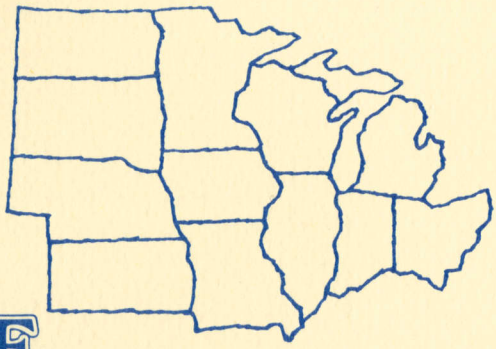

THE MIDWESTERN ARCHIVIST

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EDITORIAL POLICY

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

Manuscripts should be sent to Mary Lynn Ritzenthaler, University of Illinois at Chicago Circle, Box 8198, Chicago, IL 60680. Decisions on manuscripts will be rendered within eight weeks of submission. Offers to review books or suggested books to review should be sent to Nicholas C. Burckel, Book Review Editor, University Archives, University of Wisconsin-Parkside, Kenosha, WI 53140.

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

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

Cover Design by Paul Hass

THE IMPORTANCE OF FINANCIAL ANALYSIS OF ARCHIVAL PROGRAMS

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Financial aspects of archival administration can be divided into two basic areas—regular institutional support and special grants for limited term projects. As such, financing is an essential element of any archival program, but it has been widely neglected in the professional literature. While much ignored, the budget is central to the operation of any archives. It provides salaries for staff and covers the cost of equipment and supplies. It dictates the types of programs that the archives can pursue. Grants for special purposes are also important since, with more repositories relying on them for supplemental support, their preparation and administration constitute a growing segment of the archivist's duties. This essay argues that the major functions of an archives can be measured on a cost-per-unit basis, and that detailed studies in these terms can be an important administrative tool when dealing with both budgets and grants. It examines the development and measurement of both regular operating budgets and grants, and it suggests areas for further study by archivists. Although this article has been influenced by experience in college and university archives, the financial considerations it delineates have a broader application.

Despite the obvious importance of financial support for archives, the subject has received inadequate attention in the professional literature. Theodore Schellenberg's *Management of Archives* and *Modern Archives* do not cover the financing of programs. Kenneth Duckett's *Modern Manuscripts* provides a good general survey of funding and budgeting, but reviews of the book have generally neglected Duckett's discussion of funding in favor of the technical chapters on preservation, finding aids, and public services.[1] Nevertheless, the purpose of these basic texts is to supply information on archival methodology and techniques. They are probably less appropriate forums for discussion of finances

than the periodical literature. Yet even the latter has neglected financial questions, and one is hard-pressed to find information on the subject. Frank Evans' *Modern Archives and Manuscripts: A Select Bibliography,* and the annual updates in the *American Archivist,* do not even include categories on budgets, financing, grants, or other monetary matters. The bibliography in the most recent issue of *Archivum* shows that finances and general administration have been neglected in other countries as well.[2] Generally if financing is mentioned in archival publications in the United States, it is normally as part of a discussion of the activities and purposes of the National Historical Publications and Records Commission (NHPRC). These notices, and the more recent reports in the *Newsletter* of the Society of American Archivists on grants made by the NHPRC and the National Endowment for the Humanities (NEH), have focused on special grants made for particular projects.[3] While these grants are important, they should not obscure the need for addressing the problems of ongoing financing of archives. Other publications and bibliographies reveal similar lacunae regarding the financial aspects of archives. *Library Literature* does not include "Finances" as a subheading under "Archives," although it has similar headings under such categories as "Special Libraries." Moreover, a search through *Library Literature* revealed nothing specifically on archives under the headings where financial topics appear.[4] Some articles concerning budgetary problems of libraries and the methods librarians have adopted to pursue outside support can be stretched to apply in part to archives.[5] These articles, however, are of limited value to archivists who confront different problems than do librarians. Archivists, for example, are not constrained by the inflation of book prices, but they need sound advice on such problems as the advisability of an acquisitions program when funds are insufficient to process a large backlog of previous accessions. Still, library-oriented articles discussing the preparation of budgets may provide the closest available models for archivists. In the area of special grants, however, these articles do not address the particular interests of archivists. They often go no further than describing the best format for proposals, listing sources of grant money, and giving elementary pointers on "grantsmanship."[6]

It is difficult to explain the lack of literature on archival financing, but several factors deserve consideration. For many years, the National Archives and Records Service (NARS) has exercised a strong

influence on American archival literature.[7] Since the late 1960s, this has changed somewhat. Authors employed by NARS, for example, accounted for 28 percent of the articles in the *American Archivist* for the period 1963-1968, but only 18 percent for the period 1969-1974. Because of NARS's unique institutional background, there was little need to discuss budgetary matters. To a large extent, the Society of American Archivists has replaced NARS as the source of professional literature, especially through its basic manual series. While it has not yet covered financial questions and basic problems of program management, its forthcoming manual on the administration of archives by Robert M. Warner may fill this gap.

Another important reason for the lack of attention to financing may be that the profession has focused too heavily on techniques. A survey of broad categories of subjects covered at the last four annual meetings of the SAA illustrates this. In these panels, workshops, and seminars, techniques and problems in servicing collections accounted for 60 percent of the sessions, whereas administration accounted for 5.6 percent, grants 4.5 percent, and regular budgeting 1.0 percent (the remaining 29 percent concerned general matters, such as uses of archival materials, education, and the status of the profession). Finances also may be ignored because archival budgets, on first examination, do not seem to differ from ordinary budgets, and discussions of archival techniques appear to be far more interesting. However, several important issues related to finances need to be addressed by the profession. Literature on this subject must rely heavily on the actual experience of archivists, and thus may be as varied as the number of archival programs. Yet, some important generalizations can help focus the study of budgetary operations.

OPERATING BUDGETS

A budget can be defined as the regular allotment of funds upon which the continued existence of a program depends. Items such as staff, space, basic services, supplies, and equipment should be considered as integral parts of the budget. Any study of the structure of archival budgets must also include a comprehensive analysis of archival operations. All operations and services can be measured in terms of manpower and then converted into operating dollars. Thus,

while many archivists may not have an allocation in actual dollars, the staff and services that are provided for them should be seen as a budget. Archivists bear the responsibility for allocating budgeted resources within their programs, as well as for justifying their programs to obtain continued support.

While there is a wide variety of arrangements for the regular support of archives, they can be reduced to two basic alternatives: an independent budget and a dependent budget. Relatively few archival agencies, such as historical agencies and societies supported by public contributions, have independent budgets. This arrangement lessens the likelihood of arbitrary massive cuts in funding by distant financial administrators, but it does not guarantee stability. In fact, in agencies with an independent budget, slight fluctuations in the economy can cause major disruptions of resources and services. Thus, archivists with "independent" budgets will have to allocate carefully the money provided to them.[8]

The large majority of archives have a budget which is a part of a larger institutional or governmental budget. An example of this type is the budget of a state university archives, which may be part of the school's library budget, which in turn may be one item in the university's total financial needs statement as submitted to the state legislature for consideration as part of the overall state budget. Archivists may occasionally benefit from this situation because surplus funds sometimes appear within larger institutions. More often, they are confronted with the difficult task of justifying their programs to several administrators, each with different priorities. For example, an archivist within a university library may have to emphasize reference service to justify the program to the director of libraries, but emphasize the archives' public relations value to impress a university vice-president. Archivists must first determine which administrators hold the crucial authority over their budgets, and then use appropriate arguments to "sell" the program to each of these administrators. Few archives will ever be "cost-effective," but they will still be supported because of their administrative, research, and public service value. Unfortunately, unless archivists become better informed about the financial nature of their operations, they will be increasingly hard-pressed to justify their expenses. While many archivists with a research background may resent the application of financial measurements to their programs, they may well have to face such criteria when financial

problems beset their parent institutions.

Archivists must have a firm grasp of the cost of normal operations in order to justify the existence of their programs, and to establish guidelines for their activities. Maynard Brichford, archivist at the University of Illinois at Urbana, provided an example of such an analysis in a workshop at the 1976 annual meeting of the Society of American Archivists. Through the use of charts and graphs, he described the operations of the University of Illinois archives in terms of growth in budget, space, and holdings, productivity of staff, and the unit costs of processing and reference operations. The actual data on these charts may not apply to other institutions, but the theory behind such analyses may be valuable in most other programs.

The theory that all activities can be measured on a cost basis provides the foundation for an "operations analysis" of any archival program. If an accurate estimate of the cost of archival services is to be obtained, the archivist will have to examine carefully the basic archival operations to isolate the cost of each of his activities. Such an analysis should focus on three principal items supported by the budget—staff, equipment or supplies, and space. These factors must be studied in relation to the three main activities of archives—appraisal, including records management; processing; and reference use.[9] The archivist must first investigate the duties performed by all staff members, analyzing each position to determine the approximate percentages of time spent on reference service, processing, records management, appraisal, supervision, administration, research, clerical work, and moving and shelving of boxes. Such a study should reflect a differentiation in the activities of the staff according to their rank as professional, paraprofessional, clerical, student (or other part-time help), and volunteer.[10] Professional staff should concentrate mainly on administration, supervision of staff, research, appraisal, and records management. They should also participate in processing because it provides them with a firmer grasp of the content of their collections. Clerical staff should be responsible for office work as well as some administrative and supervisory duties; they may also handle some of the in-person reference service. Students, Comprehensive Employment and Training Act (CETA) workers, and other part-time or volunteer staff, can be employed in processing, moving, shelving, typing, and some reference work. An actual study of the division of these duties can increase greatly the efficiency of operations. Detailed time-motion

studies are, unfortunately, beyond the resources and desires of most archivists, but working averages can be calculated. As an example, at the University of Illinois at Urbana, surveys of staff activities during 1975-76 and 1976-77 reveal the following differentiation.

TABLE I

PERCENTAGE OF TIME BY TYPE OF STAFF

Activity	Archivist	Ass't. Archivist (half-time)	Clerical	Grad. Student	Under-graduate
Processing	20	20	5	92	22
Reference	15	20	25	3	0
Administration	15	10	10	0	0
Typing and clerical	0	0	40	0	68.5
Supervision of students	15	10	10	0	0
Research	20	10	10	1.5	4
Teaching	10	5	0	0	0
Records management	5	20	0	0	0
Moving & shelving	0	5	0	3.5	5.5

Budgeting for staff must also be studied in terms of the principal services rendered by archives, such as appraisal, including records management; processing, including conservation; and reference service. To achieve the most efficient allocation of staff-time, and to justify activities most effectively, the archivist should measure the unit cost for each of these services. Because the time required for records management varies greatly with the material being scheduled, it is difficult to determine the exact cost of scheduling a cubic foot of records unless careful time accounts are kept for an extended period and then averaged. The cost of time spent on records management

should always be balanced against the value of storage space saved by the archivist's records schedules. Perhaps the most important financial measurement of records management activities would be a calculation of the amount of dollars that records scheduling has saved an institution in storage costs. Space conscious institutions will look favorably on any program that can prove that it has saved valuable office space, or has increased the efficiency of normal operations. To determine the monetary value of records management savings, the archivist first totals the volume of the annual accumulations of all records currently scheduled for destruction. This volume is then multiplied by the amount of floor space required to hold a cubic foot of records. In many institutions, a ratio of one cubic foot per one square foot, while less efficient than records center storage, will be most accurate because of the inefficient storage of most inactive office records. The resultant amount of square feet should be multiplied by the annual cost of space, a figure that can usually be obtained from the physical plant and space offices. At the University of Illinois at Urbana, the annual cost of space is $5.00 per square foot.[11]

Archivists who are not involved in the scheduling of current records should regard their appraisal activities in similar financial terms. Judicious application of techniques of selectivity, sampling, and weeding will help insure the retention of the important records of events without unnecessary documentation. A good example of the application of such appraisal techniques is the case of large collections of personal papers of politicians.[12] This careful evaluation can result in substantial space savings. Thus, both records management and appraisal offer archivists an opportunity to justify their programs on the basis of financial savings.

One should also carefully monitor the rate of processing, which can then be used to determine the cost of processing a cubic foot of records. This will enable the archivist to use resources effectively so that collections are promptly made available for research. First, the archivist must determine what percentage of the budget can be allocated to processing, and then decide how much of that money should be spent on labor and processing supplies.[13] While it is not often possible to transfer currently budgeted money from supplies to salary funds, combining both salaries and processing supplies as part of overall processing costs will enable the archivist to establish guidelines for future budget and grant requests.

Monitoring, of course, requires that a time study be made to establish the appropriate amount of processing time per cubic foot. One could also determine approximate costs of processing based on annual report statistics if the archivist has kept adequate accounts of both hours spent by processing staff and the growth of processed holdings over a period of years. An estimate of the amount of professional supervisory time should be added to this before arriving at an actual cost per cubic foot. Different collections will, of course, require varying amounts of time. It is the professional responsibility of the archivist to adjust the processing rate according to the physical condition, type (e.g., office records, personal papers), and subject content of the records. Nevertheless, an average cost can be determined. Generally speaking, labor is the predominant expense in processing. The following chart illustrates the calculation of labor costs for processing at the University Archives of the University of Illinois at Urbana during 1976-77.

TABLE II

PROCESSING COSTS BY TYPE OF STAFF

Staff	Total Hours Annually	×	Percent Time Processing	×	Hourly Rate	=	Cost of Processing
Archivist	1824	×	20%	×	$12.68	=	$4626
Ass't. Archivist (half-time)	912	×	20%	×	6.90	=	1258
Clerical	1904	×	5%	×	4.48	=	427
Grad. Student	1548	×	92%	×	2.75	=	3916
Undergraduate	1328	×	22%	×	2.50	=	730
				Total Labor Cost:			$10,957

This amount is then divided by the total volume of records processed in 1976-77 (583 cubic feet) to obtain the average cost of labor for processing a cubic foot — $18.79.[14] Such an estimated cost per cubic foot should enable the archivist to determine the amount of processing

that the annual budget will allow. If this estimate can be based on several years' experience, it will be a valuable tool in establishing time limits on processing so that backlogs will not develop. Careful supervision of staff is then necessary to insure that these goals are reached.

Reference service can and should be measured on a cost-per-unit basis. The time required for a reference question will naturally vary depending on the complexity of the question and the status of the patron, but by keeping records of approximate time spent on each, archivists can determine an average cost per inquiry. At the University of Illinois, during 1976-77, there were 3,346 reference uses in the University Archives. Approximately 978 staff hours and $6,912 were spent on these inquiries. This averaged 18 minutes or $2.05 per reference use.[15] Experience will show the archivist that reasonable time limits can be established, such as twenty to thirty minutes per written inquiry, five to fifteen minutes for in-person inquiries. One must, however, take care not to reduce service merely to cut costs because the aim of such flexible guidelines (aside from budgetary justification) is to improve service to all users.

Equipment, such as shelving, card catalog, typewriters, microfilm equipment, and tape recorders, is important but generally forms only a small percentage of the regular budget of established programs. Assuming that processing supplies (e.g., folders, boxes, mylar) have been separated from general office supplies, equipment and supplies do not require special analysis by archivists except insofar as they have direct bearing on other archival activities. For example, money allocated to the purchase of shelving should be carefully spent on the most space-efficient shelving; the purchase of computer hardware can have a direct effect on reference service. Generally, however, such equipment is not a regular annual expenditure, and thus is not a major part of the analysis of budgets. Space, on the other hand, is often ignored as a consideration since many archives are not directly billed for the space they occupy. Because of the constant growth of holdings, and because many archives are located within overcrowded institutions (especially libraries), the acquisition and retention of space often can be as difficult as the acquisition of operating funds. For this reason, the archivist may find it productive to obtain estimates for the cost of space occupied for inclusion in the operations analysis. Accounting for annual storage costs may be most useful when appraising the research value of collections, since increasing holdings indiscriminately over a

period of time may impede the future acquisition of important larger collections.

If the archivist wishes to be aware of the amount of money and time allocated to cover staff, equipment, and space, the compilation of statistical data will be necessary. While statistics-keeping is often criticized as a cause of inefficiency, such compilations are essential for the effective management of any archival program. They provide a solid basis for three areas of archival administration that relate to the budgeting process: evaluation, operations improvement, and financial justification. By evaluating the operation of an archives according to the factors of staff, equipment, and space, the strengths and weaknesses of one's program can be determined. For example, if the growth of holdings consistently exceeds the processing of these holdings, or the capacity to house the collections under archivally acceptable conditions, there may be an inherent defect in planning. Certainly there will be years in which new collections outstrip processing, but over a five-year period, a successful program should keep pace. Conversely, the program may be chronically under-supported, thus tying the hands of even the most brilliant archival administrator. In either case, the archivist must make the adjustments necessary to insure that all services — appraisal, including records management; processing; and reference — are maintained at levels that efficiently use the available resources.

At the present time, it is doubtful that many archivists would embrace these criteria as the basis on which professional or granting agencies judge their programs. They are, however, extremely useful not only for internal evaluations, but also for formulating future budget requests. A professional literature on budgeting in this area would be most welcome.

Moreover, the above considerations can be used as justifications for programs and budgets within one's own institution. A careful analysis of all operations, and of the costs of these operations, can provide a solid basis for the defense of budgets. This will enable archivsts to deal with potential cuts as well as plan for future growth. If archivists have kept a careful record of all of the types of services they have provided, they are in a position to tailor their budget justifications to the interests of parent institutions. For example, business archives (or university archives located within administrative offices) might profit by emphasizing their productivity in terms of space saved through

records management services; archivists within libraries may want to emphasize the number and types of reference services provided. Because most archives have several different constituencies, they must analyze carefully their whole program in order to respond effectively to each.

GRANTS

Many of the considerations used in analyzing budgets and costs can be applied to special grants. An archivist who can demonstrate a clear grasp of processing and administrative costs will be in a good position to apply for, obtain, and administer grants. With the information gained from financial analysis, the archivist can isolate those projects which are too costly to be a part of the regular budget, and would thus be good candidates for grant funding. However, the variety of funding sources and types of projects sponsored makes generalizations about grants difficult. Thus, before applying for grants, archivists must know not only the financial aspects of their activities, but also a considerable amount about the agencies which award money to archival programs. Who grants money to archives? How large are the grants? What types of activities are supported?

Some of the answers can be found in the professional literature. Duckett's *Modern Manuscripts* contains a survey of agencies and foundations which might fund archival activities, and William Alderson provided practical suggestions for grant applicants in the December, 1972, issue of *History News.*[16] The *American Archivist* of July, 1977, reported on the January, 1977, funding priorities conference, but this conference focused more on the use of grant money than its role in the profession. There are three main published sources of information concerning special grants for archives — the bimonthly *Newsletter* of the Society of American Archivists, and the promotional publications of both the National Historical Publications and Records Commission and the National Endowment for the Humanities. Of the three, the SAA *Newsletter* perhaps provides the best information for analysis of grants. Since 1976, it has published regular lists of grants made by the NEH and the NHPRC to archival projects.[17] In May, 1978, it printed an introductory bibliography on fund-raising, and noted that the SAA is planning to publish a manual on fund-raising by Larry

Hackman. *Annotation*, the quarterly newsletter of the NHPRC, includes articles on projects currently being funded, lists of grants awarded, and comments on problems and methods involved in the NHPRC-sponsored activities.[18] The NEH's counterpart, *Humanities*, is broader in scope because the overall focus of the Endowment is more extensive.[19] Together these publications can provide the archivist with an indication of grant proposals that might be accepted as well as examples of those that have been accepted.[20]

Most of this literature has concentrated on lists of granting agencies, pointers on writing proposals, and lists of grants made. What is needed, however, is a more thorough analysis of the grants themselves. Some of this is beginning to appear. Larry Hackman presented a brief analysis of the NHPRC grants in the September, 1978, SAA *Newsletter;* Michael Kohl described his research on funding patterns of the NHPRC in some detail at the 1978 annual meeting of the SAA. More scrutiny is needed, especially a comparison of the NEH and the NHPRC grants, a critique of the role of grants and agencies in the profession, and an analysis of the grant process as another facet of the archivist's administrative duties. The following is a brief outline of the issues involved in these areas.

The principal agencies currently supporting archival work are the National Historical Publications and Records Commission, and the National Endowment for the Humanities. The NHPRC has two principal programs — the Records Program and the Publications Program. Since the Publications Program is aimed at the explication and dissemination of material already processed in repositories, it has limited program applications for archivists.[21] On the other hand, the Records Program is intended to support work that will, "preserve and make available for use those records, generated in every facet of life, and further an understanding and appreciation of American history."[22] Each of its five types of projects provide funds for archival programs through the support of: 1) surveying and accessioning of records; 2) preservation and reproduction projects intended to protect important records from deterioration; 3) "records use projects" involving the whole range of processing to establish intellectual control over records; 4) development or publicizing of techniques related to preservation and accessibility of records; 5) feasibility projects as preliminary studies for projects in the other four areas. These grants are awarded to individual institutions, or to several

cooperating institutions on a state, regional, or national basis; they may be either outright grants, matching grants, or a combination.

There are, however, a number of problems with the NHPRC support which prevent it from being an "archivist's bonanza." First, it has the normal bureaucratic problems involved with all grants. Second, the administration of the NHPRC is truly federal — each state governor must appoint a State Historical Records Coordinator and a State Historical Records Advisory Board, which reviews each grant proposal from within that state. Their approval or rejection is then forwarded to the National Commission, a standing board under the direction of the Archivist of the United States. The National Commission then either accepts or rejects the state's decision on the proposal (although it is unlikely that they would accept a project rejected by a state board). The problem with this decentralized review process is that individual archivists and state boards have their own perceptions of what needs to be funded, which may not coincide with those of the National Commission. Thus, in some states, few projects have received funding because of the differences in priorities between the state and national review boards. A related problem has been that many states delayed appointing the Records Coordinators and Boards. Institutions from states without them could not, until recently, apply for the NHPRC grants. This problem has largely been solved; as of June, 1978, forty-eight states have cooperated in the programs.[23]

A third, and final, problem, which raises serious questions about the NHPRC, concerns its appropriations. The NHPRC is administratively part of the National Archives and Records Service which in turn is part of the General Services Administration. In 1976 and 1977, Congress increased the appropriation to NHPRC at the expense of NARS's budget.[24] The result of this juggling of figures, especially if such decreases in the NARS budget are sustained over a number of years, will be the weakening of the National Archives. While many non-federal archivists appreciate the NHPRC grants for local purposes, few really want to support their own programs to the detriment of the largest archival establishment in the country. The appropriations issue raises an important financial question: assuming that Congress continues to manipulate appropriations in this way, should federal revenue go to a national archives or to a program for state and local agencies? It is perhaps a reflection of the politics of the 1970s that Congress, as a "representative of public opinion," is reorienting the

country's archival activity toward regional and local agencies, and away from the central government. Archivists should play a more effective role in these important governmental decisions. Before the profession can assert clarified goals and priorities, however, there must be a more thorough discussion of professional responsibilities and the grant process.

The National Endowment for the Humanities, the other major source of archival grants, funds several types of archival projects through the Research Collections Division. This division supports microfilming for preservation or collection-building, surveys of records, processing and description of records, "systems development" and automation, some oral history projects, and a few related grants for problems of interest to archivists.[25] The NEH also provides education grants, fellowships, and challenge grants, which often can be of great value to archivists. Its guidelines are more flexible, and the administration more centralized, than those of the NHPRC. The NEH uses the traditional academic research review procedures, such as those used by the National Science Foundation and the National Institutes of Health. These agencies use national experts in specific fields as reviewers for each grant proposal. Unlike the NHPRC, the NEH is not administered primarily for and by archivists; thus, archival projects may face stiff competition for NEH money. The recent appointment of John Fleckner, of the State Historical Society of Wisconsin, to the Research Collections Division does, however, reflect a growing desire to involve archivists in the administration of the NEH.

Considering the extent of archival work being supported by the NHPRC and the NEH, the professional literature contains surprisingly little analysis of their grants. Archivists need to know what projects are being funded, for what purposes, and by whom. Only with such information will they be able to clarify the relationship between special grants and the regular operation of their programs.[26] The following tables suggest the direction this analysis might take. The survey of the NEH and NHPRC grants awarded in archival areas, based on information contained in the SAA *Newsletters* of 1977, is not meant to be an exhaustive study. It is, however, a representative sampling of both the NEH and NHPRC grants.[27] The tables focus on three aspects: amount of grant, type of recipient, and purpose of grant.

TABLE V

PURPOSE OF GRANT

	NHPRC (56 grants)		NEH (43 grants)	
Activity	Number of Grants	Percentage	Number of Grants	Percentage
Processing*	13	23.2	21	48.8
Guide#	2	3.6	7	16.3
Preservation/Restoration	12	21.4	0	0.0
Professional**	8	14.3	0	0.0
Survey of Records	8	14.3	3	7.0
Microfilming (for collection or preservation)	5	8.9	1	2.3
"Basic Support"##	3	5.4	5	11.6
Collection	0	0.0	2	4.7
Combination	4	7.1	3	7.0
Other	1	1.8	1	2.3

Legend: *Processing here includes the entire range of rehabilitation, arrangement, description and other steps necessary to make material available to researchers.
#The production of a guide can certainly be considered as part of processing since it establishes intellectual control over, and thus access to, records. It has been separated from processing in those cases where the object was solely the production of a guide.
**Professional grants are generally intended to support training in archival techniques or research in the area of archival practice (such as appraisal guidelines).
##"Basic support" includes larger grants which seek to establish a program or to provide substantial support for the general needs of ongoing programs.

Here again, the NHPRC exhibits a fairly even distribution of the types of projects it supports. Considering the stated purposes of the NHPRC, it is not surprising that 76.8 percent of its grants were spread over the areas of processing, preservation, surveying of records, and the advancement of the profession. By contrast, 65 percent of the NEH grants (when processing and guides are combined) were intended to process and prepare material for research use. With the sole exception of "basic support," the NEH's efforts in the other areas were limited. However, its willingness to give money for such support should be noted, especially since this type of grant is generally large

(the largest NEH grant reported in the SAA *Newsletter* during 1977 was a "challenge grant" of $400,000 to the Schlesinger Library at Radcliffe).

Certainly, a thorough analysis of grants made over several years could be quite useful to archivists interested in tapping these sources. However, archivists need to take a critical look at the desirability of the grants themselves, especially those from the federal government. Despite the usual enthusiastic reaction to the NEH and NHPRC largess, archivists should be aware of the problems associated with awards. The selection of a potential granting agency and the completion of the application require a tremendous investment of time. Once the grant is awarded, further administrative duties include the adherence to compliance regulations and the filing of reports. Periodic questionnaires from the agency may solicit information, such as the ratio of square feet of reference space to office and storage space, or environmental conditions. Thus, if an institution has decided to pursue archival grants, it must realize that it is adding significantly to the duties of the archivist. In this sense, special grants are capable of changing the nature of the profession by increasing administrative burdens and shaping institutional programs to external priorities. Careful consideration must also be given to the fact that some institutions may deduct all or part of the grant money from the regular budget of the office receiving the grant. The wisdom of such a policy is dubious, but colleges, universities, and other institutions can become ruthless in their attempts to avoid financial problems. Research and development offices of large institutions can also impede the pursuit of grants since they act as a screening agency, and often have little interest in, or awareness of, archives. What is said here should not be construed as ingratitude for the generosity of the NEH or the NHPRC. They have brought national attention to archival needs, and without their grants, much important work in archives and manuscripts could not be done. They should, however, be regarded as only the beginning of the search for better financial support of archives.[28]

TABLE III

AMOUNT OF GRANTS

	NHPRC (56 Records Program grants totaling $1,017,823)		NEH (43 grants totaling $2,410,682)	
	Number of Grants	Percentage	Number of Grants	Percentage
Less than $5,000	9	12.5	3	7.0
$5,000 to $14,999	24	42.9	6	14.0
$15,000 to $29,999	17	30.3	6	14.0
$30,000 to $49,999	5	8.9	13	30.1
$50,000 to $74,999	2	3.6	7	16.3
$75,000 to $99,000	1	1.8	1	2.3
$100,000 to $200,000	0	0.0	6	14.0
Over $200,000	0	0.0	1	2.3

Because 55.4 percent of the NHPRC grants were below $30,000, and 65 percent of the NEH grants were above that amount, the NEH was clearly the source of more substantial support. With 58.9 percent of its grants below $15,000 the NHPRC appears to be the agency to support more modest projects. More recent information, reported in the September, 1978, SAA *Newsletter* suggests a trend towards the NHPRC's sponsorship of more expensive projects since the average grant reported was $20,000. NHPRC grants above $50,000 now account for 12.3 percent of those made, according to this later survey, whereas grants above $50,000 accounted for only 5.4 percent in 1977.

TABLE IV

TYPE OF RECIPIENT

	NHPRC (56 grants)		NEH (43 grants)	
Type of Institution	Number of Grants	Percentage	Number of Grants	Percentage
College and University	18	32.0	22	51.2
State Historical Agency	11	19.5	12	27.9
Local Historical Agency	5	9.0	0	0.0
Private organization*	11	19.5	8	18.6
Library (non-university)	6	11.0	0	0.0
Government Agency #	4	7.0	0	0.0
Combination	1	2.0	1	2.3

Legend: *Private Organizations include professional societies, museums, groups which are establishing their own archives, and research foundations.
#Government Agencies are principally State Records Advisory Boards, state records commissions, and municipal records offices.

These figures represent only those grants actually awarded and thus should not be viewed as an indication of the relative success rates by each of these types of institutions. In the statistics presented above, colleges and universities account for the largest single group of recipients. The NHPRC shows a more even distribution of its money among various types of institutions. The NEH, with its academic orientation, seems to prefer colleges and universities and state historical societies, since nearly 80 percent of its grants went to these types of institutions.

CONCLUSION

It is clear, then, that a thorough grasp of regular budgetary financing is necessary before the relative merits of special grants can be fully appreciated. By analyzing operations according to financial criteria, archivists will not only be able to improve the services they provide, but will also be able to defend their operations when threatened by budget cuts. If necessary, they will be in a better position to decide where cut-backs should first be made. In addition, by gaining a thorough knowledge of the different financial requirements of their particular collections, they will be able to select the most appropriate granting agencies for their needs with minimal disruption of their regular programs. Several other questions, of course, merit attention, such as methods of "selling" one's program, or the relative merits (from a financial standpoint) of administrative locations of archives.[29] Because financial support underlies all archival activities, the discussion of budgets is bound to encroach upon current debates about standards in specific areas, such as appraisal, conservation, finding aids, and uniform terminology. Ultimately, however, the study of archival financing will permit the archivist to serve more effectively as custodian of historical records and manager of institutional records. Until a solid understanding of the financial bases of archival practice is acquired, however, ambitious plans for processing, description, automation, and preservation will represent uncoordinated responses to current funding opportunities.

FOOTNOTES

[1]Theodore R. Schellenberg, *Modern Archives: Principles and Techniques* (Chicago: University of Chicago Press, 1957); *The Management of Archives* (New York: Columbia University Press, 1965); Kenneth W. Duckett, *Modern Manuscripts* (Nashville: American Association for State and Local History, 1975), Chapter II. For reviews of Duckett's book see: *American Archivist* 39 (January, 1976) 45-46; *College and Research Libraries* 37 (May, 1976) 276-77; *The Midwestern Archivist* 1 (1976) 57-59; *Georgia Archive* 4 (Summer, 1976) 150-54; and *Library Quarterly* 46 (July, 1976) 319-20.

[2]Frank B. Evans, *Modern Archives and Manuscripts: A Select Bibliography* (Society of American Archivists, 1975); *American Archivist* 39 (April, 1976) 177-97; 41 (July, 1978) 307-27; *Archivum* 25 (1978) 49-52.

[3]An example of this focus on special grants can be seen in an article by Larry J. Hackman, "A Progress Report on the Records Grant Program," *The Midwestern Archivist* 1 (1976) 21-27 which presents an outline of the NHPRC Records Grant Program.

[4]*Library Literature: An Index to Library and Information Science* (New York: H.W. Wilson, 1972-1977). The categories searched include "Archives," "Budgets," "Finances," "Grants," "Gifts," and "Special Libraries."

[5]For example: "The Preparation of a Budget," *Special Libraries* 63 (November, 1972) 517-27; "Budgeting for Libraries," *Special Libraries* 67 (January, 1976) 8-12.

[6]For example: Robert A. Mayer, "Grantsmanship," *Library Journal* 97 (July, 1972 2348-50. Wallace B. Edgerton, "What the NEH Has Done for Libraries," *Wilson Library Bulletin* 46 (January, 1972) 427-30. Andrew J. Eaton, "Fund Raising for University Libraries," *College and Research Libraries* 32 (September, 1971) 351-61. Brooke Sheldon, "A Proposal Primer," *Bowker Annual*, 20th ed. (New York: R.R. Bowker, 1975) 147-53.

[7]H.G. Jones, *Records of a Nation* (New York: Atheneum, 1969), p. 20.

[8] A good outline of accounting procedures for agencies with such independent budgets is provided in "Current Accounting Trends," by Roger W. Zaenglein in *History News* (January, 1976), issued as American Association for State and Local History *Technical Leaflet 87.*

[9]This analysis could also apply to manuscript collections except insofar as they have no records management functions.

[10]Herbert Finch has suggested that staff in large repositories be arranged similar to faculty in a university teaching department. Herbert Finch, "Administrative Relationships in a Large Manuscript Repository," *American Archivist* 34 (January, 1971) 21-25. A recent development that merits the attention of archivists is use of CETA employees to expand archives staff; SAA *Newsletter*, January, 1978.

[11]University of Illinois at Urbana-Champaign, "University Archives Annual Report 1977-78," p. 8.

[12]Such techniques are described in detail in Eleanor McKay, "Random Sampling Techniques," *American Archivist* 41 (July, 1978) 281-89; Lydia Lucas, "Managing Congressional Papers," *American Archivist* 41 (July, 1978) 275-80.

[13]Processing supplies—acid free folders, mylar, deacidification solutions, and other preservation supplies—should be seen as part of the processing budget and not as part of the equipment and supplies section of the archives' overall budget because they are an integral part of the cost of processing a cubic foot of records. Archivists will want to vary the use of these supplies according to the importance and condition of a given collection.

[14]These calculations are based on the time survey mentioned above and the data in the Annual Report for 1976-77. The cost of processing supplies could be added to this average. At the University of Illinois, the average cost of processing supplies is less than $2.00 per cubic foot. This figure is relatively low because of the use of a high ratio of inexpensive records center boxes, and because extensive re-foldering with acid-free folders is not performed.

[15]This estimate is based on the time survey mentioned above and statistics in the Annual Report for 1976-77. It is also possible to calculate an estimate for the total cost of processing, housing, and servicing the collections by totaling the annual processing costs, storage costs, and reference costs, and then dividing this figure by the number of reference uses. At the University of Illinois, servicing the records of the College of Engineering cost $39.84 per reference use during 1977/78.

[16]Duckett, *Modern Manuscripts*, pp. 37-43; William Alderson, "Securing Grant Support: Effective Planning and Preparation," *History News* (December, 1972), issued as American Association for State and Local History *Technical Leaflet* 62.

[17]During 1977, the issues for January, March, July, and November noted a total of ninety-nine grants made by the NHPRC and NEH. During 1978, the issues of January, March, and July reported grants made by the NHPRC but not those made by the NEH.

[18]For example, see *Annotation* 4 (October, 1976) and 6 (July, 1978).

[19]Some issues of *Humanities* do, however, warrant the consideration of archivists; e.g., that of October, 1977, which outlined the NEH's Research Collections program.

[20]The archivist would also do well to consult general guides to special funding sources. These include: *Catalog of Federal Domestic Assistance* (Washington, D.C.: Executive Office of the President, 1977); *Foundation Directory*, 6th ed. (New York: Foundation Center, 1977); *Foundation Grants Index 1977* (New York: Foundation Center, 1978); *Annual Register of Grant Support, 1978-79*, 12th ed. (Chicago: Marquis Academic Media, 1978); *Bowker Annual of Library and Book Trade Information*, 21st ed. (New York: R.R. Bowker, 1976) 468-80. Beyond references to programs of the National Archives and Records Service in the *Catalog of Federal Domestic Assistance*, these publications do not mention "archives" as a category in lists of grants available and of grants made. The sole exception, the *Bowker Annual*, only contains reference to three grants made to archives. One is still best advised to rely on the SAA *Newsletter* as the main reporter of archival grants.

[21]*National Historical Publications and Records Commission: Publications Program* (Washington, D.C., 1976) 1.

[22]*National Historical Publications and Records Commission: Records Program* (Washington, D.C., 1977) 1. A more detailed description of the Records Grant program is now available, the "Suggestions for Applicants," published in *Program Report, National Historical Publications and Records Commission* 78-2 (April, 1978).

[23]*National Historical Publications and Records Commission: Records Program* (Washington, D.C., 1977) 6, "Suggestions for Applicants," (April, 1978). In the SAA *Newsletter* of September, 1978, it was announced that the NHPRC would now accept grants from the two states (Maine and Mississippi) in which advisory boards had not yet been appointed.

[24]*Program Report, National Historical Publications and Records Commission* (September 26, 1977) 5.

[25]*Humanities*, 7 (October, 1977).

[26]Librarians have access to this type of literature through such articles as "Analysis of Foundation Grants to Libraries" (by Patricia Senn Brevils in *Bowker Annual*, 21st ed., 1976, reprinted from *Library Journal* 100 (December, 1975). This article studies grants awarded according to state, grantor, purpose of grant, type of recipient, etc.

[27]The issues of January, March, July, and November, 1977, contain reports on grants of the NEH and NHPRC. The *Newsletters* for 1978 did contain lists of the NHPRC grants (January, March, and July), but not of NEH grants, and because of the lack of information on the NEH grants, the current survey ends in 1977. It is possible that an update would alter some of the findings. For example, Larry Hackman's survey of NHPRC grants in the September, 1978, *Newsletter* indicates a higher average of award than that reported here. Moreover, the current study includes only grants awarded and does not account for rejected applications, as Michael Kohl has done. In both instances, however, the inclusion of data for the NEH was deemed of overriding importance.

[28]Of the 101 grants reported in the 1977 *Newsletter*, only two were from private foundations. The July, 1978, *Newsletter* reported seven grants from a private foundation. There are irregularities in the reporting of private grants, but archives do not figure as an area of interest in the major guides to grant money (e.g., *Foundation Directory* or *Annual Register of Grant Support*). Archivists are, however, probably in a good position to appeal to large numbers of foundations, even the ones which express no interest in history, manuscripts, or libraries, since the subject matter of certain records may attract donors. Engineering and architectural firms and societies may, for example, be willing to pay for the preservation of records relating to local landmarks.

[29]Administrative location has been discussed, particularly in relation to college and university archives, but from a functional (not financial) perspective. See: Nicholas C. Burckel, "Establishing a College Archives," *College and Research Libraries* 36 (September, 1975 3-15; "Proceedings of the Conference on Archival Administration for Small Universities, Colleges and Junior Colleges," *Occasional Papers*, 88 (Urbana: University of Illinois Graduate School of Library Science, 1967).

THE COMPUTER'S FUTURE IN ARCHIVAL MANAGEMENT: AN EVALUATION

RICHARD M. KESNER

For some time now, the library profession has employed computers to handle a wide range of routine clerical and bibliographic functions.[1] More recently, BALLOTS (Bibliographic Automation of Large Library Operations using a Time-sharing System), OCLC (Ohio College Library Center), and other on-line, interactive systems have expanded library automation still further into cooperative acquisitions, cataloging, and information retrieval.[2] Archivists, by contrast, have done little to exploit potential uses of the computer. Government agenices, faced with the task of establishing physical and intellectual control over enormous collections of records, have turned to the computer but with only limited success.[3] The National Archives in Washington, D.C., the Public Records Office in London, and the *Archives Nationale* in Paris have made substantial progress in establishing automated systems for both the internal control of documents and the generation of finding aids.[4] Nevertheless, archivists at these institutions share the view that even within their own organizations they have a long way to go before these systems are completely satisfactory. Though success has proven elusive, the potential benefits of archival automation in reducing costs and staff time while increasing the efficiency of user services argues cogently for perseverance. This essay will briefly survey the ground archivists have already covered and comment on where we ought to go from here.

The archival profession faces many obstacles in its quest for useful archival applications of the computer. First of all, the profession itself is young and has had little opportunity to develop a body of literature and a professional consensus on such vital issues as collection arrangement, bibliographic control, and the design of finding aids. The library profession had also suffered from a lack of agreement on

bibliographic controls, resolving its differences only after the Library of Congress developed the MARC (*MA*chine *R*eadable *C*ataloging) format, making such cooperative enterprises as OCLC and BALLOTS both feasible and advantageous. Archives, however, have an additional problem that makes it more difficult to reach a similar agreement. Unlike libraries, archives house documents—primary source materials—that are seldom duplicated elsewhere. Whereas major research libraries possess many of the same volumes and periodicals, each archives holds collections that are uniquely its own. This variety does not lend itself to standardized and systematic forms of physical and intellectual control. As a result, different archives tend to utilize dissimilar modes of arrangement and information retrieval.

This considerable diversity among archival repositories contributes significantly to another major impediment to automation — the cost of its implementation. Libraries, with their closely related acquisitions, cataloging, and indexing needs, routinely perform highly repetitive tasks that can be easily automated. Since many libraries carry out the same repetitive tasks, they can share the same automated services. Thus, one may point to BALLOTS and OCLC with their hundreds of users; each library added onto the system reduces the operating costs for all. Unfortunately, the variance in the needs of archival institutions, and their concomitant inability to agree on common modes of operation, have militated against adoption of any similar systematic, standardized approach to archival administration. This in turn means that the cost of creating a national information network for archives is prohibitive and will most likely remain so for the foreseeable future.

Nevertheless, a sincere effort has been made in the direction of a national archival indexing and information retrieval system through the development of SPINDEX II. SPINDEX (an acronym for *S*elective *P*ermutation *INDEX*ing) was first employed in the 1960s by the Library of Congress in an effort to improve the Library's administrative controls over its holdings. The National Archives and Records Service (NARS) subsequently took over the project, working in conjunction with a number of universities and historical societies.[5] SPINDEX II (and its recently up-dated version, SPINDEX III), which grew out of this earlier Library of Congress experiment, allows the archivist to feed data from individual collection finding aids into the computer. Through machine-readable formatting of this data and a

series of "tag" identifiers, the program recognizes indexing terms, permutes them, and directs the computer to print a subject index to the collection.[6] Each finding aid may be stored on disk or tape, and a repository guide may be created by combining the indexes generated in this manner. In addition, SPINDEX has the capacity to provide a finding aid with national scope by drawing upon the data bases created by individual archives in producing their own guides. Like most other automated indexing systems, SPINDEX is also designed to allow its users to update their finding aids with little difficulty.

Unfortunately, SPINDEX II has not satisfied earlier expectations. The program is not particularly flexible in terms of the collection guide formats it will accept. SPINDEX II requires strict adherence to a prescribed "tag" system, a fairly rigid control number hierarchy, and considerable finding aid standardization within the institution. For many archives, this means a complete reworking of their collection guides so that they may be converted to a machine-readable form. It has also proven rather costly to implement. While the major users of SPINDEX II have been satisfied with the enhanced retrieval capacities of the guides produced with this program,[7] the system has not met with wide-spread acceptance. A national information network of the type envisioned by SPINDEX's founding institutions now appears unlikely to reach fruition. It is perhaps premature to brand SPINDEX II or SPINDEX III a failure. But as Douglas Bakken, himself an early participant in Cornell's SPINDEX project, has suggested, the SPINDEX program grew out of an era of easily obtainable Federal money and of general enthusiasm for the prospects of the computer's role in archival management.[8] The times are no longer propitious for costly experiments in archival automation.

Even so, cost is not the only factor that has limited the use of SPINDEX. To make the system work, archives are obliged to standardize their own finding aids for conversion to a machine-readable format. Institutions of long standing found that the professional staff time (not to mention the money) required for such a conversion would be prohibitive. In addition, some archivists prefer to create finding aids that reflect the special needs of their patrons or the particular characteristics of their collections. These people resist collection guide standardization on professional and aesthetic grounds. As a result, SPINDEX has largely languished in disuse.

One alternative to SPINDEX is the MARC manuscript format. This

system provides on-line, basic bibliographic information regarding manuscript collections similar to that found in the *National Union Catalog of Manuscript Collections.*[9] But, though it has been available for some time and is now compatible with both BALLOTS and OCLC, the MARC manuscript format has received little recognition or use.[10] Indeed, MARC has run a poor second to SPINDEX, especially since it provides only cataloging data, without generating more detailed finding aids.

While these developments are not encouraging, it is not the purpose of this essay to suggest that archivists should dismiss archival automation as an aberration attributable to "easier times." Research collections of increasing size and complexity continue to inundate our repositories. To meet the challenge that these new materials present, the profession must not lose sight of the potential uses of the computer to enhance intellectual and physical control over archival collections. Initially, education will play a major role in winning more widespread support from archivists for experimentation and inquiry. The profession must, therefore, become more familiar with information systems employed in industry, government, and libraries, and it must also establish contacts with the organizations that develop and market hardware and software packages and that offer automation services. But education is only the beginning. Each archives must examine its own needs and develop a plan of action before embarking on any automation project.

There is no single correct way to proceed. Research trends, user needs, and constraints on institutional development are variables that often defy definition and prove impossible to control. Even the archivist's educational objectives may be difficult to attain. Most archival training programs do not so much as mention computer-generated records, their use, preservation, and storage, let alone automated archival indexing and retrieval techniques. Only the National Archives' Machine-Readable Records Division offers comprehensive training and internships in the area of the treatment and appraisal of computer records.[11] In addition, the NHPRC holds a week-long training session for repositories that purchase the SPINDEX package. Little else is now available. The concerned archivist must therefore develop expertise in archival automation through personal study and correspondence with colleagues already active in the field. A SPINDEX Users Group is being formed as a vehicle for the exchange

of information and advice among repositories currently using or planning to use the SPINDEX program. Close cooperation with librarians and systems specialists interested in information handling and retrieval will also help matters. Finally, for the general development of the profession, archivists ought to promote the teaching of archival automation and the establishment of seminars and workships on the subject.

By contrast, the evaluation of institutional needs will prove less elusive to the conscientious archivist. No single method is best. But for the purposes of illustration, this paper focuses on a study recently conducted at the Walter P. Reuther Library, Archives of Labor and Urban Affairs, Wayne State University.[12] Since its inception in 1960, the Archives has solicited the records of organizations and the personal papers of individuals active in the American labor movement. While many of the private collections held at the Archives do not differ substantially in size and nature of material from those found in archives elsewhere, the papers of major on-going labor organizations create special problems.[13] Their considerable size, totaling at times thousands of linear feet, makes information retrieval difficult. In addition, many of these collections arrive at the Archives piecemeal, adding problems of physical control.

Up to now, the Archives staff has succeeded in keeping collections together within the stacks. Through accession records and indexed location files, physical control has not proven an insurmountable problem. For intellectual control, the Archives employs a general guide that lists the collections alphabetically by donor or institutional name and gives a brief description of each collection's contents, size and inclusive dates.[14] Beyond this general guide to its holdings, the Archives also provides individual collection guides arranged by donor or institutional name. These collection guides include detailed information regarding the contents and organization of collections, as well as folder inventories and indexes. While this method of intellectual control over collections is in widespread use today, and while it serves well for those scholars interested in biographical and institutional topics, these finding aids do not optimize subject access to collections.

Since the early 1960s, changing methodology and research interests have resulted in innovative uses of archival materials. Greater emphasis on psycho-history, women's history, and quantitative techniques suggests that scholars are turning to new areas of inquiry.[15] To

explore the impact of these changing research trends on its users, the Archives of Labor History conducted a survey of the approximately 3,000 patron registration forms completed during the years 1970 through 1977.[16] The data gleaned from these forms included: the profession of the user, the institution with which the user is affiliated, the specific nature of the user's research interests, the collections used, and the date of use. This data was then reduced to a quantifiable form, coded, and cross-tabulated.

When sorting the Archives' patrons by research interest, a clear pattern emerges (see Table). Those users concerned with specific unions declined from 37.3% in 1970 to 18.7% in 1977, and those concerned with specific individuals fell from 16.1% to 5.8%. By contrast, both thematic and undefined topics[17] increased substantially, the latter from 6.8% to 13.6% and the former from 28.8% to 39.6%. Other more traditional topics, such as "radical party politics" and "labor and politics" declined over the period while "women and labor" increased noticeably.[18] In sum, patron interest appears to have shifted away from more traditional union and biographical topics and into research areas that draw upon the resources of the Archives quite differently than in the past.

As researchers move away away from traditional topics, the Archives' current finding aids will become less and less useful. While the senior staff of the Archives are knowledgeable enough to advise scholars pursuing thematic topics, no staff member can provide a user with a comprehensive list of archival holdings pertaining to a single topic without extensive research and considerable effort. Inevitable staff turnovers also create voids in user services through the loss of experienced personnel whose familiarity with the Archives' holdings facilitates the location of desired research materials. As the Archives continues to acquire large and complex modern collections, the problems of content retrieval will become ever more pressing. A comprehensive subject index to the Archives' collections would help alleviate this difficulty. But the manual creation of such an index would consume valuable staff time that the Archives can ill afford to lose. A computer generated index, on the other hand, might improve intellectual control over archival materials without an expenditure of staff time beyond that already employed in collection processing. Admittedly, an automated indexing system would require professional

A SURVEY OF RESEARCH TOPICS PURSUED BY PATRONS AT THE ARCHIVES OF LABOR AND URBAN AFFAIRS, 1970-77

Research Topic	PERCENTAGES								Percentage Of Total Number of Patrons in Period
	1970	1971	1972	1973	1974	1975	1976	1977	
Unions	37.3	23.6	31.6	28.2	24.2	21.8	18.8	18.7	23.1
Individuals	16.1	24.5	15.1	18.0	15.0	8.6	8.4	5.8	11.8
Thematic Topics	28.8	28.0	30.7	28.2	25.5	31.8	37.6	39.6	32.8
Topic Unidentified	6.8	12.2	7.1	10.6	16.0	17.8	16.7	13.6	14.1
Wayne State Topic	0.0	0.0	7.6	9.5	11.2	12.9	9.1	11.5	9.3
Photographs	2.5	2.6	1.3	0.7	0.3	0.7	0.2	0.8	0.9
Special Topics*									
Radical Party Politics	4.2	5.7	3.6	3.7	5.4	1.8	1.4	0.6	2.7
Labor and Politics	3.4	3.1	2.2	0.0	2.4	0.2	1.1	0.6	1.2
Labor Law	0.9	0.0	0.9	0.4	0.0	1.4	1.6	4.3	1.5
Archival Management**	0.0	0.4	0.0	0.7	0.0	3.1	5.0	4.5	2.6
TOTALS	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

Special Topics	1970	1971	1972	1973	1974	1975	1976	1977	in Period
United Auto Workers	15.3	11.8	12.0	17.4	14.3	17.2	9.3	10.3	12.1
International Workers of the World	7.6	4.4	7.1	5.5	2.0	3.3	1.1	1.2	3.2
United Farm Workers	0.0	1.8	1.8	0.0	2.0	1.1	0.9	0.0	0.9
American Federation of Teachers	0.0	0.0	7.7	1.8	2.0	0.9	0.4	0.0	1.3
Blacks and Labor	9.3	8.3	8.9	6.6	2.7	2.3	3.1	3.9	4.5
Other Ethnic Groups	5.1	0.9	0.9	1.1	4.4	1.6	0.9	0.6	1.9
Women and Labor	0.9	1.8	2.2	3.3	4.1	3.0	2.7	2.8	2.7

N = 2757 Note: All figures are rounded to the nearest tenth of a percentage point.

*Special Topics include areas where the researcher was interested in specific information, such as UAW political contributions, rather than a broad thematic study.

**Though the so-called "Professional Library" at the Archives has enjoyed heavy use in conjunction with Wayne State University's Archival Management Program, most users of professional materials were not obliged to complete registration forms until the new Archives building opened in 1975.

supervision at the outset, but once the archives has standardized its finding aids and has developed the requisite software, clerical staff could take over the operation.

This does not, however, mean to suggest that an automated indexing and retrieval system is without costs. Indeed, initial implementation costs, such as computer program development and guide conversion, are high enough to dissuade most archival institutions from even considering the project. But having gone so far as to determine the need for such a guide to its collections, the Archives next turned to an analysis of project costs and feasibility. That evaluation may serve as a useful example for those considering computer applications in their own archives.

Drawing upon the Archives' earlier participation in the SPINDEX II project and upon the financial statement provided in *SPINDEX II at Cornell,*[19] it was ascertained that the cost of automated indexing is largely dependent upon the state of current finding aids. If these inventories require substantial reworking, or if the collections in question need reprocessing, the cost of conversion will be too great for the Archives to bear. To determine the practicality of the project, the Archives evaluated over six hundred of its collections and their guides.

The survey results were most heartening. They indicated that the finding aids for 35% of the collections are immediately ready for conversion and another 16% will be ready after limited reworking. The remaining collections are in various stages of processing, but when completed will comply with the guidelines established by the Archives to govern the creation of its finding aids.[20] Given these favorable circumstances, it appears likely that the Archives of Labor and Urban Affairs could at some future date employ its traditional finding aids to create an automated subject index. Monies and staff time expended in user services would be reduced substantially. In the long run, the Archives would also probably save money because the new index would allow researchers subject access to archival material, thus freeing more staff time for processing, research, and administration.

Many archives will not, however, find themselves in as favorable a position. They may find it easy to evaluate their user needs and the current state of their finding aids, but the development and application of a standardized in-house format for their finding aids may prove too burdensome. Archivists should not despair; there are ways around this difficulty. While an assessment of finding aid quality may lead the

archivist to conclude that changes ought to be implemented, adoption of an automated indexing and retrieval system need not depend upon changes in archival operations. Too often archivists have tried to shape their procedures to fit preconceived hardware and software configurations. The results have been less than impressive. Instead, the archivist should take note of his or her own circumstances. Based upon a study of needs and resources, the archivist should exploit the facilities at his or her disposal. The final product ought to address the particular needs of the archives. Limiting the automation project in this manner will help to both limit costs and ease implementation. Once the archivist has formulated the proposal and has carried out the research and marshalled the facts in support of the project, he or she is ready to consider funding for the program.

In the archival profession, where most programs are underfinanced, inadequate financial resources pose a perennial problem. It is, therefore, best to proceed with a modest program that exploits the resources already available within the institution. As in the case of restructuring finding aids, it is better to adapt what you have rather than to search for the ideal configuration of tools and resources. For example, many business, industrial and university archives have access to computer facilities and resident systems specialists. By working closely with fellow staff members and by employing in-house equipment, the archivist has the means to develop automated programs that meet the institution's needs while keeping the costs at a minimum.[21] This individualized approach admittedly does not lend itself to the national information network envisioned by the sponsors of SPINDEX. But it does provide the archives with a system that is perfectly suited to its needs. Indeed, at this stage, it may be argued that it is better to have a number of archival institutions developing their own in-house systems than to await the creation of some inter-archival network.

As familiarity with computer applications in archives grows, perhaps the profession as a whole will come to recognize the potential benefits of automation. Modest but successful examples are needed to win acceptance and support. Once a wide range of archival institutions have their own operational automated indexing and retrieval systems, current professional resistance towards standardized archival finding aids may subside. This in turn would create the appropriate atmosphere for productive discussions regarding the creation of a national

information network. But this can only come through gradual stages of evolution. First a few brave institutions must make a start; others will hopefully follow. In the long run, the computer will win an important place in the management and operation of archives, as it has done in libraries. False starts have only delayed what portends to be a promising future.

FOOTNOTES

1. I would like to acknowledge the kind assistance of Philip P. Mason, Warner Pflug and George Tselos, all of the Archives of Labor and Urban Affairs, Wayne State University, without whom this study would not have been possible. I would also like to thank H. Thomas Hickerson of Cornell University for providing me with a copy of his excellent report on the application of SPINDEX II at Cornell, as well as other useful information, and Douglas A. Bakken for his valuable advice. The author alone takes full responsibility for any errors of fact or judgment that appear in the text.
2. A. H. Epstein, "An Overview of Operational BALLOTS," *Proceedings of the American Society for Information Science* 10 (1973) 56-7; Jennifer Hartzell, "BALLOTS: A Second Pioneering On-Line System," *American Libraries* 7 (May, 1976) 264-5; "Stanford University's BALLOTS System," *Journal of Library Automation* 8 (March, 1975) 31-50; Judith Hopkins, "The Ohio College Library Center," *Library Resources and Technical Services* 17 (Summer, 1973) 308-19; and Joe A. Hewitt, "The Impact of OCLC," *American Libraries* 7 (May, 1976) 268-275.
3. For example, M. E. Carroll of the Canadian Federal Archives recently observed that the Canadian government has yet to devise a document retrieval system that meets the needs of the Archives. See "The Application of EDP to Records Management Operations in the Canadian Federal Government," *Proceedings of a Seminar on Automatic Data Processing in Archives*, Lionel Bell and Michael Roper, eds., (London: HMSO, 1975), 86-97.
4. *Ibid.*, pp. 98-112, 113-15, 250-62, and 263-78. Representatives from twenty-three other nations as well as UNESCO joined French, British and American archivists at the ADP seminar held at White House, Chelwood Gate, Sussex, U. K. on August 26 through September 1, 1974.
5. Early participants in the SPINDEX II project included Cornell University, Library of Congress, Minnesota Historical Society, Ohio Historical Society, Smithsonian Institution, State Historical Society of Wisconsin, Syracuse University, University of Alaska and Wayne State University. For a brief but informative history of SPINDEX II see H. Thomas Hickerson, Joan Winters, and Venetia Beale, *SPINDEX II at Cornell University and a Review of Archival Automation in the U.S.*, (Ithaca, N.Y.: Department of Manuscripts and University Archives, Cornell University Libraries, 1976) 23-34.
6. United States, General Services Administration, *SPINDEX II: Report and System Documentation*, (Washington, D.C.: National Archives and Records Service, General Services Administration, 1975).
7. Current users of SPINDEX II include NARS, Cornell University, International Nickel Company, and the South Carolina Department of Archives and History. See H. Thomas Hickerson, et al., *SPINDEX II*, pp. 32-4.

8. See Douglas Bakken's review and postscript of H. Thomas Hickerson, et al., *SPINDEX II* in *The Midwestern Archivist* II, 2 (1977) 62-6.
9. United States, MARC Development Office, Library of Congress, *Manuscripts, A MARC Format*, (Washington, D.C.: U.S. Government Printing Office, 1973); and United States, Library of Congress, *The National Union Catalog of Manuscript Collections*, (Washington, D.C.: various publishers, first published in 1962 with annual supplements).
10. According to a survey conducted by Wayne State University Library in conjunction with the Michigan Library Consortium, only one user of MARC record formats in the State of Michigan, Wayne State University, employs the manuscript format. It ought to be stressed however that the University Library and not the Archives employs the format.
11. Charles M. Dollar, "Documentation of Machine-Readable Records and Research, A Historians View," *Prologue* 3,1 (Spring, 1971) 27-31; "Computers, the National Archives and Researchers," *Prologue* 8,1 (Spring, 1976) 29-34; and United States, National Archives and Records Service, *Catalog of Machine-Readable Records in the National Archives of the United States*, (Washington, D.C.: General Services Administration, 1977).
12. Richard M. Kesner, "The Archives of Labor History and SPINDEX II: A Study of the Application of Automated Data Processing in Archival Indexing and Retrieval," unpublished report, (Detroit: Archives of Labor History and Urban Affairs, Wayne State University, November 30, 1977).
13. Major labor unions whose papers are currently on deposit at the Archives include: the United Auto Workers, the Air Line Pilots Association, American Federation of State, County and Municipal Employees, the United Farm Workers, the American Federation of Teachers, and the Newspaper Guild.
14. Warner W. Pflug, *A Guide to the Archives of Labor History and Urban Affairs*, (Detroit: Wayne State University Press, 1974).
15. See, for example, Marie B. Rosenberg and Len V. Bergstrom, *Women and Society: A Critical Review of the Literature with a Selected Annotated Bibliography*, (Beverly Hills, Ca.: Sage Publications, 1975); Veronica Strong-Boag, "Raising Clio's Consciousness: Women's History and Archives in Canada," *Archivaria* 6 (Summer, 1978) 70-82; Peter Robertson, "More Than Meets the Eye," *Archivaria* 2 (Summer, 1976) 33-43; William Saffady, "Manuscripts and Psychohistory," *American Archivist* 37,4 (October, 1974) 551-64; and R. P. Swierenga, "Computers and American History: The Impact of a New Generation," *Journal of American History* 60,2 (March, 1974) 1045-70.
16. See also Mildred K. Hilton, "An Analysis of the Research Registration Forms and Patron Correspondence Files in the Archives of Labor History and Urban Affairs at Wayne State University, March 1970 through June 1973," unpublished masters thesis, Wayne State University, 1973.
17. Out of necessity, those forms where the patron failed to indicate his or her research topic have been counted as "topic undefined." Many researchers do come into the Archives in search of a topic. For these patrons a subject index would prove most useful. Research topics in the "thematic" category included all those projects that focused on subjects as opposed to institutions or persons. Thus "Radical Politics and the Labor Movement" or "Minorities and the Development of Detroit" were treated as thematic topics while "Walter P. Reuther" and "Factionalism in the UAW" were not.
18. Inquiries regarding protograph holdings, archival management, and Wayne State University were more directly affected by the opening of the new Archives building in 1975 than by any actual shift in user interests.

19. H. Thomas Hickerson, et al., *SPINDEX II*, pp. 89-90.
20. The Archives of Labor and Urban Affairs guidelines for its finding aids set down a standard structure and content for each guide. The collection's title, span dates, NUCMC and accession number are followed by a statement on the collection's provenance, an institutional description or capsule biography (where appropriate) and a brief discussion of the collection's organization. Each guide goes on to indicate series structure, box and folder inventories, and finally a subject/correspondent index keyed to specific boxes and folders.
21. International Harvester's Corporate Archives, for example, employs an in-house automated system that is tailored to its specific needs. By exploiting institutional resources and expertise, Greg Lennes, the archivist, has kept costs down while considerably enhancing the Archives' physical and intellectual control over International Harvester materials.

Archival ideas are found in many different formats. Archivists find new ideas and answers to their questions in publications, at archival meetings, in discussions with other archivists, and in a variety of publications. The Editorial Board of The Midwestern Archivist recognizes this fact and with this issue introduces two new formats to the journal: the outline and the interview.

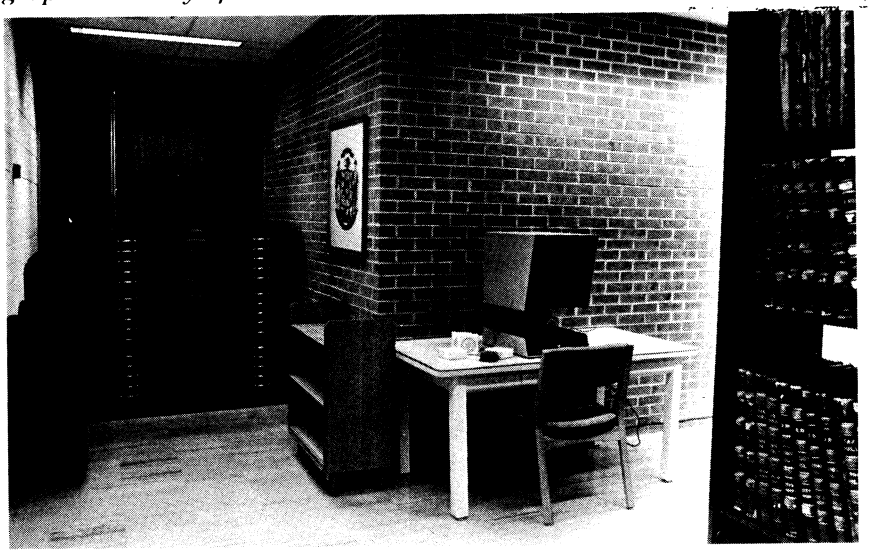
The contribution in outline form is the "Core Mission and Minimum Standards for University Archives in the University of Wisconsin System." The Editorial Board felt that this important document would stimulate MAC members to think about institutional standards for archival repositories. The Wisconsin statement has already had a national impact, serving as the model for draft standards presently being considered by The Society of American Archivists.

The contribution in interview form is "The Records Grant Program of the NHPRC: An Interview with Commission Member Richard A. Erney." Using this format interviewer John A. Fleckner was able to gain answers for some of the more complex questions about the grant process at the National Historical Publications and Records Commission. The interview removes much of the mystery about decision making at Commission meetings.

It is the sincere hope of The Editorial Board of The Midwestern Archivist that you find these innovative contributions of interest and value. Both articles reflect the hournal's editorial policy to encourage the publication of important archival ideas in a wide variety of formats. The board solicits your comments on the contents and formats of these contributions and encourages suggestions for future contributions.

THE EDITORIAL BOARD

UNIVERSITY OF WISCONSIN-PARKSIDE ARCHIVES AND AREA RESEARCH CENTER *above:* Reading Room and Director's Office *below:* Map Case and Microfilm Reader in ARC Stack *(all photographs courtesy of UW-Parkside Archives)*



CORE MISSION & MINIMUM STANDARDS FOR UNIVERSITY ARCHIVES IN THE UNIVERSITY OF WISCONSIN SYSTEM

PREFACE

In May, 1977 the University of Wisconsin System Archives Council[1] adopted its statement on CORE MISSION & MINIMUM STANDARDS. Since that time many copies of the document have been distributed to interested individuals and institutions, and the Council has received favorable comments about the document. Its publication here, which will make it more widely available, offers an opportunity to recast the original preface, reviewing the development of the statement and reflecting on its value.

The University of Wisconsin System Archives Council was informally established in 1976 to increase the status and identity of the archival programs at each participating institution, to serve as a forum for professional concerns, to consider archival policy affecting each of the institutions, and to seek cooperative solutions to mutual problems. The Council is composed of the Archivists of each University, the Archivist of the State of Wisconsin, the Director of each University's Area Research Center, and the State Historical Society's Area Research Center Coordinator.

Each University Archives in the System is autonomous, and together they represent a wide range of program development — from an unofficial program just being developed with part-time staff to a well-established program with several full-time archivists. Although university records are public records, governed by state statute which requires a Public Records Board to approve disposition, there is no System-wide archives or records management policy. Before the Council developed its statement, there was no generally applicable explication of the role of the University Archives in preserving records and in participating in the state's records program.

With its formation the Archives Council established a Committee

on Standards, which surveyed the Archives in the System, gathering information on collections, facilities, staff, budget, and policies. A summary of this information and an educational document on "Core Function and Resource Needs" were presented to the Council in September, 1976. Further discussion revealed agreement that a statement of minimum standards would be a useful tool in developing individual University Archives, and that fulfillment of these standards might be a requirement in the future for these institutions to be designated as depositories for public records.

A new committee was appointed to expand and re-work the educational document to include minimum standards. This Committee on Standards was composed of Richard Cameron, Eau Claire, chair; Nancy Kunde, Madison; Timothy Ericson, River Falls; and William Paul, Stevens Point. Drafts of the Committee's statement on CORE MISSION & MINIMUM STANDARDS were reviewed in detail by the Council's members, and at the Council's May meeting the revised document was reviewed and modified section by section before its unanimous adoption.

The purpose of the statement is two-fold: (1) to serve as a professional statement of common goals, functions, and needs of the Archives throughout the System; and (2) to provide a set of specific minimum standards (a) which the Public Records Board (*Wis. Stat.* 16.61) may use for designating University Archives as official legal depositories, and (b) which University administrators may use as guidelines for establishing and maintaining archives and records management programs and policies.

CORE MISSION AND MINIMUM STANDARDS has been valuable to the Archivists in the University of Wisconsin System in a number of ways. First, its development provided a vehicle for the Council to reach consensus on the purposes, goals, and needs of its membership. This process has created a cohesive and cooperative working group to promote the archival programs in the System. Second, in a few instances the statement has been used as a guide in the development of a University Archives or in the improvement of a particular aspect of an archival program. While the standards have not been implemented as legal requirements or as administrative policy, they are serving as reference points in drawing the line between what is acceptable and unacceptable. Third, the statement has facilitated the formal recognition of the role of the University Archives in

Wisconsin's public records program. Finally, the Archivists in the University of Wisconsin System believe that the CORE MISSION AND MINIMUM STANDARDS has contributed, and will continue to contribute, to the development of professional standards nationwide.

November 8, 1978

Richard A. Cameron, Chair.
University of Wisconsin
System Archives Council

FOOTNOTE

1. University of Wisconsin System Archives Council Membership, 1978: Richard Cameron, Eau Claire; Dorothy Heinrich, Green Bay; Edwin Hill, La Crosse; J. Frank Cook, Nancy Kunde, Donald Marks, Madison; Donald Woods, Milwaukee; Lare Mischo, Edward Noyes, Oshkosh; Nicholas C. Burckel, Parkside; Kordillia Johnson, Platteville; Timothy Ericson, James T. King, River Falls; Arthur M. Fish, William Paul, Stevens Point; Dwight Agnew, Gayle Martinson, Stout; Edward Greve, Superior; Amy K. Peterson, Whitewater; Michael Fox, John Fleckner, F. Gerald Ham, State Historical Society of Wisconsin.

CONTENTS

I. THE UNIVERSITY ARCHIVES IN THE UNIVERSITY OF WISCONSIN SYSTEM SHARE THE FOLLOWING CORE MISSION:

A. To appraise, collect, preserve, organize, and describe the official records of historical value of the University and to assist in the preservation of papers, records, and materials relating to the history of the University which it serves.

B. To serve as the official depository for the public records, as defined by state law, which are created by the individual institutions which the Archives serves.

C. To provide adequate facilities for the retention of such records.

D. To facilitate efficient records management.

E. To provide information services that will assist the faculty and administrative staff in the operation of the University.

F. To serve as a resource and laboratory to stimulate and nourish creative teaching and learning.

G. To serve historical research and scholarship by making available and encouraging the use of its collections by members of the University and community at large.

H. To enter into cooperative relationships with other historical and archival agencies and institutions in order to provide better services and resources for its patrons.

I. To develop additional guidelines that will reflect purposes particular to that individual institution and its mission.

II. ADMINISTRATIVE RELATIONSHIPS

In order to fulfill its mission each Archives should have a clearly defined status within the University's administrative structure. Although the precise administrative relationships may vary on individual campuses, the organizational status of the Archives should reflect the following considerations:

A. The administrative structure should provide the Archivist with authority and financial resources that will enable the Archives to fulfill its responsibilities to the University. The responsibilities of the Archivist are enumerated in Sections III, IV, and V below. The standards for personnel, facilities and equipment, and supporting services are enumerated in Sections VI, VII, and VIII, respectively.

B. The administrative status should facilitate service to the

entire University.

C. The administrative status should allow for effective coordination with other University offices that may have related functions.

D. The administrative status should permit easy access to services and equipment which support the operation of the Archives.

III. ARCHIVES AND MANUSCRIPTS ADMINISTRATION

A. Collecting

Collecting includes the procedures and activities required for acquiring records and papers for the University Archives. Acquisition of public records created by the University (as defined by *Wisconsin Statute* 16.61) should be governed by retention schedules, and Records Disposition Authorizations approved by the University Archivist and the Public Records Board. The specific procedures which should be followed are outlined in Section IV.

1. A written collection policy should be developed by the Archivist at each institution. It should include the following:
   a) An analysis of the current holdings of the Archives with identification of particular areas of weakness in the documentation of the University's history, preferably by office or by chronological period. This analysis should include the official records of the University; the records and papers of University-related organizations, groups, and individuals (e.g. the private papers of faculty members) while they are actively connected to the University; and those materials discussed in Section V below.
   b) A written plan for improving the documentation in the areas of weakness by targeting offices and groups for collection emphasis and establishing priorities in the acquisition of new holdings.
   c) A statement of the limits of the Archives' collecting responsibility.
   d) A statement defining what donor restrictions are acceptable and under what circumstances.
2. The collection policy should be updated at least once every five years.

3. A contact file should be maintained containing information on every office, organization, or individual with which the Archivist has discussed records transfer or donation. The information should include dates of contact, agreements on transfers or donations, current status of contact, and supporting correspondence or phone memoranda.
4. Transfer or donation of records and papers to the Archives should follow these procedures:
   a) For public University records as defined by Wisconsin Statute 16.61, transfer should be governed by the procedures in Section IV. Each transfer of record material should be documented by a written receipt except for publications and other materials distributed to other offices.
   b) For special collections and unofficial records or individual papers, donation or transfer should be documented by a written receipt and a donor agreement specifying the conditions of transfer with regard to legal title, restrictions on access, literary rights, and authority to weed.
   c) An accession register should be maintained, recording the date, title, office, bulk, condition of record, and any restrictions on access.
5. Before a record is placed in the holdings of an Archives it should be appraised by the Archivist to determine the administrative, legal, fiscal, historic, and long-term research value. Appraisal is the basis for selecting records and papers which are to be retained in the Archives. It depends largely on the professional skill and knowledge of the Archivist. In selecting records for an Archives of minimal scope, priority should be given to records that meet one of the following considerations:
   a) The record should reflect the development and activities of those University offices that cut across departmental and college divisions such as the Chancellor's Office.
   b) The record should reflect the development and activities of those offices and committees that formulate or approve University-wide or division-wide policy such as the Faculty Senate or various faculty and administrative

committees at the Chancellor level.

c) The record should reflect the development of a program, project, or policy that has University-wide or division-wide application or significance.

d) A publication, periodical, or newsletter issued by the University or by one of the offices or organizations indicated in (a-c) above.

6. The following is a suggested checklist of the records necessary for a University Archives of minimal scope:

a) All publications, newsletters, or booklets which are distributed on a University-wide basis including: catalogs, special bulletins, yearbooks, student newspapers, University directories and faculty/staff rosters, faculty and University newsletters, and alumni magazines.

b) Faculty governance records, including: minutes, memoranda, and reports of the entire faculty and its committees; minutes, memoranda, and reports of the Faculty Senate and its committees.

c) Minutes, memoranda, and reports of all administrative committees operating at or above the school or college level.

d) Records of the Chancellor's Office, including: correspondence, administrative subject files and reports.

e) Correspondence, subject files, and reports of the office of the chief student affairs officer.

f) Correspondence, subject files, and reports of the office of the chief academic affairs officer.

g) Accreditation reports and supporting documentation.

h) Annual budget and audit reports.

i) Faculty personnel records.

j) Alumni records, including: minutes of the alumni association and alumni office correspondence and subject files.

k) Records of the registrar, including: timetables and class schedules, noncurrent student transcripts, enrollment reports, graduation rosters and other reports issued on an annual basis.

l) Reports of the admissions office.

m) Reports of the office of institutional research and development.

B. Processing

Processing is the preservation, arrangement, and description of collections and records series to be maintained in the Archives.

1. A record should be made for each series or collection which will document the various stages of processing.
2. The following minimal procedures should be carried out during processing to preserve records. Standards for the physical environment of the records are contained in Section VII.
   a) Records should be inspected for the presence of vermin, mold, and mildew and steps taken to assure that records are free of these.
   b) Especially brittle, damaged, or torn documents should be repaired or copied.
   c) Rusty staples, rubber bands, and paper clibs should be removed and folded documents opened and flattened.
   d) Unbound papers (such as correspondence) should be placed in folders, preferably low-acid or acid-free, and then boxed in covered document cases, preferably lined or constructed with acid-free materials.
3. Arrangement
   a) Records should be organized according to the recognized archival principles of provenance and original order. Where no apparent order exists the order should be determined by the potential uses of the record.
   b) All records, papers, and materials should be clearly labeled with the series or collection number, box or folder number, record series title and the name of the University Archives. All materials not boxed or folded should likewise be labeled.
   c) Arrangement of series and collections on the shelves in the Archives may be arbitrary so long as a locator number identifying the specific location is recorded in the catalog of the collection.
4. Finding Aids

   Every University Archives should have a checklist or guide to its holdings.

a) This checklist should be updated whenever necessary, but at least once every ten years.
b) Every University Archives should prepare annually a checklist of significant additions to its holdings and should make these available to the other Archives in the UW-System.
c) Every University Archives should have a card catalog easily available to researchers, which contains entries for every office, organization, or individual for which the Archives has holdings, and title entries for every record series or collection.
d) Every University Archives should make available to researchers an organizational chart or index showing the current administrative structure of the University and preferably detailing the historic changes in that structure.
e) When necessary for complex collections or record series, a detailed finding aid should be available to researchers, which may contain a shelf list, a chronology or history of the organization or individual, and an analysis of the scope and content of the record.

C. Service, Research and Administrative

The University Archives serves both a research/educational function and an administrative support function.

1. Administrative service

A large part of the service provided to administrators by the Archives will be the result of its records management function. In addition to the inventorying, scheduling, and records analysis services provided by the Archives, the following are the minimal service functions to University administrators and to faculty and student governance bodies.

a) Providing an informational service based on the holdings of the Archives; researching and answering questions about the history of the University, the development of policies and procedures, the history of programs, organizations; and providing information on individuals connected with the University.
b) Providing reference service on all records in the Archives'

custody in the following ways:

1) Answering a request for a specific piece of information in a record.
2) Copying a specific segment of a record for administrative use.
3) Transferring to the office of origin, at the discretion of the Archivist or where duplicates are maintained, a particular segment of a records series which is desired for extended use, or which can be duplicated only at prohibitive cost.

c) Each University Archives should prepare and distribute to all University offices a reference policy specifically outlining its reference services and the procedure for for making a reference request.

d) The University Archivist shall record each reference request.

2. Educational/Research service

a) The Archives should serve as an information resource for all interested persons on the history and development of the University—its policies, programs, and organization.

b) The amount of reference service provided to researchers will vary with the type and volume of requests, but should at a minimum provide detailed guidance on the possible sources of the information sought and an explanation of how to use the records involved.

c) The Archives should serve as an educational laboratory where students may learn not only about a particular subject, but also about the resources available and the techniques for using them.

1) The Archivist should provide, where interest justifies it, informational sessions for students on researching in archives and manuscripts.
2) The Archivist may develop cooperative programs with individual departments or faculty members which will increase the use of archival resources while providing instructional guidance for the users.

3. The Archivist should encourage the use of the Archives by all interested persons. In addition to providing the

services discussed above he/she should publicize his/her services and collections by such means as the following:

a) Develop and distribute an informational handout on the Archives, its services, and collections.
b) Arrange for exhibits or displays at least once a year.
c) Publicize services and holdings by reporting any significant activity, event, or collection to the campus newsletter and news service.
d) Post attractive and clear directional signs to guide potential users to the Archives.
e) Include the Archives in all descriptions of campus resources, such as the library handbook.

4. The Archivist should provide a clear statement of the conditions of use and access for the Archives.
   a) Use should be under supervised conditions which will assure that proper care is provided for the record and its order, and should be recorded in a daily register.
   b) Access to the collections:
      1) Access should be consistent with the principles of scholarly inquiry, freedom of information and the individual's right of privacy.
      2) Restrictions on access should be for a fixed term and be determined at the time of transfer or donation. Restrictions may be imposed:
         a) by law, for certain records, or
         b) by agreement between the Archivist and the office of origin or donor.

IV. RECORDS MANAGEMENT

To fulfill adequately its mission of appraising and preserving University records, the University Archives must play a key role in the development and implementation of a campus records management policy and in the operation of a campus records management program.

A. A records management/archives policy and program should insure:
   1. Improvement in the quality of records by evaluating and controlling records creation, forms, and filing systems.
   2. Improvement of the flow of paper and records currently

in use in the organization.
3. Improvement in the control of and access to needed information.
4. Compliance with Wisconsin Statutes 16.61 and 19.21 governing the disposition of University records.
5. Elimination of noncurrent records not needed for the continuing operation of the organization.
6. Preservation of materials essential to understanding the organization's purposes and operations or having other permanent value.

B. Development, implementation and operation of the campus records management policy and program is the responsibility of:
1. The University Archivist and the designated Records Manager (where one exists), with division and coordination of responsibilities as delineated below.
2. The University Archivist shall serve as the Records Manager on campuses where no Records Manager has been designated.

C. The records management/archives policy should provide for the following procedures:
1. Forms and records creation should be evaluated and approved by a designated forms control officer.
   a) On campuses where no designated forms control officer exists, the University Archivist or Records Manager may serve as forms control officer.
   b) The Archivist should be consulted on a regular basis regarding records creation and forms control.
2. Formal advising on:
   a) The control and maintenance of University records.
   b) The designation of material as public record or non-record as defined by Wisconsin Statute 16.61.
3. Inventorying, scheduling, and orderly disposition of all University records as described in (D-F) below.

D. Inventorying includes the identification, description, and information gathering for each record series, and will serve as the basis for a records retention schedule.
1. The University Archivist or the Records Manager may inventory the records of any office or department of the

University
a) At the department's or office's request, or
b) At the initiation of the Archivist or Records Manager and in cooperation with the department or administrative office.

2. All completed inventories should be reported to the Archivist and the Records Manager, and a list of completed inventories should be maintained in both offices.
3. A list should be developed by the Archivist and Records Manager to set priorities for future inventories to equitably accommodate departments and sufficiently protect important University records.

E. Establishing records retention schedules and submitting Records Disposition Authorizations.

Records retention schedules are forms which specify for each record series the time period for which a record is to be retained, the format in which the record is to be retained, and the location in which the record is to be retained.
Records Disposition Authorizations are the forms submitted to the State Public Records Board which contain the retention and disposition procedures for each series.

1. Following the inventory of an office's or department's records, a meeting should be called to discuss the proper retention periods for the records inventoried. The meeting should include the Records Manager, the Archivist, and the office or department head or his/her representative.
2. A retention schedule should be prepared by the office performing the inventory, and copies should be sent for approval to the Archivist, the Records Manager, the office or department head, and, preferaby, legal counsel for the University. The Archivist has the responsibility and authority to designate those records which shall be retained permanently in the Archives.
   a) The Archivist or Records Manager may recommend to the campus administration the establishment of a representative body to review records retention schedules and recommend records policy and procedural statements. This body should include, but not be limited to, the legal counsel, a business office represen-

tative, the Archivist, and the Records Manager. If this body is established, approval of retention schedules would require approval by all members of this review body.

3. Copies of the approved retention schedule will be filed in the offices of the Records Manager and the Archivist and in the office of origin.
4. The Records Manager will prepare from the approved retention schedule a Records Disposition Authorization and submit it to the State Public Records Board for approval as required by state law. The Records Manager and University Archivist must review, approve, and sign Disposition Authorizations before submission.
5. Records may not be destroyed until the Public Records Board approves the corresponding Records Disposition Authorization.
6. Review or revision of existing and approved retention schedules may be initiated by the Archivist, the Records Manager, or the office of origin, or at the direction of the Public Records Board. Revision of the schedule will follow the same procedures as the initial schedule.

F. Additional responsibilities of the Records Manager.
   1. Microfilming records as required by approved retention schedules.
   2. Destroying records as required by approved retention schedules.
   3. Retaining inactive records in the Records Center as required by approved retention schedules, if such a facility for inactive records storage exists or is created.
   4. Maintaining control and providing reference service on records stored in the Records Center.
   5. Acting in an advisory capacity on records-related problems.

G. Additional responsibilities of the Archivist.
   1. Obtaining a duplicate of all microfilm or other duplication of records where the hard copy is to be destroyed and the duplicate is to be retained for a period of more than ten years.
   2. Transferring materials to the Archives according to approved retention schedules.

3. Collecting and processing University issuances.
4. Maintaining control and providing reference on materials in the Archives.
5. Collecting records and papers relating to the University that are not official public records, but do have historical and research value.
6. Acting in an advisory capacity on records-related problems.

V. SPECIAL COLLECTIONS MANAGEMENT

Consistent with the Area Research Center agreements between the State Historical Society of Wisconsin and each of the Universities in the UW-System, individual Archives may develop special collections which, while not technically University Archives, supplement and add a unique dimension to existing official records. Special collections may include artifacts, maps, photographs, oral history interviews and other materials which may add to the overall effectiveness of the archival collection.

A. In creating special collections, the Archives should utilize all applicable guidelines for collection and appraisal as outlined in Section III-A of this statement.

B. Specific guidelines for the management of special collections should be developed by individual Archives. These guidelines should reflect the size, nature, scope, and use of the respective collections and the special handling they may require. The specific guidelines developed by individual Archives should be consistent with the following standards:

1. Special collections should be developed so that they support archival collections and are consistent with the collection policy of the Archives. They should reflect the core mission of the University Archives.
2. Special collections should be indexed in a card file or in some other accessible printed finding aid. They should be identified or described in such a manner that they can be easily used by patrons.
   a) Artifacts should be identified and dated. Their significance within the University Archives collection should be clearly described in some printed form.
   b) Maps should be identified and dated.

c) Photographs should be identified and dated as closely as possible. Identification should include individuals, buildings or landmarks and events illustrated in the image.

d) Oral history tapes should indicate the date or dates of taping and the names of all individuals participating in the interview. Tapes should be accompanied by a transcript, abstract or index that will aid the researcher in using the interview.

VI. PERSONNEL

A. Staff Positions

1. Each institution must have one full-time professional Archivist to direct archival operations including the University Archives and the Area Research Center.
2. The University Archives must have sufficient staff to meet the following standards of minimally adequate performance:
   a) For at least forty hours per week, an attendant (classified staff, graduate assistant(s), or experienced student assistant(s), etc.) should be available to supervise researchers in the reading room and assist them in using finding aids.
   b) For at least twenty hours per week, an Archivist should be available to give professional assistance to researchers.
   c) Sufficient processing staff to:
      1) Process (destroy or weed) the equivalent of one year's annual accumulation of records each year.
      2) In addition, process each year at least 10% of any backlog of unprocessed records existing at the time the Archives was established on the basis of these standards.
   d) Perform other duties prescribed for an Archives in these standards.
3. It is recommended that each established Archives have access to clerical services. Personnel needs in this area will vary with the institution, and in some cases a full-time clerical position may be advisable.

B. Qualifications
   1. At a minimum, the professional position(s) must have a bachelor's degree, preferably with a major in history or the humanities area, two years archival experience or demonstrated capability in archival or records management work, and archival training. A Master's degree or equivalency in graduate course work may be substituted for experience.
   2. Part-time staff should also possess educational backgrounds in the humanities, a sensitivity toward records, and a recognition of the various functions and values they have within the institution.

C. Grounds for Staff Increases and Role of Archives Council
   1. If Archives work increases significantly in any one or more of the following areas and increases are maintained over a two-year period, staff increases are justified:
      a) Number of reference requests and/or daily registrations.
      b) Volume of accessions.
      c) Number of requests from campus departments for records management assistance (records inventory, analysis, and scheduling).
   2. Role of University Archives Council
      a) The Archives Council will appoint a committee to review the personnel needs of a University Archives and to make recommendations, if requested in writing to do so by the University Archivist and administrative officer who must approve new positions.
      b) The Archives Council will develop and recommend specific guidelines for determining the need for staff increases.

VII. FACILITIES AND EQUIPMENT

Although the space requirements and facilities will vary from campus to campus with the size of the institution and the development of the Archives program, the following facilities and equipment are minimal requirements for the proper functioning of the Archives:

A. A reading room for researchers where access and use may be supervised and restricted. It should:

1. be easily accessible to the stacks.
2. be able to accommodate at least ten users.
3. be well lighted and furnished with flat-top desks or tables.
4. It should also contain:
   a) The card catalog and guides.
   b) A desk and chair for supervisory personnel.
   c) Preferably, an area for checking book bags, briefcases, and coats.

B. A stack area where access can be limited to Archives personnel. The size of the stack area will be determined by the present size of holdings and the volume of annual accessions. However, at a minimum, it should provide for 500 linear feet of shelving.
   1. Preferably, the shelving should be metal with twelve or fifteen inch adjustable metal shelves.
   2. If fluorescent lighting is used in the stack area it should be covered with filter screens.
   3. The Archives should be equipped with a fire extinguisher and located in a fire-resistant or fire-proof building.
   4. Preferably the stack area should be equipped with a heat and smoke detector and should be protected by a security alarm system.
   5. All Archives areas should be provided with locks.
   6. Special storage equipment for oversize items such as large photographs, maps, and blueprints should be provided, along with filing cabinets both legal and letter size.
   7. Temperature and humidity conditions should be maintained as constant as possible. Since most University Archives store many different types of material together, each with different optimum storage conditions, it will be impossible to provide the optimum storage for all material. However, the following ranges are suggested:

Temperature	60°-70°F
Relative Humidity	40%-50%

C. An area physically separated from the reading room and stack area, but easily accessible to both, should be provided for the processing of unorganized collections. A regular office can serve this function. It should be provided with shelving,

a large, flat table, a chair, and enough space for storing supplies used in processing.

D. Additional Supplies and Equipment
   1. Acid-free covered document cases.
   2. File folders (both legal and letter size), preferably low-acid.
   3. Records storage or transfer cartons.
   4. Catalog cards.
   5. Two typewriters.
   6. Clerical supplies.

VIII. SUPPORTING SERVICES

The following supporting services or equipment are required for proper function of a University Archives:

A. A dry process copying machine or easy access to copying facilities.
B. Easy access to a microfilm reader.
C. Easy access to an audio-tape playback facility.
D. Access on-campus to photo and sound duplicating facilities.
E. Access to microfilming and processing facilities or services.
F. Access to preservation facilities or services, especially fumigation and document repair.

West Room Stack at the UW-Parkside Archives

THE RECORDS PROGRAM OF THE NHPRC: AN INTERVIEW WITH COMMISSION MEMBER RICHARD A. ERNEY

INTERVIEWED BY JOHN A FLECKNER

Federal legislation in 1974 redesignated the National Historical Publications Commission as the National Historical Publications and Records Commission (NHPRC). The new law and subsequent budget appropriations ezpanded the seventeen-member Commission's ability to assist in important projects to preserve archival materials and to make them available for public use. During fiscal year 1979 the NHPRC will award about $2 million under its records grants program. The Commission meets three or four times each year to consider grant applications and conduct other business. Historical records advisory boards, appointed by state governors, are now in place in forty-eight states to assist the Commission by reviewing proposals from their areas. The Commission staff also contributes to the evaluation process.

Richard Erney, Director of the State Historical Society of Wisconsin, was appointed to the NHPRC in 1975 to represent the American Association for State and Local History (AASLH). He also is the state coordinator and chairperson of the Wisconsin Historical Records Advisory Board.

The following material is edited from an interview on November 29, 1977, between Mr. Erney and John Fleckner, Area Research Center and Statewide Extension Services Archivist at the State Historical Society of Wisconsin.

Erney: *The thing that ought to be said in the beginning of this interview is that I don't speak for the whole Commission. I only speak as one member. This is only my observation of the Commission and the directions it has been going, and my own views. I think for the most part they accord with the mainstream of the Commission's thinking, but I don't want to presume to be speaking for the Commission.*

Fleckner: *You strongly favored the state advisory board structure when it was being discussed. What benefits do you see coming from it?*

Erney: *The state advisory board set-up is something that was urged by many people in the states. It was based essentially on our experience with the historic preservation program, which hadn't been without its trials and its growing pains, but nevertheless has been a pretty successful format for a federal-state cooperative program. Those of us who used this as a model of sorts were thinking that if the records program was going to be something more substantial than a grants program — which is important and useful enough in its own right — if it was going to have the kind of long range benefits we hoped it would have, we thought there should be some kind of mechanism in the states to stimulate broad planning and take a more searching look at archival needs. I hope it is going to work out that way, and I think there is considerable evidence that it is. Maine and Wyoming have not named Boards but the rest of the states have and there seems to be evidence that it is helping. I think in Iowa there is some prospect that it will improve the archival program; it looks like there is a prospect of considerable help in Massachusetts and there may be other states where what we had hoped for — the broader benefits beyond the simple getting of grants — is beginning to have some effect.*

Fleckner: *Will some consideration be given to providing some kind of direct assistance to the state boards?*

Erney: *This has been discussed by the Commission. I guess at this point it may be hung up on a legal question as to how they can provide some assistance for all the costs that are going into administering the Board. I don't think there is any immediate prospect that there will be any help along these lines.*

Fleckner: *It seems that the state boards vary a good deal in how much the parent institutions of the members are willing to contribute.*

Erney: *Yes, that's right. The states vary considerably archivally and I assume the Boards vary considerably too. So far, for instance, in*

Wisconsin I don't think this has been any great burden to us. However, I am sure we could do some things if we had a modest amount of funds to help us with the administrative costs, and I suspect there probably are a good many other states that could benefit from some modest assistance.

Fleckner: *As a member of the National Commission you see both sides of the program: records and publications. How do you split your time between the two?*

Erney: *Basically I split my time according to the agenda. I think when the Commission was enlarged and representatives of the SAA and the AASLH were put on the board, it was probably because of the records part. I think my own background as a former state archivist makes me more competent in the records program. But I am very much interested in the publications program also. Basically, I try to understand the entire program.*

I've shared some of the concern about the extensiveness of the letterpress publications, how long they're taking, and the costs they are generating. I don't have any serious quarrel with any of the projects — with one or two exceptions — that have been undertaken; I think they're all worthwhile. As many people pointed out, at one time we were very heavily committed on nineteenth century political leaders. I think that was a valid criticism, but the Commission is trying to balance up its list of projects.

I have been inclined to push for more microfilm projects, and one of the things I have particularly tried to do is to get some kind of criteria for determining what should be published on microfilm and what is going into letterpress. I realize that it's a difficult problem to set such creteria, but it does seem to me that we would benefit in our discussions by having some kind of guidelines. I think it would help people making applications if they had some idea of what standards are used to judge whether we're going to let it go into letterpress or whether we're going to support a microfilm publication.

Fleckner: *Is there a possibility of tension or conflict between these two sides of the program?*

Erney: *I don't think so. The people on the Commission at the time the four new members came on were most generous in recognizing the necessity of quickly starting the records program and they allocated $200,000 for this purpose from funds originally provided for the publications side. At the November [1977] Commission meeting,*

because the funds for publication projects were all committed, the Commission voted to "return" that $200,000. There is a fairly clear understanding among members of the Commission that X amount of dollars is for publication and Y amount is for records.

Actually what we must do is get the appropriation increased for ***both*** *because they're both worthwhile and they're both necessary. My own thinking is along these lines and I would guess that the other Commission members look at it that way. The major problem is to get the entire program increased without doing any more damage to the National Archives. All the increases thus far have come out of existing funds allocated to the National Archives and Records Service (NARS). The first such increases NARS absorbed with relative ease. The second time appropriations to the records program were increased — by half a million dollars — it really hurt because NARS had to cut back on personnel and programs. It's a puzzle to know quite how to deal with this. I think one of the things that bothers one is that the amounts of money we're talking about are so puny compared to the amounts of money spent by the federal government. To take a half million dollars out of the National Archives to increase the funding for the records program is kind of unrealistic I think, not to say almost ridiculous.*

Fleckner: *Do you suppose that more grants applications and similar evidence of need will be factors favoring enlargement of the program?*

Erney: *I would think so, when it is evident that the money is accomplishing some worthwhile things in the states. The state coordinators and their boards ought to let their Congressmen know what the program is accomplishing in their states and what it could accomplish if it were better funded. The problem is that both times the appropriation was increased the increases came at the expense of the National Archives. Well, we want the National Archives to be strong, too. It is one of our great institutions and one of our great research centers. There's talk about making the Archives independent of the General Services Administration. In the long run I would favor that, but I don't see that it would help this particular problem.*

Fleckner: *One of the things that may be less obvious about the program is the role of the Washington staff, how they help the Commission members, and their assistance and other work with grant applications.*

Erney: *I think for a small staff they do an amazing amount of very high quality work in analyzing the grant requests that come in, and*

in getting them clarified and presented by the potential grantees so the Commission can understand what the grant will accomplish, and be assured that the project will be a success. The staff analysis of each request generally is searching and on target and I think it helps a great deal to understand what is being requested and how it fits into the program. We don't always agree with the staff recommendation because some of us may have additional information, or because we look at things somewhat differently. But that is just one of the routines of a Commission and a staff working together. I think for the most part their recommendations have been well-founded. In the November [1977] meeting I think we followed the staff recommendations for the records grants eighty to ninety percent of the time, perhaps a little higher; and we followed almost one hundred percent the recommendations for not funding because they all seemed to be well considered recommendations.

Fleckner: *You represent the AASLH on the Commission. Does that affect your activities on the Commission? Do you see yourself as a representative of the body?*

Erney: *Well, I consider myself a representative not so much of the AASLH as of its constituents. Of course there is a very able second representative of the AASLH, Dick Williams of the Eleutherian Mills Library and before him Tom Vaughn of the Oregon Historical Society. When AASLH has a grant request neither of us takes part in the discussion or voting on that request.*

Fleckner: *As you look over these grant applications yourself, what are some of the kinds of things you are looking for in a good proposal?*

Erney: *I look for things that promise some kind of solution to some of the more general problems we face in the archival world. These are the pilot projects — ones that seem to offer some promise that what is learned in the course of doing a project will be useful in other places. One of the things I look for in these is: how are people going to learn about the results of the project? It doesn't make much sense to fund a pilot project when there is no provision for making the information gained widely known. The other thing I look for is whether the project will play an important role in assisting the state broadly in its archival program. Will the proposed project be a key element in improving the whole archival program in the state? Things that might not be particularly innovative in one state*

might be quite necessary in another, and might have a key role in helping that state improve its archival program.

I feel negatively about projects which a state or an institution ought to have been able to do on its own if it had appropriate priorities — the routine microfilming of records just to save space, or the routine processing of records which have been around a long time at an institution which presumably should have been able to process those records a long time ago. These kinds of things the Commission just doesn't have funds to support to a very great degree.

Another thing that we look for is whether or not an institution really has promise of being able to do the thing successfully and whether or not it has professional staff capable of handling the project. This is something of a problem in some places and we have to recognize that some places probably will have to hire staff from outside. In that case we usually like to know what the process for getting competent staff is going to be. Who is going to select the staff?

We also try to demonstrate that this grant program is for large and small institutions throughout the states. We try not to favor the large institutions although they often have the capability of writing better grant requests. And of course we try to see whether the budget is realistic and what the institution itself may contribute.

One final thing I might mention in talking about what we look for in grants. We try to make sure people understand that there are many forms of documentation and that the Commission is interested in all of them. Probably the machine-readable problem puzzles all of us most, and so far there doesn't seem to be much coming in that promises any breakthrough on that. We are receiving many requests about photographs — converting photographs from nitrate to safety negative, from glass plate to film negative, and this sort of thing — in order to preserve them. Generally, these applications have fared pretty well. Our questions about them usually relate to the importance of the material documented. We are all aware of the physical problem and of the necessity for doing something if the material is important enough. Of course this is often difficult to determine and we have to rely heavily on the state boards to make that determination because they know — or should know — the documentation in their own states better than anybody on the Com-

mission.

Fleckner: *One of the things the Commission mentions in its literature is cooperative projects; it seems to favor them. What falls under that term?*

Erney: *I think the Commission would like to see a greater degree of cooperation among archival institutions within the states and also across state lines. This might include things like documents conservation centers — New England has had one for some years — or perhaps a regional approach to other problems like reference guides and records control.*

Sooner or later archival institutions will have to think more in terms of cooperation in documenting certain fields. Modern documentation has become so complex and so voluminous that institutions must become aware of what others are collecting and perhaps even plan ahead so there will be distribution of wealth, so to speak, in terms of collections. That's a great open field where nobody's really done very much; Jerry Ham (Wisconsin State Archivist) has done as much thinking about it as anybody at the state level that I am aware of. This will be a long time coming, if ever. But even if we make some moves along that direction it will be very helpful. I don't know to what degree the Commission can or should encourage this.

Fleckner: *The Commission has been drafting a statement of priorities and preferred approaches for the records program. Is that going to be helpful?*

Erney: *Yes, I think it will be. The shape it has taken is quite broad and it will help states understand the kind of things the Commission wishes to foster. It's in the final stages of preparation now and there will be a request for the states to make a response about their own needs by the end of 1978. When we originally started there was talk about statewide plans. The situation is so chaotic in some states and so unknown in others that they cannot plan intelligently. I think the approach of getting statements on the needs of each state, and on priorities as the state sees them, is much more fruitful than attempting to conceive an elaborate state plan.*

Fleckner: *Is there anything of a dilemma in trying to develop national and state priorities simultaneously?*

Erney: *Well, the way this has finally come out is that the states*

will develop their own priorities; the national needs as seen by the Commission are broad enough that state priorities can fit into them quite well. I am sure there will be some areas in which a state will have something it thinks is very important, while the Commission may feel it is not of sufficient national concern, given the limited amount of funds available.

Fleckner: *Well, the statement should provide a common vocabulary.*

Erney: *Yes, at this point I think we simply will have to give it a try and see how it works out. The idea now is to have the statement of broad national needs and then to indicate from year to year what things may be emphasized by the Commission depending on various circumstances, including the amount of funds available and the kinds of things the states feel are of high priority. There may be some changes in the emphasis from year to year.*

Fleckner: *The guide program is a major Commission project; what are your views on it?*

Erney: *I am very enthusiastic about it; I'm not as knowledgeable about the relationship of computer technology to archival control as others actively working in the archival profession, but the whole guide program ought to be very productive and will provide a much better picture of what things are like nationally. The last report indicates that there exist far more repositories than were recorded in the Hamer guide. The first step will be a directory to repositories and then later on a more detailed guide to collections at these repositories. I felt much more enthusiastic about the guide project after this last Commission meeting than I ever had before and I hope they make progress as now planned. That would be a great boon to researchers and also to people in the archival profession.*

Fleckner: *Earlier you compared the historical preservation and the NHPRC programs; can you carry that comparison further?*

Erney: *Historical preservation has prospered and large amounts of funds are in sight for it compared to the NHPRC, both the records and the publications portions together. I don't see parallels other than trying to set this up as a state-federal undertaking with a mechanism in each state.*

It would be nice if the NHPRC obtained some kind of designated funding. The preservation program money comes from oil leases on public lands. The money goes into the treasury and it is held in a trust fund for preservation. It would be encouraging if some sort of compar-

able situation could be established for preserving other parts of the nation's "patrimony" as the preservationists keep saying.

Preservation has taken on a special sort of meaning in recent years, but after all we have been engaged in historic preservation in this country since its beginning. Its just that for a long time we emphasized the preservation of documents, records, books, and other cultural resources; and now preservation has come to mean preserving whole buildings, whole neighborhoods — all of which is worthwhile and important to the quality of life in the country — but in some ways part of the same piece. It's like conservation — historians should have been the best and most interested conservationists. Likewise, conservationists should be interested in the conservation of human-made resources as well as natural resources because they have so much to give to each other and so much of a philosophy to share.

Fleckner: *It has struck me that historic preservation rests on a great deal of documentary research; buildings don't tell their stories all by themselves.*

Erney: *Yes, and that is going to be even more true as we go along. For instance, the state preservation survey we are doing now is largely an architectural survey, because it is visible. You can go up and down the streets and pick out the buildings that have something about their architecture or construction that indicates that they should be considered for the National Register. But to pick out the buildings that are important because they are associated with some important person, movement, or event of history is much more difficult and can't be done by mere visual inspection of the building. So as we seek to identify buildings that are more important historically, library and archives research becomes increasingly important and the resources for performing that research will also become increasingly important.*

Fleckner: *In terms of the long range view for the records program, what can we realistically expect it to achieve? Do you see that it will stimulate additional support?*

Erney: *It is my hope that this program will accomplish specific things that are worthwhile in themselves, but in the longer range I hope it will stimulate states and institutions to analyze their problems; to plan more intelligently for them; to approach them on a cooperative basis more often; and to obtain more support from within the states.*

I think it is a farily good bet that some of this will be achieved. However, the amounts of money available for the records program are extremely modest. The archival problems of the states will not be solved by this records program alone. However, it can point the way, stimulate, and encourage self-help in the states.

FOOTNOTE

1. Additional information on the NHPRC is available in its published annual reports, its "Suggestions for Applicants," and in Larry Hackman, "A Progress Report on the Records Grant Program: The Future Belongs to You!" *The Middwestern Archivist 1* (Number 2, 1976) 21-27.

BOOK REVIEWS

The Fur Trade in Minnesota: An Introductory Guide to Manuscript Sources. Compiled by Bruce M. White. St. Paul: Minnesota Historical Society Press, 1977. 66 pp. Illustrations, appendices, and index. Paper. $4.50.

In an area of research with an immense bibliography, Bruce White and the Minnesota Historical Society have contributed an important and unique publication. To my knowledge, *The Fur Trade in Minnesota* is the first descriptive guide to manuscript sources on the fur trade. This factor, in conjunction with the quality of the descriptions, makes this guide a noteworthy addition to the literature of the field.

The *Guide* contains three sections — the main body and two appendices. The main body describes 104 collections in the Division of Archives and Manuscripts of the Minnesota Historical Society that contain significant information on the Minnesota fur trade. Items described include originals and copies of originals held privately or contained in more than fifty repositories in the United States, Canada, and Great Britain. The largest concentration of records is from the period 1780 to 1840. Entries are listed alphabetically by title of collection as created by the Division of Archives and Manuscripts, and normally include birth and death dates of the creator of the records; years covered by the collection and, occasionally, even dates of individual items; size of the collection but not of pertinent fur trade records included therein; form of the record, whether original, microfilm, or photocopy; location of the original; location of the headquarters of business firms or other institutions; biographical data on the creator of the records and references to additional information; and titles of published works where all or parts of the collection are contained. By intent, the descriptions emphasize business records, though references to traders' diaries, correspondence, and other personal narratives are also included. Frequently details on the type of information contained

in individual records and the names of important correspondents are provided.

It should be mentioned that general descriptions of the collections included in this section of the *Guide* can also be found in *Manuscripts Collections of the Minnesota Historical Society.* However, White's *Guide* with its narrower focus deals with fur trade records in greater depth. As a result, duplication of information is minimal, and the two sources tend to complement each other.

Appendix I describes important records on the Minnesota fur trade found in repositories other than the Minnesota Historical Society. Entries on the twelve repositories listed include information on types, content, volume, and dates of fur trade records, and, where pertinent, also include references to finding aids and to publications containing portions of the collection.

Appendix II is an alphabetical listing by surname of approximately 800 fur trade employees who worked in the upper Mississippi and Fond du Lac trading areas of Minnesota, Michigan, and Wisconsin from 1795 to 1822. The roster, compiled from various companies' registers, account books and ledgers, as well as from published sources, contains information on various aspects of the individual's employment history — position held, dates employed, firm and post where employed, and wages received. In addition, references to sources and, occasionally, to more detailed information are provided.

By any standard — format, informational value, retrieval — this is an excellent guide. All types of researchers on the fur trade, from economic and business historians to genealogists, will find it useful. Because of the fragmented and widely scattered nature of fur trade records and the difficulties in tracing the career of individual fur traders, researchers have long needed a bibliographic tool which would aid them in locating collections, identifying records and people, and, in general, determining relationships among collections. These needs are satisfied, at least for the Minnesota area, by White's *Guide.*

Yet this *Guide* must be recognized only as a beginning, as the first of many such publications whose scope will steadily broaden. In the near future, one would hope to see the publication of regional guides to fur trade manuscript sources and eventually of a single guide for the United States and Canada. In any such project White's *Guide* should serve as a model.

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Mexican Americans in Minnesota: An Introduction to Historical Sources. Compiled by Ramedo J. Saucedo. St. Paul: Minnesota Historical Society, 1977. 26 pp., paper. $1.75.

This new guide is an important and useful aid for the study of sources relating to the history of Mexican Americans. Mr. Saucedo has uncovered a wide variety of sources in the Twin Cities area pertaining to this particular ethnic group. Judging from this volume, the Minnesota Historical Society can consider its Mexican American History Project a success indeed. The thrust of the brief guide is to explore the extent to which available sources cover various aspects of the Mexican American experience in Minnesota. Its emphasis on the subject content of specific collections somewhat obscures the unusual variety of types of sources. This trade-off regarding relative emphasis is normal in the preparation of guides of this kind. However, in this particular case, because of the unusual mix of sources discovered, the subject emphasis is unfortunate.

The subtitle of the guide reads, "An Introduction to Historical Sources." In the introduction, Mr. Saucedo outlines briefly the history of this minority and notes that it has emerged in recent years to become the largest minority in the state of Minnesota. The presence of this group in Minnesota is underscored in the variety of collections listed. There are many neighborhood collections. The records of a number of voluntary associations were located. Other subject categories include education, civil and human rights, religion, heritage, business, folk life and a general subsection on migrants. A detailed index is provided. To learn that so many sources exist about Mexican Americans outside New York and the Southwest is indeed very helpful and significant. Documentation on ethnic groups is often difficult to find and Mr. Saucedo has searched widely within the community and outside to find whatever is available. Of particular interest are the relevant government sources he has located. This all represents a considerable effort by the author.

As a guide to research materials, more care might have been taken to discuss the size of individual collections. The subject content descriptions of collections such as the *Comite de Reconstruccion*, St. Paul, and the Guadalupe Area Project of St. Paul, are very intriguing, but there is no sense given as to how large or extensive these collections are. My hunch is that they are rather small. Also there

is a considerable amount of published material (reports, monographs, articles and clippings) mixed among the unique items. This is consistent with a subject approach to listing materials. It becomes difficult on reading through the guide to get a sense of the amount of various types of sources available.

This problem is further compounded since a considerable portion of the guide entries refer to oral history interviews apparently conducted as part of the Mexican American History Project. The introduction notes that the seventy-four interviews were "conducted in 11 Minnesota counties with a cross section of Mexican Americans. . . " Many are listed under the subject heading, "Biographies," but others have been classified under a specific subject heading. Of the thirteen entries under the heading, "Business," twelve are interviews. As one thus reads through the guide it becomes clear that a significant portion of the resources for the study of Mexican Americans in Minnesota are in the form of oral histories. However, no space is devoted to a discussion of the methods used in conducting the oral histories such as questions asked, level of reliability, age and background of persons interviewed. Each is described as manuscript reminiscences. If only a small fraction of the total entries were of this kind than a full discussion of method would perhaps be excessive. But in this case, about one third of the entries are oral histories. This large proportion suggests that oral sources will be very important for research in this area. Researchers will surely want to know more about this source than the introduction provides.

The guide does, however, illustrate in a substantial way some of the problems of collecting in the area of American ethnic groups. Apart from the oral histories, I could not locate any citations to collections of personal papers. Nearly all non-printed material available is in the form of government, church or association records. It seems unfortunate that even this very self-conscious ethnic group writes so little on paper. The oral histories should then provide an important personal perspective on the history of Mexican Americans that the written record will not. On the whole, the guide is a significant work and will be of use to researchers in the field.

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Archives and Manuscripts: Security. By Timothy Walch. Society of American Archivists Basic Manual Series. Chicago: Society of American Archivists, 1977. 30 pp. Appendices, guide to further reading, and repository checklist. Paper. $3.00, members; $4.00, non-members.

Timothy Walch, director of the security program for the Society of American Archivists, has produced in this slim paperback a succinct and calm introduction to the principles and practices of archival security. In the first three chapters, Mr. Walch clearly presents the steps by which a security program may be implemented, how it can be applied without interfering unduly with a researcher's right to reasonably free access to information, and how collected materials might be protected from theft. In the last three chapters, he describes commercially available security equipment, steps to be taken in case of fire or flood, and the legal status of archival theft. Two appendices and a bibliography describe the Society's archival security program, reproduce a model law relating to archives and library theft, and suggest further reading.

With this manual, Mr. Walch has created a field of study from a motley collection of twice-told tales, half-kept secrets, courageous admissions, equipment sales literature and legal studies. The manual is an example of consciousness-raising at its finest. At last the problem of archival theft can be openly discussed at SAA annual meetings. Archives workshops can include sessions at which persons new to the profession are, as a matter of routine, made aware of the dimensions of the problem and given some means by which to combat it. To Mr. Walch and those individuals listed in the last paragraph of the Foreward should go our thanks for making this subject a topic of informed conversation.

However, the subject of security is not closed. In fact, the manual exhibits one serious fault which can, I think, be ascribed to the conditions surrounding its creation. The SAA security program and the manual came about in reaction to thefts at major American archival institutions. Security programs were created at these repositories and at SAA in response to traumtaic experiences. As a consequence security is regarded as a medication and takes the form of an extra set of procedures to be laid over existing operations. Early on the manual states "[a] good security program will absorb a significant amount of employee time." Later discussions deal with instructing

staff members "in how to implement the new security procedures" and mention "appointing a security officer from among the professional staff in the repository."

The emphasis here is misplaced. Security should not be regarded as a foreign substance to be assimilated, but rather should grow out of the everyday activities of an archives. There are practical reasons for this. Most smaller shops cannot afford the time and/or expense of a separate security program. Moreover, an unobtrusive program based on tighter accessioning, cataloging and reference procedures will be less likely to interfere with access to historical resources. Ironically, the manual does mention these methods of obtaining security, but tends to obscure them by encasing them in the context of a "security program." Perhaps, as security becomes more a preventive activity rather than what it is today — a reaction to a difficult situation — it will become more subtle in its application.

Two other aspects of the manual deserve comment. First, readers of the manual need to be cautioned that acquaintanceship with security hardware, fire and flood protection and archives and the law, does not make them experts in these fields. Since few of us can master them, the message of the last three chapters should have been: get competent advice and follow it. Also, I would like to have seen included in the manual a chapter on the motives of manuscript thieves, not entirely out of morbid curiosity, but rather out of a desire to better understand and protect myself against my opponent.

The manual is a superb introduction to the problems of archival security and should be required reading for all archivists.

J. Fraser Cocks III
Colby College

Archives and Manuscripts: Arrangement and Description. By David B. Gracy II. Society of American Archivists Basic Manual Series. Chicago: Society of American Archivists, 1977. 49 pp. Bibliography and index. Paper. $3.00, members; $4.00, non-members.

This volume, one of five in the Society of American Archivists

Basic Manuals Series, is a scholarly treatment of archival arrangement and description logically arranged by functional steps and lucidly written in an entertainingly piquant style. In a brief but essential introduction the author establishes his goal "to impart an understanding of archival endeavour, not to provide a garden path down which the naive are led in follow-the-leader style." On the whole he succeeds admirably at being instructive without being self-consciously didactic. While recognizing the basic differences in methods between archivists and manuscript curators, the author avoids the temptation to promote one system over another which, he feels, would ill serve the ultimate goal of methodological harmony. With a mature appreciation of the legitimate variation in archival needs and therefore in practices, Gracy has prepared a manual which can be enthusiastically recommended to all practitioners regardless of their professional proclivities or institutional affiliations.

The work succeeds on its own terms by clearly outlining the basic tenets of arrangement and description and by describing possibilities for applying them. Using the Holmesian model of levels of arrangement the author presents a highly readable yet refined synthesis of arrangement practices proceeding from Record Group Collection to Sub-Group to Series, then to File Unit, Document Item, and finally back to Repository. The lion's share of space in the opening chapter is devoted to the Series, that elusive, intricate, but crucial nub of archival arrangement. Chapter two relates the necessary work of arrangement to the essential job of description. Of particular value are the sections on "Internal Control Documents" and "Forging a Descriptive Program." A third chapter neatly ties arrangement and description together and sets the stage for the concluding chapter on handling special records material. Illustrations of work procedures and forms provide and interesting balance to the text and generally serve to enliven the narrative. One can only regret that the format placed these examples in mid text interrupting the flow of the narrative from pages 21 to 27 and 28 to 30 — itself a testimony to the power of the author's prose.

It is for good reason that the balance sheet for this work seems heavily weighted on the plus side, for there is very little to criticize. Some archivists may take exception to a few of the author's definitions and practical recommendations, an inevitability the author recognizes and accepts given the diverse nature of present professional

practice. This reviewer was disappointed in the quality of the photographic reproductions and in the bibliography which, while highly pertinent, is somewhat short. But these caveats are minor. Although it is too early to reasonably expect the synthesis of practices the author sees as eventually possible, this volume and its companions in the series are a giant step to that ideal. Although the author forswears any attempt to create a recipe for archival apple pie he has given all the necessary ingredients for any number of dishes each equally complete, successful, and satisfying.

All archivists at whatever level of responsibility will profit from, and indeed thoroughly enjoy, this volume. While it takes a deceptively short time to read, the manual provides a wealth of ideas, illustrations, and the handy index makes reference use easy. Although it is paperbound the volume is sturdy enough to bear the heavy reference use to which it will deservedly be subjected. As a reference tool this manual is a must for all archivists' bookshelves.

Barbara Lazenby Craig
Archives of Ontario

International Guide to Library, Archival, and Information Science Associations. By Josephine Riss Fang and Alice H. Songe. New York: R.R. Bowker Company, 1976. 354 pp. Appendices, bibliography and indices. Cloth. $15.00.

This guide could be a very useful reference tool. A revision of the preliminary *Handbook of National and International Library Associations,* published in 1973, this edition provides information on a total of 361 associations, as compared with 319 in the earlier one. It is divided into two major sections, each organized alphabetically. The first section lists 44 international associations, the second lists 101 countries and thereunder a total of 312 national associations. All entries are numbered in one continuous sequence and entry numbers only are used in several of the appendices and indices.

The entries under association names are in outline form with headings for the following categories of information, where available: official name, including any acronym used; address; names and titles

of principal officers; number and type of staff, paid and volunteer; major fields of interest; official languages used. Data is also provided on the establishment of the association, its aims, membership, structure, finances, general meeting dates, and publications. Many of the entries conclude with brief bibliographies, chiefly of writings published in the past decade.

Use of the guide is further facilitated by separate lists of acronyms, of official names and journals of associations, a general bibliography covering the period 1965-1975, and a summary of statistical data concerning the associations listed. Separate indices are provided of subjects, countries, officers of international and national associations, and countries with international library associations.

Despite the title of this guide, however, it will be of relatively little value to archivists. Indeed, the inclusion of archival associations appears to be, at best, an afterthought. Neither the foreword nor the preface mentions the word archives. The compilers in their introduction explain that in the guide "the term 'library' association and not 'library and information science' or other terms is used throughout for the sake of simplification, and also because it seems to be accepted in many countries." However true this may be with regard to the use of the terms "library" and "information science," it is certainly not the case with "archives." Under a number of the entries there is a statement that in a particular country "there is no evidence of a formal library association;" presumably this is intended to mean that there is also no evidence of a formal archival association. In the appendices, officials of archival associations, archival journals, and names of archival associations are included in listings headed "Official Journals of Library Associations," "Chief Officers of National and International Library Associations," and "Official Names of Library Associations."

Apart from these organizational deficiencies, the guide is quite incomplete in its listing of archives associations and inadequate in the information provided about many of those listed. The listing of international associations fails to include the Asociación Latinoamericana de Archivos and the Caribbean Archives Association, both organized in 1973 as regional branches of the International Council on Archives (ICA). In addition to five international associations of archivists, or of associations that include the words "archives" or "archivists" in their titles, the guide includes a listing of 29 such national associa-

tions. No listing is provided, however, of the archival associations that exist in Argentina, Canada, Colombia, Ecuador, France (Church Archivists), German Democratic Republic (Church Archivists), India, Israel, Mexico, Poland, South Africa, Sweden (Business Archivists, and Archivists of Popular Movements), United Kingdom (British Records Association), Vatican City, Venezuela, and Yugoslavia (organization of archivists paralleling those of librarians that are listed for Bosnia and Herzegovina, Croatia, and Serbia).

Archival entries that do appear are frequently of very limited value; many consist of only the name and address of the association. For the very important and active Association of German Archivists the only information provided is the address, and one may well question the usefulness of an entry which describes the major fields of interest of an archival association with the single word "archives" (for example, entry 57, p. 57; entry 222, p. 181; and entry 265, p. 210). The listing of official journals of associations not only lacks the titles of those journals published by national associations in the countries listed above, but also those of a number of associations that are listed, such as those in Brazil and El Salvador. Finally, the inclusion of archival publications in the general bibliography, particularly those of the ICA, would have added significantly to its value. These publications would also have provided the compilers with basic information and leads that could have resulted in more complete and useful information on archival associations.

This guide will be of considerable value to anyone seeking information on library associations. To archivists and others interested in archives associations, however, its chief value will be in defining rather than in meeting a basic need.

Frank B. Evans
UNESCO

Archives and Manuscripts: Reference and Access. By Sue E. Holbert. Society of American Archivists Basic Manual Series. Chicago: Society of American Archivists, 1977. 30 pp. Appendices and bibliography. Paper. $3.00, members; $4.00, non-members.

Sue E. Holbert has produced a clearly-written and useable handbook on access and reference policies and procedures. Holbert adopts a realistic attitude in writing the manual. She states in the introduction that it is intended for those in small or medium-sized repositories, often with no formal training, often with inadequate funding. Yet she assumes that everyone engaged in reference work wants to do a professional job, and she treats her readers like professionals.

The Lowenheim case, involving the Franklin D. Roosevelt Presidential Library, resulted in greater awareness of the problem of access, and Holbert's discussion of the issues is thorough and to the point. Those of us who have reviewed or revised our own practices in light of that case will find what she has to say so basic as to seem common knowledge. But equality of access and full access are so important that they bear repeating; they are areas that Holbert will not negotiate on, and rightly so.

In discussing access and reference, Holbert comes down squarely on the side of those who believe that the archives' *raison d'etre* is use rather than merely preservation. The primary obligation of an archives is to provide access to the material it holds. Basic reference service consists of information about holdings, help in using materials, and an adequate place to study. An archives unwilling or unable to provide these fundamentals is not fulfilling its role, and the author questions whether it should remain in business.

Holbert sees reference work as falling into two categories: providing information about holdings and providing information from holdings. Every repository should be able to describe its holdings through guides and various types of finding aids and be willing to provide this information to interested parties. On the other hand, there is a fine line between providing informtion *from* holdings and doing the researcher's work for him. Holbert's discussion of this is unfortunately very brief; it is one of the dilemmas often faced by archivists in small and out-of-the-way repositories.

The longest section of the manual deals with research room procedures. Holbert emphasizes that a repository must establish definite policies and procedures in this area, both in terms of what the staff is expected to do and in terms of what is expected of the patron. The archivist is responsible to the patron to ensure that he receives all pertinent materials, and to the repository to keep adequate records on patrons and on use and to ensure that materials are used properly.

Holbert sees security as an aspect of both access and reference. Proper security ensures that materials will remain intact so that all patrons will have access to them. Carrying out security provisions is the responsibility of the reference archivist.

Reference work involves extensive record keeping: registration forms indicating who the patron is and what his research interests are; check sheets showing what the patron used, the date he used it, and what staff member provided service; records of what was copied by the patron and charges paid. While they often seem tedious and time-consuming to maintain, good records are an essential part of any archival operation. They are especially valuable in case of theft, in showing when and by whom a collection was used. With space a constant consideration, records can serve as a guide to what collections might be stored away from the repository. Holbert reproduces throughout samples of forms in use at various reporitories.

Awareness of the copyright law is particularly important in reference work, because its implications are far-reaching and because archivists are being asked to interpret the law. While archivists are not lawyers, they must know the basic provisions of the law and are responsible for informing patrons that materials they use may be protected by statute. Holbert further urges that archivists be conscious of the right to privacy versus the right to know controversy, and also understand the pertinent laws of their own states.

The author concludes with a brief discussion of reference personnel. While she stresses that archival training with complementary knowledge of the major subject areas of an institution's collections is ideal, she also recognizes that numerous repositories are staffed by people who have had no archival training whatever. Furthermore, she knows this is not going to change in the immediate future. She sees certain personality traits, such as pleasure in dealing with the public, as desirable in the reference staff.

The manual includes two SAA committee statements, one on standards for access and another on reproduction for reference use. A selected annotated bibliography listing standard works concludes the volume. With this information, Holbert provides the final touches to a well-written and useful work. The manual serves as a checklist against which a repository can evaluate its own policies and procedures on access and reference. Furthermore, it shows that even a small, poorly funded, and understaffed institution can set up and maintain

basic reference services of professional quality.

Nancy Lankford
University of Missouri
Western Historical Manuscripts Collection-Columbia

The Social Reform Papers of John James McCook: A Guide to the Microfilm Publication. Edited by Adela Haberski French. Hartford, Connecticut: The Antiquarian and Landmarks Society of Connecticut, Inc., 1977. 74 pp. Paper. $5.00.

Reform of one kind or another has always been a fertile field for historical research. A significant number of reforms in the twentieth century can be researched and understood by studying governmental units sponsoring such reforms or charged with administering resulting regulatory or amelioratory procedures. In the nineteenth century the roads to reform appear as intermittent lines on the map of history because few formal structures existed to deal with change on a continuing basis. Private citizens and voluntary associations, the usual sponsors of reform, had further to go along the path towards change before they interacted with any particular governmental unit. Even when this interaction occurred there was no guarantee that any documentation of it would occur or be preserved because of slipshod record keeping and absence of archival organizations. Without bureaucracies to pursue their own ends and to document their existence, and without archival repositories to preserve the historical record, the origins of reform are often difficult to trace because the evidence has not survived.

John James McCook is a good example of an important, articulate social reformer whose ties to, and development within, the reform movement have been obscured and overlooked. McCook was a well-organized man who, in addition to his reform activities, successfully juggled the roles of clergyman, academic, and public administrator. To posterity's benefit, his papers survive in spite of his self-evaluation of their uselessness. Serendipity did Clio a blind favor by tucking the papers away in the Antiquarian and Landmarks Society of Hartford, Connecticut. All too expectedly Clio's servants, including

archivists, historians, and historical sociologists, have been late to see and do their collective duty to preserve, exploit, and alert others to the collection's potential. Of those who could have best used the material: Robert Bremner, (*From the Depths: The Discovery of Poverty in the United States*); Roy Lubove, (*The Professional Altruist; The Emergence of Social Work as a Career, 1880-1930*); Walter Trattner, (*From Poor Law to Welfare State: A History of Social Welfare in America);* and Paul Ringenbach, (*Tramps and Reformers, 1873-1916: The Discovery of Unemployment in New York*); none consulted the material at all.

McCook pioneered in the use of questionnaires to study poor-law administration and finances. He was also deeply involved in prison reform, investigation of venal voting, and exploration of the effects of drink among the poor. McCook's diverse interests are reflcted in his manuscripts which are well organized, range over a variety of subjects, and contain first-hand accounts of some of the most private details of the lives of underprivileged Americans. Throughout his career McCook studied tramps as a sociological phenomenon, and the material he amassed on their social and cultural origins, *modus operandi*, and group dynamics constitutes the single best collection of documents ever compiled. McCook's tramp photographs bear special mention because of their remarkable quality, surprising candor, and stunning intimacy.

For anyone interested in social reform in the late nineteenth and early twentieth century, the McCook papers are a mother lode, but their prior inaccessibility prohibited development of their potential. Unfortunately Adela Haberski French's guide to *The Social Reform Papers of John James McCook*, while symbolizing good intentions and worthwhile purposes, promises more than is produced. There is little reason to quarrel with the quality of the guide itself. Indeed when one scans the content, visions of breakthroughs in research dance before the eyes because the material looks so rich and appears so well organized. Not until one examines the microfilm does it become apparent that expectations fall short of reality. Small but persistent discrepancies between the numbers of frames for a document and the number listed in the guide are annoying and somewhat puzzling since each frame on a reel of film is numbered. Items are given numbers in the *Guide*, but item numbers are not listed on the film itself — a convenience the reader would appreciate. These numbering

inconsistencies leave the reader wondering whether all the missing pages were caught and added back to the errata section of reel 7. If these were the only problems, the researcher would undoubtedly be pleased with this micropublication. Unhappily, things that drive researchers to distraction are all too abundant in *The Social Reform Papers of John James McCook* for this reviewer to have a positive feeling about the microfilm's usefulness: indecipherable smudges, illegibly faint script, and blank pages make the research experience inordinately frustrating. Instead of filming documents which were illegible, the editor should have filmed typed transcriptions of the originals. French also assures the reader that the hand written documents are "not difficult" to read. Perhaps this is true for some readers, but the script is better characterized as "not impossible."

True dedication or absolute necessity are prime requirements to get a researcher through the microfilm edition if a check of reels 1, 7, and 12 accurately reflects the project's overall quality. Micropublishing is an important part of the National Historical Publications and Records Commission (NHPRC) program and it should be expanded. But if the microfilm edition of *The Social Reform Papers of John James McCook* is any indication, NHPRC will have to impose more rigorous standards. Perhaps the updated guidelines for micropublishing now under review by the Commission will meet that need.

Donald D. Marks
University of Wisconsin-Madison

Manuscripts Collections Processing Manual. Prepared by Susan Beth Wray, Vesta Lee Gordon, and Edmund Berkeley, Jr. Charlottesville: University of Virginia Library, 1976. v. + 64 pp. Paper. $5.00.

Training individuals for manuscript processing can often be a time-consuming and frustrating job. Not that processing procedures are so obscure or difficult — anyone with average abilities and motivation, given proper supervision, can perform the tasks assigned. Rather, the new processor must learn how to adapt established archival principles and institutional practices to a variety of situations. Though there is no substitute for sustained, hands-on experience for instilling con-

fidence and proficiency, training is simplified when the archival principles and practices are codified in a manual. We are thus relieved of trying to give the same comprehensive introduction to each new student or volunteer, and have a reference source for them to consult first as questions arise. Many major institutions have manuals of standard practice for use by the entire staff. The Manuscripts Department of the University of Virginia Library, however, has recently published a fine manual written with these new processors in mind.

Though the manual details many conditions and practices peculiar to the University of Virginia, there is also much which is relevant to other institutions. It introduces the archival principles of provenance and integrity, and emphasizes the importance of accuracy, legibility, and confidentiality in processing. Three major sections concern processing procedures, basic preservation and restoration techniques, and the preparation of collection guides. Almost half of the manual is composed of a glossary of archival terms. Processing steps are explained throughout in their relationship to the needs of researchers, and the processor is directed to seek the advice of the supervisor when certain problems arise.

The Virginia manual was inspired by the Cornell University Libraries' *Manual of Archival and Manuscript Processing Procedures,* compiled by Richard Strassberg. Although it incorporates portions of the Cornell work, the Virginia manual differs from its model in addressing the neophyte rather than the entire staff. The manual contains much of what is to be expected from such a production. It has good introductions to three types of collections — family, business, and literary — and to several standard arrangement schemes. There are also noteworthy instructions on manuscript dating and the deciphering of handwriting. One of the most attractive features of the manual is a comprehensive and extensively cross-referenced glossary defining nearly three hundred terms. Though a quarter of these are from the Society of American Archivists' *A Basic Glossary for Archivists, Manuscript Curators, and Records Managers,* they are often expanded for relevance to the Virginia situation. Approximately fifty entries concern types of material found in manuscript collections. Many of these definitions have special instructions appended directing the processor in the handling of materials.

The manual is unbound. Though not indexed, it is not difficult to use for reference. The physical layout of subtopics within sections,

however, is sometimes hard to follow. This is a minor problem; in general, the manual presents its points in a logical, concise manner. A major shortcoming is the failure to treat manuscript appraisal in as satisfactory a manner as other topics such as arrangement schemes and the preparation of collection guides. The new processor should be given an introduction to the basic principles and problems of such an important aspect of processing procedure. Surely it deserves a more systematic treatment than scattered references in the text and glossary.

The Virginia manual will prove most useful as a model for larger institutions frequently faced with the task of training new students and/or volunteers. Archivists and manuscript curators will also find it a good source of information on how manuscripts are processed at a major repository. Beyond this, the description of Virginia's institutional framework may be of interest to many. The Manuscripts Department of the University of Virginia Library should be commended for making its manual so widely available.

Roy H. Tryon
State Historical Society of Wisconsin

The Written Word Endures: Milestone Documents in American History. By the Office of Education Programs, National Archives and Records Service. Washington, D.C.: National Archives and Records Service, 1976. 112 pp. Bibliography and index. Cloth. $7.50.

The Written Word Endures is the catalog of the bicentennial exhibit of the same name which opened in the Circular Gallery of the National Archives in the spring of 1976. Both the catalog and the exhibit were the work of the Office of Educational Programs, the division which is responsible for the outreach programs of the National Archives. Even though this volume offers no new historical interpretation, it does underscore the importance of outreach as an archival function. This is a beautiful book which will undoubtedly attract new patrons to the National Archives.

In the introduction to the volume, the compilers — Virginia C. Purdy, Lee Scott Theisen and their staff — express the hope that "a thoughtful reading may lead to a new appreciation of the richness of the

nation's documentary heritage as it is preserved in the National Archives." To accomplish their goal, they selected twenty-two "milestone documents" of American history which served as the foci of the exhibit. Some of the items selected will be familiar to all: the Declaration of Independence, the Constitution, the Monroe Doctrine. and the Emancipation Proclamation. Other documents — as documents — will not be so familiar: the Treaty of Guadalupe Hidalgo, which ended the Mexican-American War and added two million square miles to the United States; the Morrill Act, which provided public land for the establishment of colleges of agricultural and mechanical arts; the Incandescent Lamp Patent, which brought electricity into the American home; and the Immigration Quota Act, which ended the tide of immigration to this country. Around each of the milestone documents are grouped related records from the National Archives.

The compilers do accomplish their goal of leading the reader to a new appreciation of the richness of the American documentary heritage. But it is not the text that attracts attention so much as the stunning photographs of the documents. In paging through this book, the reader will most likely gain an appreciation for the art of the document, from the formal calligraphy of treaties, laws, and proclamations to the functional drawings on U.S. Patent Office applications. This effect is heightened by the pictures of related events which surround the photographs of the milestone documents. It is photography and design which make this volume noteworthy.

The publication of this volume is something of a new departure for the National Archives. Until this catalog, NARS publications were directed almost exclusively at historians and genealogists. *The Written Word Endures* reaches out not only to "serious researchers," but also to those who are merely curious about archives. Indeed, this volume keynotes the need for outreach in the archival profession. More importantly, this catalog symbolizes the important role played by the National Archives as a cultural institution. The National Archives should be encouraged to continue to promote the importance of archives in our nation's history.

Timothy Walch
Society of American Archivists

CONTRIBUTORS

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Richard A. Cameron, University Archivist and Director of the Area Research Center at the University of Wisconsin-Eau Claire, is Chairperson of the University of Wisconsin System Archives Council. As a member of the Council he served as chairperson of the committee which drafted the "Core Mission and Minimum Standards" document. He is a member of the MAC Nominating Committee and addressed the 1977 SAA session on "Setting Institutional Standards."

Richard Erney, Director of the State Historical Society of Wisconsin since 1977, worked directly with the Society's archives and manuscripts collections from 1957 to 1963, first as a field representative and chief of the education history project, and later as state archivist. He became Associate Director of the Society in 1963. As Director of the Society he is the State Historic Records Coordinator. Mr. Erney has been active in the AASLH and has served as its treasurer and as a member of its Council. From 1968 to 1972 Mr. Erney represented the AASLH on the Archives Advisory Council of the United States.

John A. Fleckner is Area Research Center and Statewide Extension Services Archivist at the State Historical Society of Wisconsin. He is currently on leave from the Society to serve as a program officer with the Research Collections Program at the National Endowment for the Humanities in Washington, D.C.

advertisement

ANNOUNCING SAA'S 1979
ARCHIVAL STUDY TOUR!
WESTERN CANADA

The Society of American Archivists is sponsoring an eight day/seven night study tour of archival agencies in British Columbia and Alberta on September 17-24 which will explore the documentary history and glorious scenery of the Pacific Northwest and the Canadian Rockies. The tour concludes with a flight (fare included) to Chicago for the 1979 Annual Meeting of the SAA.

The tour begins in Victoria on Monday morning—but many will want to spend the preceeding weekend in this scenic and exciting area—with tours of this very British capital, its Provincial Archives and Museum, and its many beautiful parks, gardens, and homes. After a get-acquainted cocktail party, an evening ferry ride to Vancouver and visits the next day to its city, business, and university archives (with sidetrips to museums and numerous tourist attractions), the group will board the Canadian Pacific's "The Canadian" for a railroad trip through the Canadian Rockies at the height of the fall color season to beautiful Banff National Park. Following a day and a half of tours of the park, museums, art galleries, and The Archives of the Canadian Rockies, the group will travel to Edmonton via Calgary and the Glenbow-Alberta Institute in a "Grey Line" sightseeing bus. The next day will be spent studying the archival operations of the Provincial Archives, and cultural facilities of this historically rich capital.

After a workweek devoted to a study of Western Canada's historical and cultural heritage, the tour turns away from archival matters and returns to the early fall grandeur of the

Rockies with another train trip, via the Canadian National's "Super Continental," to Jasper. The entire weekend will be devoted to long tours of the mountains, lakes, and rivers of Jasper and Yoho National Parks and the Lake Louise area. There will be time for hikes, cable car rides, swimming in hot springs, and even a trip by snowmobile over a glacier! Returning to Calgary by train on Monday afternoon, the group, after an additional few hours for sightseeing or shopping, will fly to Chicago Monday evening for the Annual Meeting of the Society filled with memories and stories of experiences to share with their colleagues.

While the SAA can in no way certify that this study tour is tax deductible, the requirement of the U.S. Internal Revenue Service that participants spend six hours per day in work related activities will be offered. If you can also obtain a letter from the administrator to whom your report that this tour would be of direct value in the performance of your duties in archival administration, your chances of obtaining a legitimate tax deduction are considerably increased. Another financial consideration: U.S. visitors in Canada currently enjoy approximately a 15% advantage in the exchange rate.

Space is limited to forty people and reservations with deposits must be completed by June 1. Estimated cost (pending final arrangements) will be around $400-500 including all transportation from Victoria to Chicago and accommodations in first class hotels and motels (more moderately priced lodging will also be offered in the larger cities). For complete details and inclusion on a mailing list for future developments, please write the tour director enclosing a stamped, self-addressed long business envelope:

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