encouraging local governments and state agencies in learning how to create and maintain efficient records management programs. "Together," he says, "we can preserve our State's rich heritage while improving government efficiency."

The Georgia General Assembly created the Georgia Historical Records Advisory Board in 1993 to evaluate conditions of records statewide and to educate the public about their documentary heritage. Dr. Ed Weldon, Director of the Georgia Department of Archives and History, is

coordinator of the Board. Experienced record administrators are appointed to the Board by the Governor, and their first priority is to address the needs of local government records. With the help of a planning grant from the National Historical Publications and Records Commission, the Board was able to survey more than 1,000 local government officials, organizational leaders, and private individuals, and to ask them about their record concerns.

"Several issues clearly stood out as areas for action, such as: public awareness, electronic records, safe storage, use, and greater access," Dr. Weldon said. A grant of \$300,000 was awarded to the Board by the National Historical Publications and Records Commission to improve records management programs in Georgia's local government.

The strategy is to work cooperatively, both public and private, to help Georgians help themselves, and in turn, to help their neighbors. An important partner in this mission is the Georgia Records Association, a group of government records managers throughout the state working together with information and records management training through newsletters and workshops. Dr. Weldon explains that the Association provides users with the latest in information on technology and legal requirements regarding records keeping. He adds that it is a great resource for those who are seeking to know more about records and information management at all levels.

Interviews during the video with archivists and records managers throughout Georgia give a comprehensive

overview of their operations. They credit much of their efficiency to the assistance they receive from the Georgia Records Association, an important partner of this mission.

Maria Bradbury, with the Gwinnett County Records Center established in 1983, says the Center contains microfilm, sound recordings, images, area photos, maps, drawings, and other historical items and records, a total of 23,000 cubic feet, or approximately 66 million documents. "With our system," she says, "we can get a request for a particular document and can find it, retrieve it, copy it, and have it ready for pick-up in under thirty minutes."

Winston Walker, Archivist of the Thomaston-Upson Archives, in describing their new archives facility, formerly the High School Library, pointed out that the building was deeded to the city and county by the school system through the efforts of the Upson Historical Society and generous donations by the Thomaston Mills Community Enterprises. "That is an example," he says, "of the success of public-private partnerships."

Kaye Lanning Minchew, director of The Troup County Archives, describes the success of their citizens in organizing an archives to save and protect their documentary heritage. The archives provides records management for the city, county, and school board, and maintains a collection of archival materials used by the public. She tells of the near loss of records dating from 1827 in a courthouse fire in 1936, and of their later deteriorating from lack of proper storage.

Concerned members of the Troup County Historical Society set out to find the funds to create a records management program. The building they are in now was remodeled and donated to the Historical Society by the Callaway Foundation. "We would like to say this 1917 bank building, designed to keep your money safe, is now keeping your heritage safe and accessible," she says. "All of the generous donations, including a grant from the National Historical Publications and Records Commission, have helped expand the program into another building across the street, the storage space needed to serve the growing community."

An example of a cooperative effort by several government agencies combining to serve the community in the Records Management Program is described by Steve Mull, director of the Rome-Floyd Records Program. In 1983, they were to provide service to four local governments, Floyd County, City of Rome, Floyd County schools, and Rome city schools, the first program in the United States to have served so many separate entities. The governing Board, including one representative from each government, and a citizen representative, has won a number of awards and recognitions for efficiency and service to the city, county, and citizens. "The goal is to offer efficient records management and archival services to the government we serve," Mull said, "and in turn, to the town's citizens."

The video tape is recommended for archivists, community citizens, and officials who are interested in protecting archival material. The tape also stresses the numerous contributions to archival endeavors being made

by private citizens and government officials. Program host Dan Chandler encourages those who are interested in creating and maintaining a records management program, and in finding resources to improve records management activity and programs, to call 404-657-3849 for further information.

Clarece Martin

Archivist - The Westminster Schools (Atlanta, GA)

Archivist - The Sea Island Company (Sea Island, GA)

Archivist - East Lake Golf Club (Atlanta, GA)

* * *

The Trans-Mississippi West, 1804-1912. Part I: A Guide to records of the Department of State for the Territorial Period. Compiled by Robert M. Kvasnicka. Washington, D.C.: National Archives and Records Administration, 1993. ISBN 0-880875-00-4. \$10.00

The Trans-Mississippi West, 1804-1912. Part II: A Guide to Records of the Department of Justice for the Territorial Period. Compiled by Robert M. Kvasnicka. Washington, D.C.: National Archives and Records Administration, 1993. ISBN 0-880875-00-4. \$10.00

Contact: Vashti Fisher, NARA Sales Promotion Branch (NECM), Washington, D.C. 20408. Telephone: (202) 501-6056.

This prizewinning two-volume guide will be a valuable reference tool for repositories and libraries interested in this area and time period. Robert Kvasnicka won the 1995 C.F.W. Coker Prize for Finding Aids for this guide, and

received a wonderful review in the November 1995 *SAA Archival Outlook*, [he] "has compiled a guide which exemplifies the best of archival description. It is a clear concise, well-indexed, analytical tool which will facilitate research on the Trans-Mississippi West...Each record group is well outlined and placed in context, the provenance of each series is clear, and the indexes are well designed to guide researchers seeking material by subject and personal name." (p.21)

Records of the Department of State in the National Archives that are associated with the American West are identified and described in the first volume. These include the *Territorial Papers*, maintained by the department of State; records relating to Presidential appointments and pardons; correspondence with departmental officials at posts in Mexico, Canada, and the Republic of Texas; records of commissions responsible for establishing international boundaries of the United States and claims settlements involving the Republic of Texas, Great Britain, and Mexico; and records concerning Government exhibits at international expositions held in the western United States. The arrangement of this guide is by record group and incorporates data taken from pertinent descriptive materials previously produced by the National Archives. The compiler notes that instead of merely reproducing inventories, an attempt has been made to present a different viewpoint, with more emphasis on subject matter, specific examples, and practical guidance on using the records.

The second volume of this series focuses on the department of Justice records in the National Archives

which relate to the American West. These include correspondence of the Attorney General's office; records relating to appointments of Federal judges, attorneys, and marshals; dockets and case files documenting the activities of U.S. attorneys and marshals; case files for Indian depredation claims and other claims brought against the United States; various records of the Bureau of Prisons regarding prisoners in State and Federal penitentiaries; Presidential pardon case files and Utah amnesty case files; and investigative case records compiled by predecessors of the Federal Bureau of Investigation. In the preface, Trudy Peterson notes that users of this guide will find the records described in this volume are, additionally, sources of information about social tensions involving minority or dissident groups, competition between political factions, public attitudes and morals, the use and exploitation of natural resources, and many other issues relating to the settlement and development of the Trans-Mississippi West. There are currently two forthcoming volumes in this series:

Part III: A Guide to records of the Department of Agriculture for the Territorial Period

Part IV: A guide to Records of the Department of the Interior for the Territorial Period.

Pamela M. Witte

Archivist

Georgia Department of Archives and History

University Archives and Records Service: A Guide to the Archives of the University of North Carolina at Chapel Hill. Compiled by Michael G. Martin, Jr. and Susan C. Ballinger. Chapel Hill, N.C.: 1995.

* * *

Guide to the University Archives of the University of New Hampshire. Compiled by Frank T. Wheeler. Durham, N.H.: 1994.

In the early 1990s, both the University of North Carolina at Chapel Hill and the University of New Hampshire received grants from the NHPRC to survey and schedule university records. These guides are the results of those surveys, and are two excellent paper guides to their respective repositories. Yet, one might wonder what is the point of a paper repository guide in this increasingly electronic world.

The purpose of the Chapel Hill guide, compiled by Michael G. Martin, Jr. and Susan C. Ballinger, is to "give an overview of the records groups held in the University Archives" and "summary access to those holdings to persons who do not have access to the online catalog records." This statement points to the reason paper guides to collections are still valuable and viable. Not everyone, and indeed, probably not most people, has easy access to electronic catalogs or Internet sites. Paper guides still fill a very great need, and while they will not be necessary forever, they will still be important for years to come. At the time the UNH guide was compiled by Frank Wheeler, there was no online access, other than the library OPAC, to their finding aids (since then, UNH has established a WWW site for its Archives).

Both guides provide the basic information necessary for any repository guide, whether it is paper or electronic: an introduction to the institution and the repository; instructions

on how to use the guide, and how to navigate the organizational scheme; an index; and, of course, summary descriptions of the records groups and collections. The UNH guide also includes policy documents such as their mission and collection policy statements, and their records authority statement. These documents help to establish the legitimacy of the archives, and are specially important to a department that was relatively new in the university community.

One nice touch in the Chapel Hill guide is the inclusion of reproductions of collection material. Preceding each new record group listing is a reproduction of a document from the collection. Although most are facsimiles of written or printed material, they do provide a glimpse of some of the wide range of material in the collections.

Both guides are clearly organized, well written, and this is most important, are usable tools for discovering what is in the repository. A researcher, whether a member of the university community or not, could consult either of these guides and quickly discover if the material they seek is in the archives. This functionality lies at the root of any good access tool, and these guides are functional in the best sense of the word.

Greg Colati
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Brunswick, Maine

* * *

The Archival Enterprise: Modern Archival Principles, Practices, and Management Techniques. By Bruce W. Dearstyne. (Chicago and London: American Library Association, 1993. Approx. 272p. ISBN 0-8389-0602-8;

\$55.00, \$49.50 ALA Member Price, ALA Order Code 0602-8-0019).

In writing *The Archival Enterprise*, Bruce W. Dearstyne provides the archival community with a comprehensive book covering many topics of the archival profession in a concise and easy to read format. The book gives beginners sound basic knowledge of many topics and issues which can be explored with more detailed/technical books. However, its value is definitely not limited to those just entering the profession. Instead, seasoned archivists will find his discussions of changes in the field and new issues, such as electronic mediums, helpful and informative. His description of the archival profession is so exciting and insightful it will inspire those who have become jaded to reexamine this noble endeavor.

Dearstyne begins with the fundamentals in an introduction filled with descriptive definitions, giving the reader a good foundation of basics. Dearstyne also begins the book by establishing three case studies of imaginary institutions which differ in repository type and mission. He continues to use these repositories throughout the book in order to illustrate issues and problems under discussion. This gives the theories and practices practical applications, enabling the reader to see examples of how they are applied. However, these case studies are not a distraction to the more advanced reader because they are set off from the rest of the material with bars on special pages following the appropriate section of material.

A broad number of issues are addressed in the book including such fundamentals as collection policies, donor relations, mission statements, relationship with the parent institution, and appraisal of materials. Good explanations of the general task of processing and cataloging via RLIN and OCLC are also included, giving beginners a nice overview.

For the more advanced archivists, insightful ideas are provided on topics such as staff management, public relations, security, and marketing. Other helpful items included in the book are example forms ranging from inventories and patron sign-in forms to preservation management records that both beginners and seasoned professionals will find beneficial.

Beyond theory and practices, Dearstyne also provides an excellent history of the profession and of the Society of American Archivists and related organizations. Bringing the history up to date, he even discusses many of the issues faced by the profession today, such as certification. Dearstyne is able to discuss these without revealing his biases and without forcing his opinion.

The layout of the book makes for quick reading and easy comprehension. Key ideas are set off in italics for quick locating and are followed with short, explanatory paragraphs. The text is well documented with endnotes following each chapter with the chapters being of a good length and flowing together.

Tammy Harden Galloway
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INFORMATION FOR CONTRIBUTORS

David B. Gracy Award

A fifty dollar prize will be presented annually to the author of the best article in *Provenance*. Named after David B. Gracy, founder and first editor of *Georgia Archive* (the precursor of *Provenance*), the award began in 1990 with volume VIII and is judged by members of *Provenance's* editorial board.

EDITORIAL POLICY

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*.

Manuscripts and related correspondence and books for review should be addressed to Sheryl B. Vogt, Richard B. Russell Library, University of Georgia Libraries, Athens, GA 30602-1641.

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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. Articles submitted on diskette (IBM compatible, in unformatted ASCII form) are welcome. Diskettes should be accompanied by three formatted hard 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*, 14th edition.

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Use of terms which have special meanings for archivists, manuscript curators, and records managers should conform to the definitions in Lewis J. Bellardo and Lynn Lady Bellardo, compilers, *A Glossary for Archivists, Manuscript Curators, and Records Managers* (Chicago: SAA, 1992). 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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