Proceedings for the ICA-SUV Seminar in Reykjavik, Iceland, September 13-20 2006

Shared Concerns and Responsibility for University Records and Archives

University of Iceland

Háskóli Íslands | www.hi.is

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Shared Concerns and Responsibility for University Records and Archives

Wednesday, 13 September

14:00

Meeting (six photos) of SUV at the Main Building of the University of Iceland (Háskóli Íslands).

18:00
Reception at the National and University Library of Iceland.

Thursday, 14 September

Friday, 15 September

Session leader: Norman Reid

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10:30-12.00
6. Archives Constituents and Promotion
• Karl Magee: *Promoting University archives - what are we selling?* (pdf.) The lecture on video. 96
• D. Claudia Thompson: *The American Heritage Center at the University of Wyoming: Justifying Our Existence.* (pdf.) The lecture on video. 205

Session leader: Douglas A. Noverr

13:30-15:00

7. Laws and legal issues At the Nordic House (Norræna húsið)	**8. Description and standards** At Askja Conference room 3rd floor		
• Þórður Sveinsson: *Privacy and Archival Protection.* (pdf.) The lecture on video.	• Christopher J. Prom: *Description of Archives in US College and University Archives: Too Much of a Good Thing?* (pdf) The lecture on video.	105	127
• William J. Maher: *Access Denied? Analysis Of Freedom Of Information Requests In A U.S.Public University.* (pdf.) The lecture on video.	• Örn Hrafnkelsson: *Electronic Cataloguing and Description of Historical Manuscripts and Private Archives.* (pdf.) The lecture on video.	113	138

Session leader: Juliane Mikoletzky Session leader: Magnus Gudmundsson

15:30-17:00

9. Archival education At the Nordic House (Norræna húsið)	**10. Assessment** At Askja Conference room 3rd floor		
• Patricia Whatley and Caroline Brown: *Educating Archivists In The Twenty-First Century.* (pdf.) The lecture on video.	• Helen R. Tibbo: *Building a Culture of Assessment in Academic Archives. (pdf.)* The lecture on video.		
• Brian A. Williams: *Teaching and Training Future Archivists: A North American Perspective.* (pdf) The lecture on video.	• Aprille McKay and Elizabeth Yakel: *The Archival Metrics Project and Beyond.* (pdf.) The lecture on video.	145	157

Session leader: Renata Arovelius Session leader: Gatis Karlsons

18:45 Swimming in the Blue Lagoon; bring the swimming costume.
20:00 Dinner at the Blue Lagoon.
The National Archivist Ólafur Ásgeirsson talks about the Icelandic archival tradition.

Saturday, 16 September

8:30-10:00
11. Records management programs and Recognizing and reconciling perspectives on archives

- Mahnaz Ghaznavi. *Making it work: lessons learned from the design and implementation of the integrated records and archives management program at the J. Paul Getty Trust.* (pdf.) The lecture on video.
- Anne Barrett: *From Muniments Room to Cyberspace: The Changing Nature of Archival Curation.* (pdf.) The lecture on video.
- Susanne Belovari: *Continuity and Change: Record Creator and Record Values. (pdf)* The lecture on video. 179

Session leader: Fred Honhart

10:30-11.30
12. Project report (30 minutes)
• Anna Domalanus: *Water in the Archives.* (pdf.) The lecture on video 188

Session leader: Renata Arovelius

13. Project report (30 minutes)
• Kristinn Sigurðsson: *Archiving the Icelandic Web.* (pdf.) The lecture on video.

Session leader: Magnus Gudmundsson

11:30-12:00
Lorenz Mikoletzky Closing remarks

13:00-14:00
Annual General Meeting of ICA/SUV was held at Askja, room 130.
14:00-15:00
Steering Committee Meeting of SUV was held at Askja, room 120.

Sunday, 17 September

Excursion to Þingvellir, Gullfoss and Geysir with a stop at the Regional Archives of Selfoss.
Pick up time at the hotel Placa 8:45.

Monday, 18 September – Wednesday, 20 September

Training sessions and visits to local repositories

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Kristín Ingólfsdóttir rector of the University of Iceland opens the Seminar

Shared concerns and responsibilities for university records and archives, 14th Sept. 2006

Good morning Ladies and gentlemen,
On behalf of the University of Iceland I welcome you with great pleasure to our country and to our campus to hold your important meeting on University Records and Archives.

I'm sure we agree that the development of society depends not only on the **creation** of new knowledge but also on efficient gathering of information, dissemination and organized storage of information. This is not only true for modern society. The great libraries of the past bear witness to the importance of this through the ages; the great library of Alexandria, the clay tablet libraries of Sumeria, the monastic libraries of Byzantium, and the list goes on. Libraries as well as archives have been key components in maintaining our links to our past and paving the road to our future.

Modern day information technology creates unique challenges and opportunities for all of us. It is vitally important for us to make sure that we structure access to information and that we organize archives in a productive and beneficial manner. I am convinced that never before has the work of people in the field of documentation and archiving been of such paramount importance.

The university is subject to the Administration Law and the Information Act. These specify that we have

to answer inquiries in a certain manner within a specified time frame. In my daily duties as rector, I am often reminded of the importance of direct access to the right information at the right time. I know that I can be certain that all incoming letters, internal reports and memos are documented in the electronic system of the administration. The archiving system enables me and my co-workers to list the projects and work on them according to priority. A vital part of enforcing quality control at the university is the strengthening of every information process. We consider the archiving of information a token of respect for our work.

I find the theme for the seminar, *Shared concerns and responsibilities for university records and archives*, excellent. I agree wholeheartedly with the notion that all the members of the academic society are responsible for the accuracy and preservation of the information produced and retained at the University. We must work as an effective team if we are to complete our mission.

Ladies and gentlemen,
I know that many of you have come a long way to participate in this meeting. I hope that you will find our weather conditions refreshing and energizing! I earnestly hope that you will enjoy your stay in Iceland, scientifically as well as culturally and socially, and that you will take back home with you fond memories from your stay in Iceland. enjoy fruitful discussions, a dynamic exchange of ideas and memorable experiences If, however you find the climatic conditions here too refreshing for your taste, I strongly recommend the libraries.

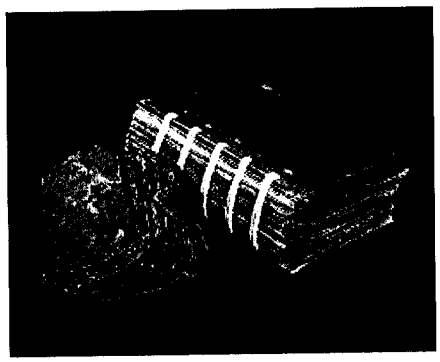
ICA/SUV Seminar in Reykjavik, Iceland
14th of September 2006

The Medieval Eddas and Sagas and historicity

Gísli Sigurðsson
Research Professor
The Arni Magnusson Institute of Icelandic Studies
University of Iceland

Iceland's claim to fame in the intellectual world is based on its medieval literature. This literature laid the foundation for Iceland's arguments during the struggle for independence in the early 19th and 20th centuries; it justified our claim to nationhood, and was used to show that we spoke a different language, a language that we have preserved reasonably well since the Middle Ages. Our medieval literature served as proof that we had created something unique, which made us different from the rest of Scandinavia. This heritage is also said to have kept us alive through the ages, to have given us the self-confidence to face the world proudly and say, "Here you can see how great and glorious our forefathers were"–assuming, of course, that some of the glory has stuck to us, the descendants!

But what are we talking about when we boast of the Icelandic literary heritage? The key words are *Eddas* and *sagas*, all written in the vernacular Icelandic, which we can still read today without too much difficulty. The fact that Latin was not the literary language sets it in a class with the Irish sagas, the only other secular heroic prose literature of this kind, written in the vernacular language in this part of the world.



Iceland was first visited by Irish anchorites or monks (*papar*), sometime toward the end of the 8th century. Permanent settlement in the country cannot be established until about 870. The largest group of settlers at that time came directly from Norway, but a considerable number arrived from Norse colonies in the British Isles where many had married local women. It was also common practice to bring slaves, in all likelihood bought on the Irish slave market that flourished during the settlement period in Iceland, judging by the figures for captives in Viking raids mentioned in the Irish Annals. Sources also refer to some independent settlers of Irish and Scottish origin who came as free men to Iceland during this period. Recent genetic research

conducted by Agnar Helgason and others suggests that over half the female population of Iceland in the earliest period had Gaelic foremothers and around a fifth of the men were of Gaelic origin, for a total of about 20—30,000 people–which fits nicely with the overall picture drawn up by the written sources as it had been interpreted by the medical doctor Jón Steffensen. Many of the people coming from the British Isles were Christian, while the purebred Norwegians were heathens. It was not until the year 1000 that the people of Iceland decided to adopt Christianity as the official religion of the country, a decision that was made at the Alþingi, the annual assembly at Þingvellir.

Therefore, from its very beginnings, Iceland had a mixed population, forming and creating a different culture from the neighbouring countries of Norway, Scotland, and Ireland. It is often called "the first new society." People from Iceland soon made a name for themselves at the royal courts in Scandinavia and the British Isles as poets, composing mostly praise poems in exceptionally complicated metre called "scaldic metre." The study and art of Scaldic poetry–which has a special vocabulary for the most frequent terms used in the genre (kings, warriors, battles, swords, spears, bows, arrows, ships, sails, oars, women)–is the focus of attention in a book written by Iceland's most renowned writer during the literary golden age in the 13th century, Snorri Sturluson. Called *Snorra Edda*, the book gathers together all the previous oral learning that professional poets had to acquire in order to be able to compose verse in scaldic metre. This learning consisted mainly of pagan myths that form the basis of all our learning about Old Norse mythology, upon which the poetic circumlocutions, called *kennings*, are mostly based. In other words, the old pagan myths are the frame of reference for the poetic language of the scaldic poems. In a Christian 13th century, this seems to have caused Snorri some problems, as he makes formal excuses at the beginning of the book explaining that these stories do not tell of real gods–even though people used to think so. He then proceeds to tell all the myths as he learned them, in prose and poetry. He explains the pagan cosmology and describes the beginning of the world and its structure by telling myths that refer to the earth and the sky above us. Towards the end he composes his own praise poem, using all the phraseology that he has introduced, and presents all the possible variants of the standard scaldic metre.

Needless to say, Snorri's book is our main source for the oral lore and myths of old, which professional poets had to master long after the introduction of Christianity. These myths were still kept alive in the 13th century, as the writing of *Snorra Edda* will attest, even though they must have been on the decline at that time. Part of the wisdom was presented in the same way as was the common practice in contemporary Latin books of learning, such as *Elucidarius*, in which the disciple asks his master questions. However, from the way that most of the material is presented and analyzed, it is clear that Snorri is firmly grounded in a native tradition of learning, in which poets and scholars have obviously thought systematically about the art of poetry.

Presumably the old lore and knowledge was widespread in Scandinavia during the pagan Viking Age, but was then cultivated and developed in Iceland where it was eventually put in writing in the 13th century. This Icelandic book is therefore a major contribution to the preservation of old lore and knowledge.

More traditional oral poems, containing many pagan myths and heroic lore partly

common to Scandinavia and even the old Germanic cultural area of Northwestern Europe, were also kept alive in Iceland much longer than elsewhere, and were eventually put into writing in the 13th century. These are the so-called *eddaic poems*, which differ from scaldic poems in content: they deal with gods and half-divine heroes rather than human kings. Metre and poetic diction of the eddaic poems is much simpler and more easy to understand than in scaldic poetry; indeed, it is very much like the metre and diction of the Old English *Beowulf* and the Old High German *Hildebrandslied*, which tells us that this poetic tradition was widespread.

Moreover, eddaic poems are more like folk poems in the sense that they are not preserved as the works of single named poets, such as the scaldic poems; and when they appear embedded in sagas and prose they are often put into the mouths of divine figures or prehistoric heroes, whereas the scaldic poems usually come from human mouths. Iceland's single most precious manuscript from the Middle Ages contains nothing but a collection of these poems, the Codex Regius of the elder Edda (written around 1270). Here they are presented systematically, beginning with mythological poems about the creation and cosmic structures, and proceeding to more general stories about individual gods. Indeed, some are very humorous. The second half contains heroic poems with the Nibelungen story, which is also well-known in Germany; many we know from Wagner's operas. Pictorial evidence also serves to show that this story was widespread over the Germanic cultural area.

These eddaic poems and Snorri's book on the myths are usually referred to as the *eddas*–and they alone would make Iceland's name stand out in the history of the world's literature. We could also be fairly proud of ourselves for having managed to catch the old pagan heritage in writing without any deepfelt Christian influence. This is due at least in part because the art of poetry as such was so much venerated that the

clerical fathers could close their eyes to the fact that much of its content was not very Christian in nature.

But there is much more to it than this.

The art of writing books and using them to store and build up knowledge was introduced to the pagan culture in northwestern Europe through Christianity. The Church brought with it this new technique and the whole approach to learning and religion that it entails. Even though Runes were well-known in Scandinavia long before that, and were used for inscriptions and partly magical purposes, they did not have the central function in society that writing and books later had with Christianity. Law-speakers and official life were all conducted orally with the necessary witnesses to confirm everything that was said out loud, and traditional learning in stories and poetry was all preserved orally. Society worked well; people got their education and training in law, genealogies, ancient lore, navigation, astronomy, myths, poetry, storytelling, and rhetoric–all without the aid of the written word.

The church used the *book* as a medium for its learning, and the whole of Christianity evolves around that symbol of the Book–The Bible–which is placed on the altar. The Bible managed to unite much larger population groups in the Middle Ages than had been possible before. This technique for learning came to Iceland after the introduction of Christianity in the year 1000. It was first used for practical purposes within the church, particularly for clerical learning such as translations of homilies and Saints' lives. This bore fruit later in some lives of Icelandic bishops and even Sagas about the kings of Norway, such as the cruel missionary king Ólafur Haraldsson who, after his death, was gradually made into a saint. This Christian vein in the literary history is very much on a par with the rest of Europe and is therefore not of much particular interest as it is not unique to Iceland. The same can also be said for the courtly literature that was translated into Icelandic in the 13th century, and caused many to compose new sagas in the same courtly spirit as is well-known from the European continent. We must therefore be excused for not having paid as much attention to this part of our heritage as to the more Icelandic part of it.

As the Church established itself within Icelandic society, it started to broaden its

influence. One of the first secular materials to be put into writing was law texts, which were written down in the early 12th century, a little over a century after the coming of Christianity. Thus was undermined the social status of the orally trained law speakers who could no longer decide which was the correct law, but had to consult a written law book which was kept by the bishop!

The Book of Icelanders from the third decade of the 12th century, by Ari the Learned, is the second major achievement in the history of Icelandic letters, as it is our earliest and major source on the first ages of life in the country, as well as Icelandic settlement in Greenland. Regrettably, it is told from a very clerical standpoint, focussing on the coming of Christianity and the history of the church rather than on more secular and perhaps more interesting matters–for example, the Vinland voyages of which Ari obviously knows.

Later in the same century, another cleric, often referred to as "The First Grammarian," wrote an original piece of work in which he tried to fit the Latin alphabet to Icelandic needs. In the process he analyzed the language and its sound system, using the method of minimal pairs in the fashion of Chomsky and other modern linguists. It is symbolical that his work should be called "The First Grammatical Treatise."

In the 12th century, secular chieftains also began to realize the power of the book as it is probably then that they started to compile the Book of Settlements that describes the original settlement around the country. Describing every firth and every valley as they wanted to remember Iceland in the 12th century–and in the manner that would best serve their purposes at that time–was common practice in oral cultures. This book is now preserved only in versions that were rewritten in the 13th century and later, by people who added stories to the bare genealogies and lengthened and perhaps tried to bend the family lines at times in order to include someone important and close to the heart of the scribe himself. This work is also unique in the sense that it describes the beginning of a whole new nation. At the time, it was probably extremely influential in creating a shared sense of identity among the people who lived in Iceland, and who could all trace their origins into this single book.

As we near the end of the 12th century we see the dawning of an entirely new age in literary history: the Saga age or the Golden Age of Icelandic Letters, which is, in a sense, the forerunner of the modern novel. We see it stretching its influence, for example, through Walter Scott and the development of the historical novel, through to Borges and the flourishing literature of Latin America. The first steps in that direction were the writing of sagas about Norwegian kings. These gradually expanded and grew, and again we meet the same Snorri Sturluson at the height of the development of the kings' sagas. At this point he is compiling the best collection of all in his *Heimskringla*, sagas of kings from the mythological past, through King Harald the Fine-haired, the founder of the united Norwegian state during the settlement of Iceland in the Viking Age. It would appear that 13th-century Icelanders liked to view history in such a way that showed how many of their forefathers had not been very happy with Harald's Union, and had therefore taken off for Iceland, creating the popular notion that Icelanders had been a select group of independent, alcoholized, literary individualists from the very beginning. The prototype for these is Egill Skallarímsson whose saga was written in the first half of the 13th century, again possibly by Snorri Sturluson who might, in so doing, have created a new literary

genre, the *Íslendingasögur,* or the Sagas of Icelanders, somewhere between 1230 and 1241.

But Snorri was not alone in compiling sagas about kings. Others were doing the same, and constantly adding to what had already been written. This was done in a medieval fashion, and were frequently short stories about Icelanders who had some connection with the different kings, often as poets. The very high point of this additive process is to be found in an Icelandic manuscript from the end of the 14th century, *Flateyjarbók*, in which sagas about Norwegian Kings are told more elaborately and with more added material concerning Icelanders than elsewhere, including the only existing version of the Greenlanders' Saga.

With this activity, the Icelanders added to their list of unique literary productions: not only did they write down ancient oral poetry about the Old Scandinavian gods and heroes, myths and praise poems about kings, but they also collected these into books and told and retold their stories in a readable and entertaining prose. They became the writers of Royal history for Scandinavia, not only for Norway but for Denmark, when sagas about the Danish kings were compiled possibly by Ólafur *hvíti*, a nephew of Snorri, around the middle of the 13th century. However, these never became as popular as the Norwegian sagas. Around the year 1200, the earls in Orkney had a saga written about them, as did the people of the Faroe Islands and Greenland. These sagas were about the settlement and christianizing period in these countries, along the same literary lines as in the *Íslendingasögur* proper.

The Icelanders also wrote legendary sagas about Pan-Scandinavian heroes, set in the Viking Age: Ragnar *loðbrók* of Denmark, Arrow-Odd, Hrólfur *kraki*, and many others who were probably widely known and celebrated in poetry all over Scandinavia in former times, but are now only remembered in these Icelandic sagas. They are often regarded as a late literary development, even though many of the oldest saga

manuscripts contain sagas of that type. It is safe, however, to assume that these characters were popular in oral stories with a continuous tradition going back to the Viking Age, and later in written sagas from the 13th century onwards.

This massive production would be sufficient to make any small nation proud of itself, giving it courage to demand independence from a foreign power. But the main reason for the boasting Icelander to look back on the medieval literary heritage is the *Sagas of Icelanders* themselves, the real *Íslendingasögur*, to which we are referring if we talk only about the Icelandic *Sagas*. They seem to have appeared on the literary scene in the first half of the 13th century, and continue to be a lively and creative literary genre for the next 200 years or so.

These 40 sagas, filling five 4-500-page volumes in a recent English translation, tell of the Icelanders themselves during the first centuries of settlement in the country. They often start in Norway and follow the main characters across the Atlantic to Iceland, where they face the difficulties and hardships of life in a new country. They follow their lives through the coming of Christianity, which is often regarded in a very positive light. In these sagas the new Christianity brings a peaceful solution to long-lasting blood feuds that chart one revenge after the other, and internal family struggles in which the laws of duty bring family members in deadly opposition to each other, even though the pagan forefathers are in no way condemned for their religion, since they did not know any better.

What is so fascinating about these sagas is that many of them are exceptionally well-composed pieces of literature. They are often more accessible to the modern reader than the medieval literature most commonly known from other countries, such as the *Chansons de Gest* from France, or the courtly romances. What has caught our attention is that the world of the sagas is so coherent and often so realistic that many have been tempted to regard them as descriptions of real life, even though they are all supposed to have taken place 200 or 300 years before they were written. Between sagas genealogies match each other; the same chieftains appear; in unrelated sagas the same laws and customs show up–all giving the impression that they are describing a real society which we can reconstruct, with the sagas as field reports. Characters from the sagas are not only literary prototypes, as is often the case in heroic literature, but are more like flesh-and-blood people whom we seem to know as well as our old schoolmates. Many are family friends in today's Icelandic homes, and are quoted for their wit and expressions of deep feelings of sorrow and joy.

At the same time as the Icelanders were writing down all this ancient material, they were also focussing on their own contemporary history, writing yet another chronicle unique by any standards: the so-called *Sturlunga-saga*. This is a compilation of

several sagas centred on internal family feuds in the 12th and 13th centuries, culminating in several battles in the mid-13th century, feuds that were not finally resolved until the Icelanders swore allegiance to the Norwegian king around 1262.

Knowing how massive this literary outpouring was in the Middle Ages, we are bound to ask, is it really true that the Icelanders were so unique in these matters? Did not their relatives in Scandinavia also know how to write? And if the Icelanders really were so original, can we find any explanation that might throw light on the cause of all this?

We can hardly get around the view that Icelandic culture seems from the very beginning to have been radically different from that of Norway, especially in terms of its literary activities. As we have seen, Icelanders were the only Nordic nation in the Middle Ages who wrote literature in the vernacular, and almost all the identifiable court poets in Scandinavia came from Iceland. Several theories have been proposed to account for the strength of this oral tradition of verbal art, which was acclaimed by the Scandinavian chroniclers Theodoricus and Saxo Grammaticus who wrote in Latin around 1200; they both refer to the Icelanders as preservers of ancient lore.

Some modern scholars, mostly Scandinavians, have argued that the Icelanders were in fact by no means unique. Rather, the rise of literary tradition in Iceland should be explained by the special circumstances attending this Arctic settlement community, and by the fruitful influence of continental works that are thought to have inspired 12th- and 13th-century writers to develop the Sagas of Icelanders. These sagas are often regarded as a natural development from earlier sagas about Norwegian kings, and these, in turn, are seen as an offshoot of still earlier hagiographic works. It has been claimed, however, that such a development is far from self-evident, and that it is not to the Latin learning of the time that we should look for the ultimate inspiration for these literary works. Instead, it could be found in the oral tradition in Iceland, with its origins in the cultural mix that resulted from the convergence of settlers from Norway and the British Isles forming a common community several centuries earlier. It has therefore been suggested that the answer is to be found in the Gaelic contribution to Icelandic culture, as the Irish and Scots had developed a much higher standard of literary entertainment than was known in Scandinavia at the time.

Three main routes are possible for this influence to reach Iceland: 1) via Noresmen who came from Ireland and Scotland where they had come into contact with native culture in the 9th and 10th centuries (as can be seen from borrowed Irish vocabulary, such as place names, military alliances, mutual fosterages, the "Foreign Irish," and the recent Viking excavations in Dublin); 2) via cultural contacts in the Orkneys where the Norsemen were in close contact with the Gaelic inhabitants; and 3) with people of Gaelic extraction who settled in Iceland, either as free settlers, wives of Norsemen, or slaves. Slaves are often referred to in the Icelandic sources, but rarely receive much attention. For Gaelic influence to have had a profound effect on Icelandic culture, it has been argued that the latter route is the most likely. Even though the first and second suggestions must have also been possible, they were likely to have had similar effects in Norway and can therefore not account for the apparent literary uniqueness of Iceland.

Gaelic influence in Iceland is also found in several old borrowed words:

brekán=breacan/breccán; gjalt=geilt; kapall=capall; tarfur=tarb; and personal names: Dufgus=Dubgus; Njáll=Niáll; Kormákur=Cormac; (Myr-)Kjartan=Muircheartach. The reason why these are not more numerous could be that: 1) the Gaels did not introduce any new working technique into the mainly Norse society; 2) their work was supervised by Norsemen; 3) the slaves were renamed with Norse names; and 4) the language of the slaves was probably not popular with their masters.

The low social status of most of the Gaels in Iceland could also explain why named Gaelic heroes do not appear in Icelandic works, even though numerous instances have been traced of similar motifs and ideas that are attributed to Gaelic influence on Icelandic tradition. This influence is mainly found in the works that most closely resemble the oldest literary tradition in Iceland, namely the *Fornaldarsögur* (Legendary Sagas) and the mythological material. It would appear likely that the Fornaldarsögur, which are set in the Viking Age and describe the adventures of Scandinavians at the time, were founded on older Scandinavian poetic lore, which was recast as oral prose narrative in Iceland. The framework for the mythological tales, as we know them from Snorri's *Prose-Edda* and the Eddaic Poems, is no doubt Scandinavian. Within that frame, stories could be added and changed, thus allowing for Gaelic motifs to penetrate the mythology and be attached to the Scandinavian gods. The literary genres that developed in Iceland, such as the Kings' Sagas and the Sagas of Icelanders, show fewer traces of Gaelic influence, though such may be found in some Sagas of Icelanders that come from areas where Gaels are known to have been prominent. Examples can be drawn from *Laxdœla saga*, which originates in the settlement of a former wife of a Viking king in Dublin, and the *Kjalnesinga saga,* in which several settlers come from the British Isles.

Irish material is also to be found when the scene moves to the Gaelic world, such as in the Icelandic accounts of *Brjánsbardagi* (the Battle of Clontarf), in *Njáls saga,* and *Þorsteins saga Síðu-Hallssonar.*

Skaldic poetry also fits well into this picture. It was mainly practised by Icelanders, and most named poets came from areas where Gaels were known to have been among the first settlers. There is evidence to suggest that the art of skaldic poetry was acquired through special training, though this seems to have been confined to certain families rather than acquired at professional schools as was the practice in Ireland. Moreover, Skaldic metres differ considerably from older Germanic and Scandinavian metres, but show similarities to those found in Old Irish poetry. The comparison of these, however, has proven notoriously complicated.

In conclusion, I would think that one of the major explanations for the Icelanders' uniqueness among the Nordic nations in literary matters during the Middle Ages is to be found in the new and different cultures that came together on the island during the settlement period; these later developed and were influenced by new learning for centuries to come. People then transferred their oral lore to vellum–which is no easy matter to do, or to prove.

Much energy has been used up in the debate about the origins of the sagas, in particular what is of oral origin and what is of written origin in any given text. In recent decades one of the most important things that we have learned about oral tradition is that many of the basic assumptions made by earlier scholars about the

nature of the oral tradition were–to put it mildly–wrong. They were wrong when they thought that the oral tradition would necessarily preserve information accurately for centuries; they were wrong when they equated oral with historical; they were wrong when they thought that artistic composition would exclude oral origins; they were wrong when they stated that stories could not survive for 200 or 300 years among people and families who lived on the same turf for that period of time. And if all these assumptions were wrong, we are bound to arrive at the conclusion that everything that has been based on them will have to be revised. In other words, we must start again to work our way through the sources, looking for clues and remains of the oral in Medieval Iceland in order to determine if and how it might affect our interpretation of history and individual texts.

And here, the Vinland Sagas can serve as a prime example. They were the victims of a scholarly methodology that led to the conclusion that the *Grænlendinga Saga* was older and more reliable than *Eiríks Saga*, which was claimed to have been written with *Grænlendinga Saga* as a source. Around the middle of the 20th century, it was believed that *Eiríks Saga* was a rewriting of *Grænlendinga Saga*, and this was the theory upon which Helge Ingstad operated when he found L'Anse aux Meadows in Newfoundland in the early 1960s. It is of course difficult to argue against someone who has actually found physical evidence that proves the Vikings were there. But it is clear from the L'Anse Aux Meadows findings that this location was used as a stepping stone for exploring the lands further south. There they repaired their ships and gathered strength before and after crossing from Greenland. The northern tip of Newfoundland is not a place that would create memories such as the ones preserved about Vinland in the sagas.

Now the Icelandic scholar Ólafur Halldórsson has scrutinized all this evidence, and has come to the conclusion that verbal similarities between the texts are not of such a nature that we can talk about literary borrowings or a written link between the sagas. We must therefore assume that they are witten down independently of one another, drawing on the same or similar traditional material that was circulating in oral tradition. Here we can therefore say that all the earlier scholarship, which was based on false assumptions about the nature of oral tradition and the textual relationship between the two sagas, must be discarded.

Having said this, it is obvious that in the sagas we are dealing with a mixture of fact and fiction, memories that were kept alive in an oral culture for several generations before they were committed to parchment. By their very nature, the sagas cannot therefore be accurate historical documents. But they were also not made from nothing. And they are certainly not in the same category as myths and legends. We have to accept both the limitations and advantages that come as a result of this general view. We cannot aspire to prove any details with the sagas as our only source. Nevertheless, they serve as evidence, for example, that the people from Iceland travelled to Greenland and beyond to the North American continent around the year 1000. Many details in the saga descriptions match the reality on the east coast of that continent, but they are also of such a general nature that the exact locations to which they refer cannot be found. Many attempts have been made to navigate the Viking ships into several harbours along this coast, and it must be borne in mind that the nature of the sources is such that we shall never arrive at any consensus in these matters.

When I was studying in Winnipeg in the early 1980s I joined other students in renting a bus to go skiing in Wyoming. There we met an elderly local who spoke of the best trout fishing in the world in his own stream right in front of us. We were duly impressed and when he asked us from where we came the answer was from Winnipeg. His face went blank. In order to help him out we explained that Winnipeg was in Manitoba. "Where is Manitoba?" he then asked. "You know, north of North Dakota", we said. "North of North Dakota! That can't be. There is nothing north of North Dakota", he finally announced, rather proud of his profound knowledge of North American geography.

Ignorant as this country man may have been, North Americans are sure to recognise a grain of truth in this story. The truth that people in the US often forget that north of their country there is a vast landmass called Canada. This forgetfulness no doubt played a role in the 19th century when scholars were looking for likely locations for Vinland as it is remembered in the Icelandic Sagas. These sagas are written accounts from the 13th and 14th centuries remembering highly adventuruous voyages by people from Iceland and Greenland around the year 1000 to the continent south and west from Greenland. There they are said to have seen wild grapes, huge salmon in a river running into a big sea lagoon and self sown wheat—along with native people with whom they both traded and fought. After several voyages, internal conflicts and severe losses of ships and crews they withdrew and decided that it was too difficult and dangerous to continue. But they lived to tell the stories which the listening audience passed on until they were written down several generations later—at a time when writing of historical narratives had become highly fashionable in Iceland, focusing on life in the country after the first settlement in the 870s by people from Norway, Scotland and Ireland.

When 19th century scholars started looking for likely landing places for these seafarers on the east coast of North America their thoughts were immediately turned to the far northeast corner of the land, closest to Greenland, that is New England! This was widely believed to have been the case all through the 19th century and in spite of a few sceptics it was not until the 1960s, when the Norwegian couple Anne Stine and Helge Ingstad discovered remains of three Viking age halls from around the year 1000 in L'Anse aux Meadows on the northernmost tip of Newfoundland, that people finally realised that someone coming on a ship from Greenland to North America is bound to see Canada before he sees the shores of New England. Reasonable as this may seem to us, now, this discovery was at the time a major breakthrough in the study of the Vinland Sagas.

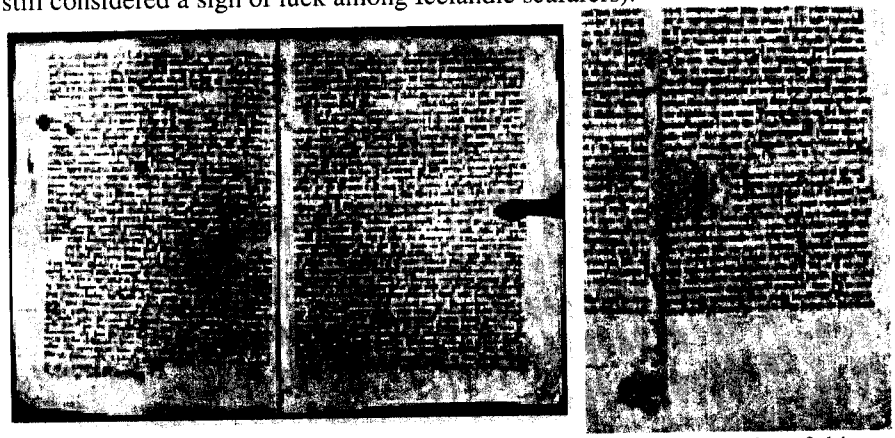
The Ingstads were happy to announce that here they had found the Vinland of the Sagas, the land of wild grapes and large salmon. All discrepancies were explained away and their theory was welcomed by the local tourist board. It has thus been part of the official story told at L'Anse aux Meadows—even though the scholarly community is not convinced.

From archaeological work carried out since the early findings, it is now clear that L'Anse aux Meadows was in fact used as a staging post at an easily located point on the sea route from Greenland to lands farther south. The people who used the camp at L'Anse aux Meadows would in all probability have continued their journeys south into the Gulf of St Lawrence rather than go north around the northmost tip of

Newfoundland and then south down the dangerous and confusing east coast. The southern side of the Gulf of St Lawrence was also the habitat of the sought-after plant species of which traces have been found at the camp: three butternuts (*Juglans cineria*) and a lump of burlwood from the butternut tree, with marks caused by an iron implement. They are not native to Newfoundland, their northernmost limit being on the southern side of the Gulf of St Lawrence, coinciding closely with the northernmost limit of wild grapes.

As pointed out earlier the northern tip of Newfoundland is hardly the sort of place to give rise to memories like those preserved in the sagas about Leifr Eiriksson's Vinland, the land of wine and grapes, and the archaeological evidence removes all doubt that the people who used L'Anse aux Meadows were also familiar with regions further south. There is thus no reason to identify the site with Vinland, as the Ingstads attempted to do. However, it is highly unlikely that such a large staging post would have disappeared entirely from people's memories – memories that clearly go back to some extent to real events – and it may well be that L'Anse aux Meadows is the place described in the accounts of Thorvald's (Leifr's brother) voyage as *Leifr's Camp*.

The Vinland sagas consist of two independent works: *The Saga of Erik the Red* and *The Saga of the Greenlanders*. *The Saga of Erik the Red* in fact has little to say about Erik himself, who led the settlement in Greenland from Iceland in 985/6. It appears to have been written to elevate the memory of the first Europeans to have a child in North America, Gudrid Thorbjarnardottir and Thorfinn karlsefni, whose son Snorri was born during their three-year expedition to Stream Firth, east and south of Leifr's Vinland. *The Saga of the Greenlanders* focuses on the role of Leifr Eiríksson. It describes his first voyage of exploration to Vinland in some detail and includes the tale, also found in *Eiríks saga rauða*, of how he got his nickname ('the Lucky') by rescuing some stranded sailors from a rock on his journey home (rescuing others is still considered a sign of luck among Icelandic seafarers).



The information from the sagas is, of course, very general, but in spite of this appears to correlate excellently with the geographical facts. Bjarni, who is the first to see three lands in the New World, may be supposed to have sighted Newfoundland, Labrador and Baffin Island, and the information given on Leifr's voyage seems to suggest that we should concentrate our search for his Vinland somewhere in the southern Gulf of St Lawrence. If we assume that the grapes mentioned in the saga are true wild grapes (*Vitis riparia*) and not just some kind of berry, the northern limit for Vinland can be set somewhere along the southern shores of the Gulf of St Lawrence. And it is here

that wild grapes were such a conspicuous part of the local flora when the first post-Viking Europeans arrived in the 16th century that the French explorer Jacques Cartier (1491-1557) gave the name Île de Bacchus near the modern city of Quebec at the mouth of the St. Lawrence. On the south side of Miramichi Bay in New Brunswick is a smaller bay called Baie de Vin (Wine Bay), a name which goes back to the early settlers–even though there is some local speculation that it has more to do with wind than wine. It is hardly possible to imagine anything closer in spirit to the way Leifr regarded the land he visited 500 years earlier when he chose to call it Vinland—the land of grapes.

Leifr is said to have undertaken two days' sailing over open water southwest from the second land sighted by Bjarni (i.e. Labrador). That would bring him to the southern shores of the Gulf, with Prince Edward Island lying in the sea north of the mainland and cut off from it by a shallow channel—exactly as the saga tells us. Leifr then finds a salmon river with a sea lagoon at its mouth which makes good sense if we are thinking about him sailing west through the Northumberland Strait and entering the Miramichi Bay.

The saga also mentions self-propagating wheat which may refer to wild rye (*Elymus virginicus*) which grows in the same area and looks much like wheat. The northern limits of both wild rye and wild grapes coincide fairly closely with the northern limit of the butternut (*Juglans cinerea*), as found at L'Anse aux Meadows, proving beyond doubt that the explorers who brought these nuts to L'Anse aux Meadows would also have come across true wild grapes in profusion on their travels.

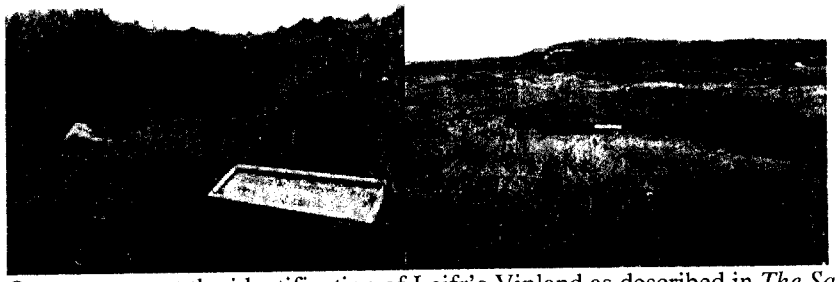
According to *The Saga of the Greenlanders*, in the place they named Vinland Leifr's men encountered salmon both larger and more numerous than any they had seen before. The Canadian archaeologist Catherine Carlson has shown that in the 11th century there were no salmon in the rivers of Maine or further south as a result of the warmer climate then prevailing. The rivers flowing into the southern shores of the Gulf of St Lawrence, however, would have been, then as now, teaming with salmon. Moreover, according to the marine biologist David Cairns of the University of Charlottetown on Prince Edward Island, salmon enter these rivers for breeding after two years at sea as opposed to just one in Newfoundland, making them appreciably larger than those farther north.

A careful reading of *The Saga of the Greenlanders'* account of Leifr's journey, therefore, provides a series of instructions and directions that would prove eminently practicable to anyone wishing to navigate a Viking Age ship from Newfoundland or Labrador directly across the Gulf of St Lawrence to Prince Edward Island and on into the Northumberland Strait between the island and the mainland. One would first sight land at the northeast of the island, just as Leifr did. After Leifr enters the strait it is not clear from the saga whether the writer thinks of him as making his landfall on the island itself or on the mainland. At both sides of the strait there are shallow waters, large tides and tidal pools, leaving open the possibility that Leifr sailed all the way through the strait from east to west before landing at Miramichi Bay in New Brunswick, which opens up to port shortly after one emerges from the strait. Miramichi Bay is the most impressive sea lagoon in the area and it offers all the natural qualities the saga attributes to Vinland: wild vines and large salmon in one of the best-known salmon rivers around the Gulf. The only discordant note in this

comparatively precise account is the winters, which are generally rather severer than the one described in the saga.

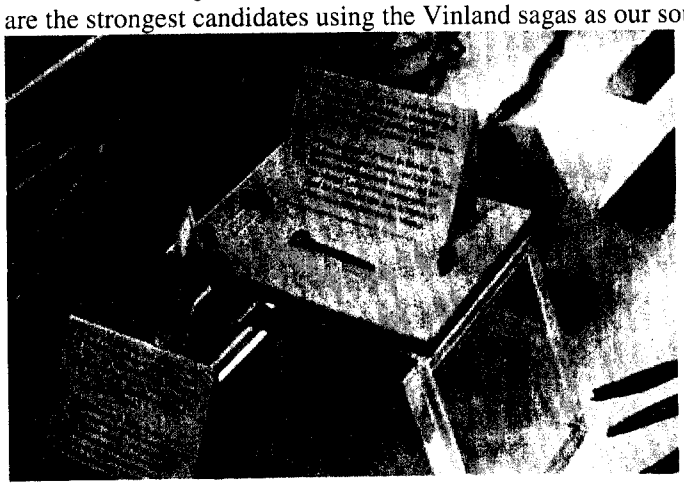
There seems to be good reason to identify Leifr's Camp, visited by Leifr's brother Thorvald (and later by his sister) in *The Saga of the Greenlanders* with L'Anse aux Meadows at the northern tip of Newfoundland. Thorvald explored the regions to the west of this place in his first summer, finding islands and shallow waters, and to the east the following summer experiencing more dangerous waters. This fits in well with Newfoundland and L'Anse aux Meadows as a starting point.

The route taken by Karlsefni and Gudrid (in *The Saga of Eirik the Red*) is reasonably consistent with a journey beyond Newfoundland and southwest along the southeast coast of Nova Scotia, conceivably all the way to the Bay of Fundy and perhaps beyond. They are said to have spent time in a very streamy fjord, called Stream Firth, which describes the Bay of Fundy excellently, since the greatest tidal range here is the third greatest of any place on earth (on average 15-16 meters, the two greater ones being much further north on the east coast, in Frobisher and Ungava). In the saga there is an island in the mouth of the bay and the seas around it do not ice over in winter.



Once we accept the identification of Leifr's Vinland as described in *The Saga of the Greenlanders* with the southern shores of the Gulf of St Lawrence, it becomes possible to square all the directions given for the journeys of Karlsefni and Gudrid in *The Saga of Erik the Red* with the saga's notions of Leifr's Vinland. It is said that Karlsefni sailed north from his Stream Firth in order to find Leifr's Vinland by sailing north round a place called Keel Point (which is said to be south of Leifr's Camp in the account of Thorvald's expedition). Karlsefni himself sails north past that point and then turns west, with land to port–which the saga believes sets him on a course for Leifr's Vinland. These bearings make sense if Stream Firth is situated toward the south of Nova Scotia, with Keel Point at the extreme north of Nova Scotia on Cape Breton.

The cumulative map that emerges from the saga accounts of the Vinland voyages bears a striking likeness to maps we might find in any modern-day atlas. We have already found physical remains from these voyages at L'Anse aux Meadows at the northern tip of Newfoundland, remains that prove beyond doubt that the people who built the camp came from Iceland and Greenland and that they subsequently journeyed farther south to places where butternuts and wild grapes grew—and the salmon was bigger than they had ever seen before. Where exactly will have to remain for the archaeologists to confirm. But Prince Edward Island and the Miramichi Bay are the strongest candidates using the Vinland sagas as our source.



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Gísli Sigurðsson (b. 1959) has studied at the University of Iceland, U.C.D. Ireland where he did an M.Phil. in Medieval Studies, and at the University of Manitoba in Winnipeg, Canada where he also served as a Visiting Associate Professor in 1988. He received a Dr. Phil. from the University of Iceland in 2002. Gísli Sigurðsson has worked on Canadian-Icelandic (language and folklore), written a book on Gaelic Influence in Iceland (1988, 2nd ed. 2000), published a complete edition of the Eddaic

Poems (1998) and a book on Orality and the Sagas, (Túlkun Íslendingasagna í ljósi munnlegrar hefðar: Tilgáta um aðferð (2002)), in addition to a variety of articles and editions, focusing on the Eddas, Sagas and Icelandic folklore in Iceland and in Canada. He was the curator (with Sigurjón Jóhannesson, scenograph) of Vikings and the New World, an exhibition in the Culture House in Reykjavík which opened in April 2000, and the curator (along with Steinþór Sigurðsson, scenograph) of an exhibition on the Icelandic Manuscripts which opened in the Culture House in October 2002. Gísli Sigurðsson is now a Research Professor in the Folklore Department at the Árni Magnússon Institute in Iceland where he has worked since 1990. He also teaches in the Department of Folklore at the University of Iceland.

Stakeholder mapping: integrating the archivist within the institution's information architecture

Steve Bailey
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The challenges we face

The archive profession has a problem. The skills we have and the role we are professionally qualified to perform are not readily understood by many of the staff within the institutions in which we work. The world of the archive and the archivist can appear an arcane and mysterious one conjuring up images to the uninitiated of great rolls of vellum and voluminous tomes of copperplate text embossed with ornate seals. Whilst there can be some benefits from occupying such a little understood professional area, it can also carry with it significant risks. Mistaken ideas about the archive can lead to the impression that our role is a narrow and somewhat esoteric one of considerable curiosity and interest no doubt – but an integral and critical element of the institution's information infrastructure? Probably not.

If you were to ask a cross section of people from your institution about the function and role of the University's archives it is quite possible you would hear answers which include a belief that it is only interested in 'grand old manuscripts'. Perhaps too that it is only useful when historical curios are required for some exhibition or publication to emphasize the institution's ancient (or not) lineage. Worse still is the impression that the archive represents a valuable dumping ground for staff when moving office or retiring and not able to face seeing thirty years worth of paper being dumped in a skip. The role of the institutional archive might include elements of all of the above but, I would argue, they are not the traits by which we would wish to be characterised by or to base our career progression on for reasons to be explained.

Whether it be a cause or an effect of this stereotypical view many archivists feel professionally isolated within their institution. Often working as 'one man bands' and situated as an adjunct of the library in the organisation chart the archivist can often find it difficult to make and maintain contacts within the institution beyond a narrow band of people whose positions tend to reinforce the narrowness of the archivist's perceived value. Staff in the alumni and development offices are often near the top of the list, seeing the archivist as a useful source of material when the class of '58 are planning their reunion. Likewise the staff and students of the school of history will often know of and be active users of the service. And of course the library staff, the archivist's departmental colleagues, will also be aware - but often remarkably uninformed - about the role of the archive. The question is whether this is enough? It might be argued that such users do represent the natural and most valuable stakeholders in the archive but are they enough to sustain the service and to nurture growth – particularly in the lean times? And if not, who is missing out: the archive, the institution or both?

I would argue that if this is indeed the situation then it is to the detriment of all concerned. Without a clear picture of what it is that the archive and the archivist can offer to the institution it is almost certain that problems will arise and initiatives be

planned which are crying out for the unique professional perspective of the archivist and that will fail or suffer as a result. Be they operational such as a departmental restructuring, physical such as moves to a new building, or technical such as the development of an institutional repository, the value of the archivist to the conduct of such projects could and should be substantial.

Unless the archive is seen to be making a positive difference across a range of such issues: issues which are high profile within the institution and have the attention of senior management the service risks being seen as a luxury, rather than a necessity. Such luxuries may be tolerated and even indulged when funding is not an issue, but if the well should ever risk running dry (as is a perennial risk in the university sector) management may make the perfectly reasonable decision that the archive represents an exercise in vain indulgence which can no longer be justified.

One thing that is certain is that we can't take the interest of others for granted. It is easy for professionals who are almost always enthusiasts for their subject to forget that not everyone else may share their passion. Hard as it may be for us to acknowledge, archives are not the centre of the universe, they are not even the centre of our institutions. Most other staff will have far more pressing concerns and interests and it is our role to convince them of why they should devote precious time and energy to the areas we are concerned with.

This task is made easier of course by the fact that we do genuinely have something novel and important to say – it is just that we, as a profession, are not always adept at saying it and at applying it to a range of different scenarios. The archive and the archivist often have far more to offer the institution than is appreciated. What we need to find is a methodology for helping us to identify where we can most make a difference and for communicating this to those that count. This is where stakeholder mapping comes into its own.

Defining our unique selling points

Stakeholder mapping is a generic and well established technique for helping you to identify who your stakeholders are and what it is about the service you offer that may be of interest to them. This should ensure that you engage with your users and other stakeholders and provide a clear, consistent and most of all relevant picture of what you and your service can offer them.

The first stage of this process is to identify and articulate what it is that you do. This may sound so obvious as to be unworthy of serious attention. You undoubtedly have a very clear picture of the operational aspects of your role – it would be rather worrying if you didn't. Most archivists' quick summary of the role of an archive is likely to include reference to the following, amongst others:

- We catalogue and store historic documents
- We operate a document retrieval service
- We provide advice and help to researchers

Whilst all these are undoubtedly true and worthy in their own right they are also very 'archive specific'. This may seem inevitable, even desirable in the context of trying to identify your 'unique selling points' but it also has the disadvantage of seeming narrow in its focus and difficult to apply outside of the archival context. In short, staff

and other potential stakeholders may not see the relevance of the above to their daily work. What we must therefore do is look at what are the unique perspectives, skills knowledge and methodologies that underpin the type of operational activities listed above and which could be easily transferred and made relevant to other areas. In this light, the areas listed above might be more usefully represented as:

- Enabling the most effective use of university accommodation
- Protecting the universities assets
- Providing access to the institution's corporate memory

This is more than just meaningless sales speak. If you are in any doubt, imagine if you were to have been granted a two minute meeting with the vice chancellor in which you have to demonstrate the importance and relevance of the service to the life of the institution. It is unlikely that he or she would be overly interested in the mechanics of operating a document retrieval service, but may well see the strategic value of protecting the university's intellectual assets.

Every institution and every archive service is different depending upon local circumstances. The list below is offered purely as an example of the kinds of unique selling points for a university archive service which have arisen in the author's own experience, together with a summary of what is meant by each (to demonstrate there is some substance behind the rhetoric):

- Appraisal skills
  - *we know what to keep and what to throw away*
- Making effective use of university accommodation
  - *Saving space and money through economies of scale*
- Custodian of the corporate memory and protector of its assets
  - *We take the 'long view' and see developments in their appropriate context.*
  - *We are aware of the evidential value and importance of certain information*
- Process mapping, design and improvement
  - *We are aware of the 'big picture' and how the institution functions as a whole through its cross-silo functions and information flows*
- Accessing and contextualising knowledge
  - *We provide efficient access to information and provide it within its correct contextual setting*
- Information design and creation
  - *We know what defines a good record and one that is fit for its purpose*

Identifying our stakeholders

According to the UK Office of Government Commerce's *Managing Successful Programmes* handbook[1] stakeholders can be identified as "*individuals or groups with an interest or an involvement with it (the programme or service in question), or who are affected by its activities and outcomes*". We can look at stakeholders from two different perspectives: those who are already stakeholders (our existing users) and those who *should* be interested in, or taking advantage of, our service – our potential stakeholders.

[1] *Managing Successful Programmes,* The Stationary Office, 2003

Of course, identifying the first category is far easier but it is still necessary to include them in our analysis as it is equally important to ensure that existing users are catered for as it is to broaden our user base. Moreover, identifying your existing stakeholders in a systematic manner is in itself instructive, providing an illuminating picture of your current sphere of influence and activity.

Moving beyond identifying your existing users naturally requires other tactics, aside from just relying on your direct personal experience. A good old fashioned 'brainstorm' is often the best starting point, drawing on the broader range of experiences you may have had or from informal chats with colleagues around the water cooler. More formal research methods might also include reviewing official publications such as strategy documents and plans or even conducing surveys and questionnaires.

Once again the list of stakeholders will vary from institution to institution, but may resemble the list below:

- The project management office
- University photographer
- Creative services
- Academic registry
- IT network and storage staff
- Key senior managers
- External societies
- Publications office
- Learning technologists
- Students
- Facilities management
- Academics
- Administrators
- Intranet / knowledge management team

This list is deliberately eclectic but represents, in the author's opinion, an accurate summary of the types of people who should be a stakeholder in a university archive service.

Stakeholder mapping

The process of stakeholder mapping is, quite simply, the process of defining which of the key messages or unique selling points identified earlier are likely to be of most interest to which groups of stakeholders. Successfully doing this and more importantly acting upon it (of which more later) should help you realise several benefits. It should help ensure that you are communicating the right message about your service to the right people, thus increasing the chances of it finding a receptive audience. It will also prevent any stakeholders being overlooked when it comes to planning a new project or announcing new service, increasing the chances of its success. You may also find that it uncovers opportunities or risks that the archive shares with other groups which had not previously been realised.

Table 1, below represents an example of a completed stakeholder map

Table 1 Stakeholder map for a university archive service

	Appraisal	Effective use of institutional resources	Custodian of corporate memory & assets	Process mapping, design and improvement	Accessing and contextualising knowledge	Information design and creation
Suppliers						
Facilities management	X	X				
Registry/Registrar	X	X		X	X	X
Departmental administrators	X	X		X	X	
Academics	X		X		X	
Photographer			X		X	
Users/beneficiaries						
Creative services						X
Students			X		X	
Publications office			X		X	
Alumni office			X		X	
Influence						
IT services (especially network and storage)	X		X	X	X	X
Intranet/Knowledge Management team	X		X	X	X	X
Project management office			X	X	X	X
Learning technologists	X			X	X	X
Governance						
Key senior managers		X	X			
External societies			X		X	

Building on the stakeholder map

Whilst researching and creating a stakeholder map may be an interesting and worthwhile exercise in its own right, its true potential will only be realised when it is used as the basis for further concrete actions. It will provide you with a rigorous framework for underpinning your communications activities but the stakeholder map alone will not ensure that the right people are hearing the right messages about your service – that's down to you and your staff.

The logical next step from completing the stakeholder map is to build on it with a communications plan. This may sound rather too formal and disproportionate, especially if you are a lone archivist running the service. It needn't be. A communications plan can be as simple as a list of when you are going to send emails announcing various events, what in-house publications you are going to publish in and when you are going to update your website. The stakeholder map is used to determine what the theme of the email or article in question is, and what the intended audience should be.

Nor once having completed this process should you be content to rest on your laurels. Organisations change rapidly. New potential stakeholders may emerge, so too may new areas where the archivist should be involved. In order to make sure that the archivist continues to be relevant and *seen to be* relevant it is necessary to repeat this process at regular intervals such as at the start of every academic year. Of course it will be a much quicker process on second and subsequent occasions as it is simply a matter of checking and amending the work already done.

It is also a process that is easily scalable for particular situations. For example, you may have already carried out your stakeholder mapping exercise and be working to it in terms of your communications activities. However, it may be useful to repeat the process in more detail to address a specific event or initiative. Perhaps the institution is to merge with another institution creating a whole raft of new and unforeseen opportunities or threats to be addressed. Alternatively, the archive may be planning a particular project: implementation of a new online catalogue, the move to a new storage facility, etc. where you wish to carefully orchestrate your communications activities at a much lower level of granularity. This can be easily achieved and integrated within your existing stakeholder maps to ensure a consistent hierarchical planning tool.

Stakeholder mapping is not novel or complex. Indeed it may sound like little more common sense. If so, this paper will have achieved its purpose. It is a technique which can be quickly, easily and cheaply worked through but which can play a significant role in raising the profile of the archive and the service it offers. Why not give it a try?

Partners Needed:
The Relationship between the University Archives and Recordkeepers

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University of Calgary Archives
14 September 2006 – ICA-SUV

The University of Calgary is an institution of moderate size located in the province of Alberta, Canada. We are one of four universities in the province and have a student population of around 29,000. Although the University Archives certainly interacts with students on a regular basis as they visit our Reference Room, we maintain a significantly closer relationship with the 5,000 support staff and faculty at the University. As of last year, we are fortunate to have four archivists serving this continually changing and rotating pool of staff, or the equivalent of one archivist partnering with 1,250 recordkeepers. To make this ratio slightly more manageable, the University Archives appoints a Records Coordinator for each faculty, department and administrative unit. The main responsibility of each Records Coordinator is to act as the primary liaison between their unit and the University Archives.

Evolution of the University Archives
The Board of Governors officially created the University Archives in 1981 with a mandate to preserve the institutional memory of the University. Two closely related programs began to emerge in the early 1990s. The *Archival Program* significantly expanded the initial mandate and now includes the acquisition of private records. The *Information Management Program* was formally established in 1995. While the Board of Governors had approved a records management policy in 1981 an actual program to support this policy did not exist until 14 years later.

Although originally conceived and operated as two distinct entities, the *Archival Program* and the *Information Management Program* have become integrally connected. The extensive collaboration between the two programs was overwhelmingly apparent by 2003. We found that archivists from both programs were continually working together in the areas of retention rules, records transfer, preservation, public programming and education.

This realization led us to adopt the 'records continuum' model in the University Archive's approach to records and archival management. The continuum of care model integrates recordkeeping, records management, and archival practice, is informed by archival science, and is unified by service to the creator and the user. The records continuum model has resulted in consistent interaction between the archivists and recordkeepers in all areas including records creation or acquisition, classification, maintenance and the ultimate disposition of the record. We are true partners with our recordkeepers and we are continually seeking ways to improve and enhance this partnership.

Archivists as Partners
This is not to imply that the transition has always been easy for the archivists while we learn to partner with recordkeepers. One prime example has been my own involvement

with the University Classification System or UCLASS. My colleague Bonnie Woelk, Manager of the *Information Management Program*, used the functional analysis approach to design UCLASS in 1995. We rolled out the classification system a year later to the Executive Suite, an area that comprises ten senior administrative offices including the President's Office, Vice-Presidents and Associate Vice-Presidents.

We discussed early in the process how a records conversion appeared to go against the grain of our archival training. The two basic archival principles of original order and *respect des fonds* seemed at odds with how heavily we were now involving ourselves with the creation and classification of active records and record series. A look back at some notes from ten years ago indicates how we were attempting to reconcile these issues:

> *'... keep the records management/archives continuum in mind...Original order is what we are now creating. Series are created naturally and we are not 'intervening'...it's up to the creator* ***(and we are co-partners with the creator)*** *to file records in a way that they can logically be found.'*

We referred back to these notes quite frequently during that initial conversion when we found ourselves 'exploding' a large number of files; in other words we assigned virtually every piece of paper in many files to a separate functional area in the classification system. We had to keep reminding ourselves that the conversion process was one of records and series creation, not of re-creation.

Recordkeepers are partners

As difficult as it has sometimes been for the archivists to adapt to a partnership which includes the creation and maintenance of active records, this partnership remains an on-going challenge for the recordkeepers. The blending of the *Information Management Program* and the *Archival Program* into the records continuum is *not* readily apparent to University staff. This fact became very obvious during a recent institutional audit.

The institutional audit involved personal visits to a total of sixty-four academic and administrative units. I had initially checked the Archives permanent holdings and had chosen these units as ones that were either not consistently represented in the permanent institutional record or they were units who had never sent permanent records to the Archives. One of the main purposes was to therefore clarify with units what constituted a permanent record and to notify them of their obligation to send these records to the Archives.

During these visits I uncovered a lack of understanding on the part of many recordkeepers regarding their vital role in the creation, maintenance and transfer of permanent records, or indeed of their role in the entire records continuum. When I informed recordkeepers that their unit had not sent permanent records to the Archives for a certain number of years, they insisted that they had. I was then shown evidence of the transfer of what we call *Limited Term Storage* records, or those records that are stored awaiting destruction in accordance with retention rules. Recordkeepers reacted with some surprise and consternation when informed that their unit was required to create, maintain and eventually transfer records for permanent retention.

As I discovered this discrepancy in our partnership, I began to explain the entire records continuum during my visits and to emphasize the importance of their role as recordkeepers. I gave instruction on university policies and procedures, government requirements and legislation, retention rules and the appropriate destruction of records, and the obligation of campus units to transfer permanent records to the Archives. Units were also encouraged to start building the archiving process into their business plans so that the burden of archiving would become a common administrative process in each office.

We should never lose sight of the fact that our recordkeeping partners are immersed in the *'here and now'*, whereas we as archivists are concerned with how the *'here and now'* will impact the *'what will be'*. Our partners are focused on the daily requirements and demands of recordkeeping. As archivists we are focused on the function or the activity represented by the record and its corresponding role in the preservation of the institutional memory. Our role in the partnership is therefore to bring the future into focus for recordkeepers while theirs is to ensure that the focus remains sharp in the present.

Reluctant Partners

The fact remains that recordkeepers are not always eager to partner with us. They are busy, stressed individuals who frequently do not take kindly to what they initially see as interference in the smooth running of their offices. Initially, recordkeepers tend not to see archivists as partners but rather as individuals who have come to *'mess with my files'*, or in one memorable instance, as the *'bulldozer of death'*. They view the records management and archival processes as yet more ways that the institution has imposed on them to make their life even harder. Recordkeepers express their fears that they will never again be able to find their records when they need them.

Financial reality at the University also conspires against a smooth partnership. Budget cuts have severely affected unit staff to the extent that recordkeeping is either a very low priority or completely non-existent. More importantly, the turnover of staff has resulted in a lack of unit continuity with the consequence that many staff express reluctance to part with their records. Staff do not have the contextual experience or background to achieve the comfort level required to know when a record series is no longer necessary for administrative purposes. Where there is no continuity of recordkeeping partners, maintaining the records continuum becomes a very real challenge for archivists.

University traditions can also conspire against a smooth partnership. The university culture is very different from a corporate entity in that the separate faculties and even some of the departments work in an autonomous manner. Many units have their own separate support and information technology areas. Some units are also physically removed from the main campus which fosters a sense of separateness and difference. The concept of *'academic freedom'* also lends itself to an awareness of independence. Trying to bring these independent thinkers back into the partnership can be challenging.

Tact, diplomacy and humor therefore become essential tools of the archivist. I've discovered during my work with recordkeepers that you must acknowledge these fears as legitimate and worthy of discussion while not becoming overly sympathetic to actual attitudes or complaints. Remain friendly and accessible while also appearing in

complete control – nothing gives recordkeepers more pause or discomfort than if you appear unsure of the process or the worth of the final outcome.

Emphasizing the Positive

Given this reality, how do you induce reluctant recordkeepers to participate in a partnership? At the University of Calgary, we do work hard to ensure that recordkeepers are aware of the key compliance components such as the policies and legislative drivers behind both the *Archival Program* and the *Information Management Program*. However we are also careful to stress how the '*value-adds*' of a good partnership can easily address the common question or attitude '*What's in it for me*?'

One of the more immediate '*value-adds*' has been the establishment of better communication between units resulting from the standardized vocabulary inherent in a uniform classification system. Recordkeepers familiar with UCLASS are now so used to the naming conventions and the titles of individual Primaries and Blocks that they tend to ask other units for similar records by these names. Recordkeepers searching for supplemental information on a specific issue have found the knowledge invaluable that certain activities are common across campus and that other record series will reflect the same information across units. Since the University experiences continual movement of staff as individuals transfer from department to department, we have also found that the use of UCLASS lessens the learning curve for these recordkeepers as they move around campus.

While the introduction of the *Freedom of Information/Protection of Privacy Act* (or FOIP) created some feelings of trepidation among the recordkeepers, we are careful to frame this legislation as another '*value-add*'. Post-secondary educational institutions became subject to this provincial legislation on 01 September 1999. The *Act* impacted the recordkeeping and records management practices on campus by granting any person the right of access to the records in the custody or under the control of the university, subject of course to limited and specific exceptions.

The *Act* has provided the University Archives with the proverbial *'big stick'* to ensure compliance with rules and regulations. However, we try not to over-use this approach with our recordkeeping partners. We always frame the necessity of complying with legislation in a positive light. Rather than significantly changing recordkeeping on campus, we remind staff that in actuality the *Act* served only to reinforce the pre-existing concept of accountability to the public. We also emphasize the fact that partnering with the University Archives can ease recordkeeping responsibilities by reducing problems in the retrieval of records and providing expert guidance on the accessibility and protection of records.

A more immediate *'value-add'* to the partnership is that some of the common recordkeeping problems on campus can be brought and kept under control. These common problems include the proliferation of records, office clutter, and the daily stress of not finding records when the need arises. Examples from prior experiences can underline this aspect of the partnership: the outcome of the full conversion in the Executive Suite resulted in 78 file drawers reduced to 26 or a reduction of 4,500 files down to 1,300. Partnerships are easier to maintain when you can demonstrate that your contribution to the relationship will help to create an easier recordkeeping and working environment.

Emphasizing the Continuum

The benefits or '*value-adds*' of the partnership can still fail to resonate as much as we would hope with recordkeepers. For those units who have never experienced the feeling of controlled panic that typically results after receiving an access request under the *Freedom of Information/Protection of Privacy Act,* the fact is lost on them that partnering with the University Archives programs can make their life easier.

To address this attitude, the University Archives constantly reiterates to recordkeepers that all components of the programs are inter-related. When we discuss the University Classification System, we explain that each Primary in UCLASS constitutes a record series and that each record series has, or will eventually have, a retention rule assigned to it. Recordkeepers then learn that these retention rules stipulate whether a record series is ultimately preserved in the Archives or destroyed via recycling or shredding. Retention rules also contain detailed instructions on who has a right to access certain records. These instructions can significantly alleviate the uncertainties of how to comply with policies or legislation.

Recordkeepers frequently experience what we call the *'a-ha'* or *'light-bulb'* moment when they come to understand that all these elements are tied together. Most recordkeepers on campus are too busy to distinguish the forest from the trees. They are so buried in their day-to-day work that they understandably cannot separate out their specific record issues from the long-term goal of the Archives: to accurately identify and ultimately preserve the institutional record. Providing recordkeepers with this light-bulb moment guarantees that the records continuum becomes real to them. The records in their file cabinets take on a global context. Partnering with the University Archives has the result of empowering recordkeepers by giving them the authority both to destroy records and to say '*no*' to senior administrators who may not have the right to access certain files.

Long-Term Benefits

While we are constantly working to show how our partnership can benefit the recordkeepers, there are also long-term benefits that have begun to accrue to the University Archives. The archivists did experience some initial unease when we introduced the classification system at the senior administration level in 1996 and found ourselves working extensively with active records. However, from our first foray into this non-traditional realm as archivists we are now seeing significant results. We have been able to identify the location of permanent series of records and we have greatly increased our understanding of the functional analysis process.

There has also been a noticeable expansion in clients using UCLASS in archival records retrieval. Records organized by UCLASS and transferred to the Archives tend to be filed in a more orderly fashion. This in turn makes it easier for Archives staff to retrieve them for clients and other users. In addition, with more records being transferred for permanent preservation in this orderly state, archivists are required to do less arrangement and description. The application of records retention rules at the office level and the subsequent shredding of records deemed unworthy of preservation results in less culling of records once they reach the Archives. By empowering recordkeepers in the partnership, only those records worth preserving are transferred to the Archives.

Training

Continual training is offered to the recordkeepers since we recognize that a good training program is essential to maintaining the necessary flow of communication in the partnership. Two modules are offered twice a year in our *'Keeping and Managing Records at the UofC'* training program. Training is initially opened up to any new Records Coordinators who may have been appointed since the last training session. The courses are then made available to all interested recordkeepers on campus. Offering these training modules twice a year is essential. The continually rotating and changing staff at the University necessitates the development of new relationships and partnerships with recordkeepers on a constant basis: 50 new individuals were trained over the course of seven years in one group of offices.

The first module *'Foundations'* covers all the recordkeeping and records management basics including definitions of records, non-records, and record series. We also include a fairly lengthy section on how to create and maintain complete, reliable and authentic records. The life cycle model is used extensively in the *Foundations* course as an easy visual concept for recordkeepers to grasp and as an illustration of how to recognize semi-active and inactive records. The *Foundations* course explains the procedures for transferring inactive records to the Archives for permanent storage or setting them aside for destruction. We also use the life cycle model in the second course on the '*Master Records Retention Schedule*' to demonstrate when and how retention rules apply to semi-active and inactive record series.

Besides the formal group training sessions we also try to offer individual training sessions for new recordkeepers. Individual sessions tend to be much shorter and specific to questions of the moment instead of the more rigid format represented by the two main modules. While structured group training is more cost and time effective when you have an organization with a small number of trainers and a vast number of trainees, the group training package must of necessity be created at a very general level. Group training tends to capture a number of recordkeepers from a number of units representing a number of different functions and activities. Where group training can succeed in offering the fundamentals of good recordkeeping practices, individual and personalized training sessions are able to capture those recordkeepers struggling with unit-specific questions: How does this partnership affect *my* office and *my* files and *my* records?

We are currently in the process of reviewing our training modules. At the University, the current buzzword and thinking is centered on *Inquiry Based Learning*. This essentially implies that involvement in learning leads to understanding. The concept of *Inquiry Based Learning* is easy to apply when partnering with recordkeepers. A major component that will be built into our group training package will be several opportunities for hands-on, client-specific learning experiences. Recordkeepers will be invited to bring copies of their own files and records to the training program. Participants will be able to apply the foundations of good recordkeeping practices to real documents, instead of passively following canned examples provided by the instructors.

Learning from Recordkeepers

Although we possess a certain body of knowledge as professional archivists, we often find ourselves in the role of the student. None of us should ever fall into the trap of issuing forth from our offices like Moses coming down from Mount Sinai armed with the '*Ten Commandments of Recordkeeping*.' While there are certain rules and standards

that enable a partnership to function appropriately across all units, we should always be aware of what we can learn every day from recordkeepers.

Many of the cues and clues that we have incorporated into good recordkeeping practices on campus actually came from our clients. While recordkeepers may not be aware of the definition of a record series, they do have awareness of the context in which they create and file records: they know which records should be placed together in order to create a body of files that can be accessed for the information they need. Documenting the natural flow of information as captured by recordkeepers has been invaluable in the creation of retention rules and in the identification of record series.

Our role as archivists is to discover the best practices already existing at the University, to document and trace the contextual bonds of existing record series, and suggest further refinements to working filing systems. Recordkeepers frequently have well-defined practices and processes that we would be foolish not to recognize and incorporate into the records continuum. Why reinvent the wheel if your partners have already done the work for you?

Conclusion

Every member of the recordkeeping partnership at the University of Calgary has their role to play in the records continuum. As archivists, we develop the policies and standards for the creation and maintenance of records and we build and deliver the training programs. We research and establish retention rules and develop procedures for transferring records and for destroying records. Our recordkeeping partners in turn ensure that complete, reliable and authentic records are created and maintained, transferred or destroyed as appropriate.

We are constantly aware that the best policies, procedures and standards are only so much paper without the partners required to carry them out. Our partnership with the recordkeepers at the University of Calgary is still very much a work in progress, but it is a partnership that is working.

Supervision of the Archives of the Polish Academy of Sciences

Hanna Krajewska

ICA / SUV SEMINAR 2006, Reykjavík, Iceland
Shared Concerns and Responsibility for University Records and Archives

The archives of Polish Academy of Sciences and Polish universities have not been audited for many years. It was the Archives Act (1983) which first introduced the necessity of auditing by the state archives. However the audit itself is not well prepared because it does not include the specific features of the academic archives. The specific features consist largely in the right to store the documentation in warehouses for perpetuity.

Hence archivists from scientific archives have developed their own policy of collecting, storing and elaborating archives that have been deployed for a long time.

This policy in many points is identical to the solutions used by state archives, i.e. division of warehouses, access to records for all users, proper scientific workroom, case studies of collections with the aid of inventories and lists, description of all archives in itineraries and databases on websites.

The differences are mainly in the uniqueness of the sets. Archives contain huge scientific documentation and legacies. There are hardly any such types of collections in the state archives. Hence the Archives of the Polish Academy of Sciences prepared the instructions of compiling legacies (1991) that became exemplary for all other archives in Poland.

The lack of scientific documentation in state archives is the reason why the archivists from the above archives do not have much knowledge of these records.

The audit implemented by state archives is generally addressed to all institutional archives that return their documents that are older than 30 years.

They are ministerial archives (except for The Ministry of Foreign Affairs and Ministry of Interior and Administration), town courts, local governments and other institutions. The public service has an audit form that does not include the specific features of sets of scientific archives and that the scientific institutions carry out audits in subordinate units. Moreover, the inspectors from state archives are often inexperienced. Their lack of experience often results in conflicts with well-trained teams of scientific archivists (the highest percentage of doctors and professors work in the archives) and with rectors of universities.

In connection with this growing problem, the department of the Scientific Institutional Archives and Universities turned to the Head Office of State Archives with the proposal of establishing a joint commission that could elaborate new standards for auditing scientific archives. The commission should commence work this autumn.

The Archive of the Polish Academy of Sciences receives documentation from 130 archives: institutions and scientific centres, botanical gardens and libraries of the Polish Academy of Sciences.

Hence the Polish Academy of Sciences carries out a systematic audit of those archives. The audits are performed once in a 3-year period independently from state archives. The decisions taken during the audits are binding for the archives. We have a contract with the Head Office of State Archives (exclusively for the Archive of the Polish Academy of Sciences) that grants priority to our decisions as the audit by state archives must be accepted by the Polish Academy of Sciences, as well all the disposal protocols of documents, administrative instructions and subject indexes of records.

The audit that the Polish Academy of Sciences performs has an aim of getting acquainted with the situation in the archives and presenting and arousing the management interest in current

problems. It happens often that during the report that leads to discussion the director of archives decides to appoint an independent archivist that receives a training grant from the institution.
Sometimes the President of the Polish Academy of Sciences has to intervene but not in relation to any institute, but only when we need his authority for final conclusions. For instance lately some of the institutes have the archive arranged by external companies. The letter from the president in a form prepared by us compels all the institutes to consult us on our requirements regarding the archives before compiling the documentation. The Archive of the Polish Academy of Sciences has also elaborated its own audit protocol that is composed of following points:

1. Legal basics of running the institute:
   - status
   - the acts bringing the institute into being
   - changes of names and competences.

   Information if the institute is entitled to award research degrees is especially important.

2. Preliminary information
   - the number of records, years
   - how they are ordered:
     - chronological
     - by subject index
     - structural
   - the grade of orderliness
   - who ordered the documentation – archivist or third-party?
   - is the archive assigned in the structure of the institution?

3. Collection
   - records, scientific documentation
   - photographs
   - technical documentation
   - audiovisual documentation
   - database
   - electronic documentation
   - where are the doctoral dissertations and postdoctoral degrees kept?(often in library)
4. Disposal
   - how often is performed?
   - disposal protocol

5. Accessibility of the records
   - what are the conditions?
   - book receipts
   - are the records on loan?
   - who gives the permission::
     - archivist
     - manager

6. Passing the documentation to the Archive of the Polish Academy of Sciences.

7. Evidence of set
   - delivery and acceptance specifications
   - indexes register
   - inventories for personal files
   - indexes

8. Personnel
   - number of people
   - education
   - positions
   - training

9. Archive premises
   - where are they?
   - are they properly protected?
   - equipment:
     - bookcases
     - boxes
     - folders

10. Audits
    - when have they been?
    - who led them?
    - have the proposals been fulfilled?
    - if not: why?

The Archive of the Polish Academy of Sciences employs two archivists who regularly perform audits. There is also a commission that passes judgement on disposing of documents and others commissions that check subject indexes of records and administrative instructions. The audits are of a great use to the archives. As a result, we have:

1. knowledge of the sets in the Archive of the Polish Academy of Sciences
2. regular contact with other institutions
3. influence on developing and popularisation of the archival science
4. influence on recruiting the staff that would work in archives

The audits also entail organizing archive trainings for workers employed in the Polish Academy of Sciences who have contact with archives and chancelleries.
The Archive of the Polish Academy of Sciences is considering preparing training courses and workshops next year for all employees who have contact with documentation.
Finally I would like to inform you about the activities we undertake to show our archives to a broad public. With the cooperation of the Archive of the Russian Academy of Sciences, we are currently preparing an exhibition entitled "Polish people in Siberia".
In the 19th century Polish people were sent to Siberia for punishment. During the stay some of them carried out scientific research. This way Benedykt Dybowski "discovered" Baikal Lake. He described 20,000 different plants and animals living in the lake. Until his research it was believed that Baikal was lifeless. For his accomplishment he was set free after 20 years of his ordeal. Bronisław Piłsudski, brother of Joseph, the Marshal of Poland, was another

discoverer. He recorded the language of the Ainu people on the first gramophone records, created their dictionary and described their language. Today only 60 people can speak this language from which Japanese originated. Other deportees explored mountains, now officially called by their names, described animals unknown at the time, built the Trans-Siberian railway or explored the caves.

Their names are well known in Siberia and they are remembered with affection. Most of the documents are in the Archives of the Polish Academy of Sciences and the Russian Academy of Sciences. The exhibition will be on display in Poland (in schools) and in Russia, mainly in Siberia.

The organisation of exhibitions serves to foster broad relations with many circles.

Collaboration as the keystone for successful management of digital records.

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This paper was presented at the annual seminar of the International Council of Archives' Section on University and Research Institution Archives (ICA-SUV) in Rejkyavik, Iceland, September 2006. Accompanying slides from the presentation are available at http://www.ukoln.ac.uk/ukoln/staff/m.pennock/publications/#2006-09.

ABSTRACT

Proper management and curation of digital records is vital for records to remain verifiable, authentic and integrally whole over their life-time, be that five years, fifty years, a hundred years or more. Achieving this is no mean feat and involves not only technical challenges, but also financial, legal, organisational and cultural issues. These exist across several different stages of the data life-cycle. Furthermore, challenges cannot be singularly addressed by a given stakeholder group at a specific stage but require input from several stakeholder groups across different stages to ensure consistent practices and demonstrable continuity of care. This paper introduces the concept of digital curation, i.e. the active management and appraisal of digital data over its entire life-cycle as a framework in which to consistently tackle these challenges, and argues that successful digital curation requires a high level of collaboration by the range of stakeholders with roles across different stages of the curation life-cycle. The paper concludes by identifying and discussing roles and responsibilities of different stakeholder groups across six suggested life-cycle stages.

Keywords
Digital preservation, digital archiving, digital curation; digital records management.

1.INTRODUCTION

The use, management, and preservation of digital records is no longer a new concept. Digital records are created in Higher Education (HE) and other institutions in huge quantities and are used on a daily basis by a wide range of stakeholder-groups. Commercial records management solutions are now widely available and research into long-term technical preservation approaches has taken place across the world. Yet despite this, the all-too-common scenario is that electronic records are printed out to paper for management and preservation. Such an approach denies future re-users the functionality and original digital experience of the original record-creating environment. The remainder of this paper will explore the challenges in electronic records management that lead institutions to rely on print versions of electronic records, and argue that although the technical challenge is a significant one, the cultural and organisational challenges that accompany it are no less significant and can only be adequately solved by input and collaboration from all stakeholders in the record life-cycle.

2.FROM ANALOGUE TO DIGITAL

Digital records are widely replacing the active use of paper-based records, both in terms of digitized and born-digital records. Many administrative records and data are now routinely created and stored in digital form only, and organisations increasingly digitize signed paper documents that are then used for access and easy re-use. This increase in using digital files can be attributed largely to the many advantages that digital records offer over paper based records: search and retrieval is faster, records can be accessed by multiple users simultaneously, physical storage requirements are reduced, and content can more easily be re-used. As such, there is widespread recognition that the use of digital information can generally improve levels of efficiency across an entire organisation. Most organisations have been quick to recognise these benefits and implement technologies for creating, storing, and accessing digital records and information. However, techniques for the

management and preservation of digital records have not kept pace with their usage. As a result, many organisations depend on printed representations of digitally-created or stored records for record-keeping, archival, and legal accountability.

Printing to paper is still widely practised, [1] yet its popularity is gradually falling as more and more users realise that the main advantages of printing to paper – firstly that digital records can simply be incorporated into an existing paper-based system and secondly that the technical challenge of combating obsolescence becomes redundant – are significantly outweighed by the disadvantages. These disadvantages include:

- Loss of the many advantages of using records in digital form, such as simultaneous consultation and rich searching abilities;
- Possible changes in the captured content: not all digital content may be accessible in the printed version, particularly when digital data is layered and views must be altered to access certain types of content;
- Loss of functionality offered by the digital environment, particularly when active links to other records and files are broken;
- Alteration in levels of usability and re-usability;
- Risks to the legal status of the document as a 'record';
- Lack of validation for digital signatures, or failure to capture digital signatures;
- Additional costs, particularly when printed versions are created and managed without destruction of the digital versions;
- Threats to the authenticity and integrity of the record.

Finally, printing to paper fundamentally changes the nature of the record. Digital records are just that: digital. Unless circumstances absolutely necessitate otherwise, digital records should wherever possible be managed and preserved in digital form.

3.SPECIFIC CHALLENGES

Printing to paper does not address the wider set of challenges arising from use and implementation of an electronic infrastructure: digital record-keeping, particularly for the longer-term, is a new paradigm that requires a new approach for success.

The main challenges in managing digital records and data have until recently been perceived as mainly technical. Digital records are a combination of hardware, software, and record file(s). All three elements are required, in a functional state, before the record can be rendered onscreen in a usable manner. The fast pace of developments in ICT means that the technology used to produce digital records and data can quickly become obsolete, and if the software used to create and accurately read files is 'de-commissioned' and no longer available, then access to the information and content stored in the files is at risk. This can become a problem within as little as five years – as Jeff Rothenberg noted at the turn of the last century, 'digital records last forever - or five years, whichever comes first'. [2] This is thus not simply a problem for archivists and material designated for long-term retention: it is a problem for all records with a life-span of as little as five years or more. Addressing this challenge by simply migrating records to a newer file format can cause yet more problems, for any change to the file format can result in a change to the record when rendered onscreen that affects the authenticity and integrity of the records. A paradox thus results: action can mean a change to the record when rendered onscreen, but inaction will eventually result in loss of access to the record and its contents. Because of the seemingly conflicting nature of these last two points, technical preservation action must be planned and properly executed to ensure that records can endure throughout time without damage to their integrity and authenticity.

Similar technical risks are evident for storage media: not only do popular storage media formats change and hardware devices to read older types of storage media become unavailable, (remember the 5.25 inch floppy?) but the rate of bit degradation on digital storage media is often significantly faster than initially anticipated. Such degradation may not be uncovered until it is too late and important data lost. Significant research into these technical issues has now begun to yield usable solutions and ways to avoid obsolescence and deterioration. Despite this, there is no one size fits all solution, as different types of records and contexts have different technical, organisational and authenticity requirements. Research is thus ongoing and only time will tell if current approaches are truly sufficient.

Technical challenges are, however, only part of the problem. Massive organisational and cultural challenges persist that continue to threaten the authenticity, integrity, and long-term availability of usable and reliable digital records. These

challenges range from coping with the sheer scale and number of electronic records, to the relatively lowly position of records- and data- management within organisational infrastructure and project goals. Organisational and cultural infrastructures are frequently not geared towards digital records management, with records created, stored and managed in an ad hoc manner by different employees. Awareness of user and organisational responsibilities outside of the records management section is frequently low, leading to multiple versions of records stored in an adhoc and personal manner with little recognition of an 'authoritative' and final version. Staff can have a strong sense of personal ownership over digital files and what they perceive as the contents of their PC, and this can compound efforts to exercise organisational control. Furthermore, an absence of support and policy from top-level management means that resources and support are often lacking at ground level. Finally, a lack of effective communication and collaboration between staff with responsibilities for records throughout their life-cycle can result in inconsistent and incompatible practices that in turn impact on the sustainability of an authentic record.

In addition to these aspects, legal and financial challenges must also be addressed. Who will pay? What are the cost benefits? Where is the business model? [3] A viable business model is vital to convince policy makers and financial departments of the enduring or legal value of the materials. Steps must also be taken to ensure legal responsibilities can be met, from compliance with data protection and freedom of information legislation to control of intellectual property rights. Digital records are a core business asset and must be recognised as such; a business model and risk assessment can help ensure that resources are available for proper and ongoing digital records management and legal records management responsibilities can be met.

Many of these challenges have not been sufficiently addressed by the research community as their importance has only recently been identified, although initiatives from, for example, the DCC [4] and the University of Kansas [5] are beginning to fill the void.

4.DIGITAL CURATION

Digital Curation offers a framework in which the risks and challenges involved in managing and preserving digital information and records can be coherently and consistently addressed within in a digital environment.

The term 'Digital Curation' is increasingly being used to describe the actions that must be undertaken to maintain digital material over its life cycle so that it remains accessible and re-usable for the future. [6] In the UK, the digital curation movement is spearheaded by the UK Digital Curation Centre (DCC), which supports UK institutions that store, manage, and preserve data (especially research and record-keeping data) to help ensure its enhancement and continuing long-term use. Digital curation encompasses a number of traditional good records management practices but extends beyond the active phase of the records to address preservation, archiving, and re-use.

Digital curation, broadly interpreted, is about maintaining and adding value to a trusted body of digital information for current and future use; specifically, the active management and appraisal of data over its entire life cycle. Recent discussions of this definition have begun to integrate a risk management aspect, insofar as digital curation also involves taking organisational, technical, procedural and other uncertainties and transforming them into manageable risks. Digital curation is distinct from digital preservation and digital archiving in that curation builds upon the underlying concepts of digital preservation whilst emphasising opportunities for added value and knowledge through annotation and continuing resource management. Digital preservation and digital archiving, are activities within the curation life cycle, although all are concerned with managing digital resources with no significant (or only controlled) changes over time.

The life cycle approach is vital to securing the provenance, authenticity, and integrity of records. It ensures continuity and consistency of care by different stakeholders despite technological, organisational and contextual change, whilst maximising investments and potential and resulting in a meaningful chain of custody with compatibility of practices between different stages. However, complete life cycle control can only be truly achieved with a strong level of commitment and collaboration by those involved in the life cycle process.

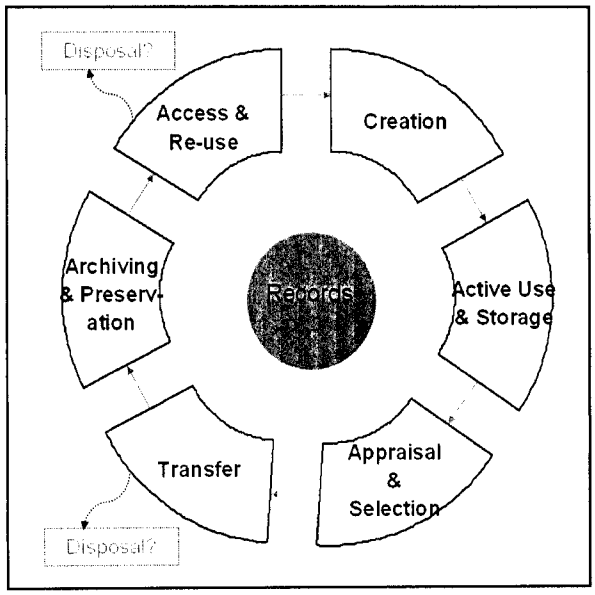

Figure 1: Generic life cycle model

The life cycle model above is a generic model that illustrates the main stages in the record life cycle. This generic model places preservation and archiving within a single and late stage. In practice, preservation activities may be required much earlier in the life cycle during the active use and storage phase, particularly if records are not transferred into an archive until many years have passed.

Different stakeholders have responsibilities for records during different stages of this life cycle. Responsibilities are often cross-stage, in that action may be required that is relevant across numerous stages or which cannot be delayed until the records enter a particular stage. For example, funding and policy development is relevant across a number of stages and requires input from numerous stakeholders. Likewise, development of an appraisal and selection approach for digital records should not be delayed until the records need appraising or selection, nor should planning for a digital archive be delayed until records are ready for transfer. In a similar way, analysis of records during appraisal and technical preservation activities can feed into recommendations for creation practices that facilitate preservation. Communication between stakeholder groups is therefore vital if continuity and compatibility across these stages is to be achieved.

5.SHARED ROLES & RESPONSIBILITIES

As explicit measures need to be taken at every stage of the life-cycle to ensure that records can be considered authentic and maintain integrity over time, communication and collaboration between the different stakeholder groups is vital if they are to be aware of, and fulfil, their responsibilities. The level of collaboration thus required to maintain the authenticity, integrity, and persistence of digital objects is hitherto unforeseen in the field of records and information management, and although this need to collaborate is itself a significant hurdle, it is not insurmountable

If we consider the basic stages of the record life-cycle and the activities within to be creation, active use, appraisal/selection, transfer, archiving & preservation, access & re-use, and possible disposal, and map them against the most likely immediate user stakeholders and their responsibilities at specific stages of the life-cycle, the table below is produced.

	Management	*Creators*	*Curators – RM/Archive*	*Curators - IT*
Creation	Policy on acceptable use	Good practice creation	Good practice creation guidelines	Policy on acceptable use
Active Use & Storage	Policy on responsibilities for personal records/data management	Good practice storage and filing	Good practice storage and filing guidelines	Policy and practice on infrastructure provisions
Appraisal/Selection		Making desktop records/ data available to curators	Policy and guidelines on appraisal/ selection; Advice and guidance to users; Training	
Transfer		Enabling transfer from a 'push' perspective	Effecting transfer from a 'pull' perspective	Providing technical transfer infrastructure
Archiving & Preservation	Policy on data/records archiving & preservation; allocation of finances for archiving/ preservation		Developing archiving/ preservation requirements	Providing archiving/ preservation infrastructure & functionality
Access & Re-use	Policy on data/records access & sharing		Developing metadata-enabled access	Providing reliable access whilst protecting archived records
Possible disposal	Policy on disposal	Desktop disposal of non-transferred records	Identifying retention schedules	Disposing of redundant records/data; deletion of backup data

Readers are referred to the presentation given at the ICA-SUV seminar for more extensive identification of roles and responsibilities at each stage. [7]

This is of course a generic appropriation of roles and responsibilities; individual institutions must apply their own organisational infrastructure and requirements to the tasks identified in the table body. The intention of the table is not to limit such tasks, but to illustrate the interdependencies between groups at different stages that make communication and collaboration between them so vital to the success of an electronic records management and curation strategy.

The table is largely self-explanatory, but a number of issues relating to stages in the table deserve further discussion:

Creation is a particularly important but sadly often underestimated stage of the life cycle. Curation and preservation begin at source, for the way in which records are created can have a direct impact on their sustainability. As the table illustrates, different stakeholder groups have a role to play regarding the creation of digital records. Absent from the table is the role all stakeholder groups play in the availability and take up of training in using records creating software. Basic software training is often overlooked because users already appear competent in using available software. Yet in many cases they have never been properly trained and have simply learned as they worked. This results in bad and inconsistent records creation practice by different staff within the same organisation, practices which adversely impact on preservation activities (especially when preserving large numbers of records). Studies have estimated, for example, the spreadsheet errors in some organisations exist in as many as 80% of the sampled records. [7] Training must be financed, provided, encouraged, and taken-up. This can require input from all four stakeholder groups identified above. Training remains an important aspect in later stages: if a records management system is implemented, for example, then users must be trained to understand the necessity of the system and their role in using it.

Good communication is required between all stakeholders, particularly IT staff, records managers and archivists, to ensure compatibility of practice. Email management is a good example of this: a well thought-out retention policy on email management can be seriously disadvantaged by a corresponding IT policy to delete inbox messages over sixty days old or mailboxes over a certain size. Good communication and training on deletion and disposal can also help ensure that records with no enduring value are properly destroyed at the end of their valuable life. This demands more than simply clicking 'delete' and moving files into the recycle bin: the bin must be properly emptied and all other copies of the records destroyed, including those on backup tapes and those residing on local disks or mobile storage devices. Complete destruction is vital for compliance with records schedules and in legal discovery cases.

Finally, channels for communication between organisations and records re-users must exist so that appropriate re-use facilities can be provided, based on input from users on the types of information they wish to access, how they wish to access it, and what they wish to do with it. Re-use is, after all, one of the main drivers in preserving and curating information in the first place.

6.SUMMARY & CONCLUSIONS

Digital records management is complex and success requires facing up to challenges on a number of different levels, not just technical. Yet that is no reason to rely instead on print-outs. The 'print-to-paper' approach is not an acceptable solution for managing and preserving digital records: it is detrimental to the integrity and usability of digital records and should only be used as a last resort. Digital records are just that: digital. They should therefore be managed and preserved in a digital environment.

The particular vulnerabilities of digital records means that care must be continuously taken to protect the authenticity and integrity of the records, which should be assured and demonstrable from the outset. Any solution should therefore, wherever possible, take a digital and curatorial life-cycle approach that facilitates continuity of care and consistency between activities undertaken at each stage.

The final key to the solution is the development of collaborative relationships between all parties with responsibilities for creation, management, and preservation of digital records and data. Given the complexity of the relationships and the interdependency between activities for which different groups have responsibility, it is clear that only by collaborating together on the tasks can a successful solution be implemented. Finally, collaboration need not be restricted to stakeholders within a single organisation. The challenges of successfully managing and preserving digital information are shared across numerous sectors, including not only the research and academic communities but also government, NGO's, private enterprise, cultural heritage communities and scientific data centres. Although each may have specific sectoral or data-type requirements, the common base elements of the challenge remain the same. Wider cross-sectoral collaboration and knowledge sharing will minimise the effort each organisation and sector must expend and ultimately benefit all involved.

7.REFERENCES

[1] As evidenced in a series of case studies carried out for the ERPANET project, 2001 – 2003.

[2] Rothenberg, Jeff, *Ensuring the Longevity of Digital Documents*. Scientific American, January 1995, pp. 42-47; revised 1999 and re-published by CLIR.

[3] The JISC-funded eSPIDA project has developed a sustainable business-focussed model for digital preservation and asset management, see http://www.gla.ac.uk/espida/index.shtml

[4] The DCC is researching the specific organisational and cultural challenges of digital curation as part of its ongoing research programme. Further information about the DCC research agenda is available at http://www.dcc.ac.uk/research/

[5] Staff from the University of Kansas have published at least two ECAR research bulletins that address organisational and cultural issues arising from their attempt to develop a holistic approach to digital preservation. See http://www.educause.edu/ResearchBulletins/1007

[6] Beagrie, Neil, *Digital Curation for Science, Digital Libraries, and Individuals,* The International Journal of Digital Curation, Autumn 2006 (Issue 1 Volume 1), pp 3 – 16. http://www.ijdc.net/ijdc/article/view/6/5

[7] Pennock, Maureen *Collaboration for Success in Digital Records Management and Curation* (September 2006), available from http://www.ukoln.ac.uk/ukoln/staff/m.pennock/presentations/#2006-09

[8] Pryor, Louise, *Spreadsheet error rates* http://www.louisepryor.com/showTopic.do?code=errorRates

Shared Responsibility for Electronic Recordkeeping and Preservation at Yale University

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Ongoing technological change is causing widespread concern around the world regarding the long-term preservation of records produced or stored digitally. A portion of the recorded memory of colleges and universities that is created and preserved digitally has already been compromised and there are enormous costs associated with recovering electronic records that have already become inaccessible. In the United States, universities have been slow to act to respond to the challenges of electronic recordkeeping and preservation. Continued inaction puts such electronic records of the university increasingly at risk. However, solutions are not simple and will not come cheaply. They may require unique arrangements within the University for sharing preservation responsibilities. Archivists are not alone in recognizing this problem and should not attempt to solve it alone. The responsibility to ensure that records, in electronic form, are preserved must be shared between the archives and a number of other university staff.

This paper describes the efforts of the Yale University Archives to define and institutionalize a program to ensure the preservation of university electronic records, while attempting to adapt to Yale's decentralized organizational culture and reactive approach toward recordkeeping.

Since 2002, the Yale University Archives has made a firm commitment to the preservation of electronic records. It has established permanent staffing, set aside a budget, become active in conceptual and applied electronic records research, brought in an electronic records management application, and has begun to expand its scope of services by formally integrating electronic records management and preservation into the regular operations of the archives.

At Yale, ensuring the appropriate preservation and disposition of University records is a shared responsibility. Records producers and administrative units are responsible to:

- Create and maintain university records in a manner that supports their operational needs and internal control directives, and meets federal, state and regulatory requirements. This includes following existing or creating new records management procedures conforming to appropriate records retention policies.

- Producers must ensure the accessibility, preservation, and security of university records while they are in active use and they must keep records, no matter the media or format, in a usable form. This might include format migrations.

- Producers must determine when records are no longer active and needed on site, create records retention policies, appraise and select for disposition, and ensure that records are disposed of according to policy in consultation with the University Archives.

- Producers must provide essential description and information on records' contexts and uses to support archival appraisal and preservation.

At the same time, the University Archives is responsible to provide professional guidance and expertise to records producers in carrying out University records policies. This includes consulting on the records policy creation and procedural development processes. The University Archives brings in and assumes custody of inactive records no longer needed on site by records producers, by selecting from the records designated for disposition by producers and retaining those of long-term archival value according collecting policies. The University Archives also works to ensure the accessibility, preservation, and security of inactive records no longer needed on site by records creators and keep the records in a usable form and provides access to archival records for researchers, administrators, and the Yale community.

This relationship between records producers and the archives is never as absolutely clear cut as indicated here. This is an ideal arrangement that we are constantly striving for. It is only with such a balance and cooperation that we feel we have any chance of ensuring the preserving of authentic electronic records over the long-term. Finding the balance and facilitating that work of each side is the difficult task.

In order to fulfill its share of the responsibility for recordkeeping and preservation, the Yale University Archives has become active in electronic records research. In particular, much of the last two years work has involved a grant project, undertaken with Tufts University, titled "Fedora and the Preservation of University Electronic Records," which has combined electronic records preservation research and theory with digital library practice to investigate three areas of research: requirements for trustworthy recordkeeping systems and preservation activities, ingesting records into a preservation system, and maintaining records in a preservation system.

The output of the project consists of twelve reports and a ingest prototype tool. The reports fall into four groups: Introduction, Ingest, Maintain, and Findings. All reports and tools are available through the project website at http://dca.tufts.edu/features/nhprc/index.html. Tufts University and Yale University jointly published Version 1.0 of all of the reports was published in September 2006.

Work on the project, and particularly on these three issues has allowed the project team to draw some conclusions about the state of electronic records and recordkeeping research, the capability of university archives to preserve electronic records, and a needed reengineering of university archival work in order to ensure the preservation of electronic records.

In the course of our effort to better define the characteristics of trustworthy recordkeeping systems and preservation activities, the project team attempted to synthesize all of the work of the most important research and standards documents defining recordkeeping and preservation,

everything from the Pittsburgh project[1] and InterPARES,[2] all the way through MoReq,[3] ISO 15489,[4] OAIS,[5] and the Certification Checklist for Trusted Digital Repositories (CTDR).[6]

We did this because such systems analysis is not the strong suit of most university archivists and in the hopes of synthesizing the mass of information into a concise and succinct set of requirements focused on the needs of and cognizant of the knowledge base of university archivists. We found this task very difficult. Most of the research was not completed with university archivists in mind. They all applied different terminology. It wasn't clear how the research was built upon the foundation of previous work. We found it particularly difficult to coalesce the requirements around some conceptual framework understood and accepted by many. While the OAIS Reference Model has become a consensus framework for preservation activities in the United States, it has much less hold on the records continuum world. For recordkeeping there is no such framework accepted by most and even ISO 15489 and CTDR are undergoing re-evaluation and/or revision. University archivists will need to become more involved in some of these activities in order to ensure findings are applicable, understandable, and usable to universities.

One of the key findings of the Tufts-Yale Project is that long-term preservation of archival university electronic records is...wait for it...a difficult and costly endeavor. The Maintain Guide in particular gives a sense of the significant hardware, software, network, and personnel resources needed for simply maintaining electronic records. The Ingest Guide indicates the extensive policy and procedure development and commitment needed to develop and sustain a trustworthy ingest process. The Ingest Guide also describes the extensive range of resources needed to make that process scalable. Many—if not most—university archives and academic institutions that are responsible for preserving electronic records simply do not have the resources to establish and sustain their own trustworthy and scalable digital preservation program. Most archives will need to develop partnerships with other departments within their parent institution, other peer archives, consortiums, or vendors in order to successfully preserve electronic records. In addition, because the development of application tools, descriptive standards, and metadata schemas can represent a significant expenditure of effort, archives should look to employing existing tools and schemas—ideally ones that are standard, open, and

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[1] University of Pittsburgh, Functional Requirements for Evidence in Recordkeeping, Pittsburgh, PA: 1996 <http://web.archive.org/web/20001024112939/www.sis.pitt.edu/~nhprc/prog1.html>.

[2] InterPARES I Project, "Requirements for Assessing and Maintaining the Authenticity of Electronic Records," in *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*, San Miniato, Italy: Archilab, 2005 <http://www.interpares.org/book/interpares_book_k_app02.pdf>.

[3] IDA Programme of the European Commission, Model Requirements for the Management of Electronic Records, 2001 <http://ec.europa.eu/idabc/servlets/Doc?id=16847>.

[4] International Organization for Standardization, ISO 15489-I: Information and documentation—Records management (Geneva: International Organization for Standardization, 2003).

[5] ISO 14721:2003: Space data and information transfer systems—Open archival information system—Reference model (Geneva: International Organization for Standardization, 2003).

[6] Research Library Group and National Archives and Records Administration, An Audit Checklist for the Certification of Trusted Digital Repositories, Draft for Public Comment, Mountain View, CA: RLG, 2005 <http://www.rlg.org/en/pdfs/rlgnararepositorieschecklist.pdf>. For a full list of sources consulted, please see "Requirements for Trustworthy Recordkeeping Systems and the Preservation of Electronic Records in a University Setting," p. 31-32 <http://repository01.lib.tufts.edu:8080/fedora/get/tufts:UA069.004.001.00005/bdef:TuftsPDF/getPDF>.

widely supported by the appropriate communities. For example, an archive may contract with a commercial vendor to handle its maintain activities, particularly the sub-activities of data storage and back-up management, while it uses the services of a consortium repository to handle its access, data management, preservation planning, and part of its administration needs. In addition the archives may employ metadata standards such as Dublin Core and METS[7] in accordance with the rules of the consortium repository. However, this still leaves the archivist with a variety of responsibilities, such as creating and agreeing to a submission agreement with the producer, receiving the Submission Information Packages (SIPs) from the producer, and ensuring the SIPs, content data-streams, and metadata data-streams are properly configured for submission to the consortium repository.

The fact that many archives cannot develop and sustain a trustworthy and scaleable preservation program by themselves should not be taken as a cue for archivists to do nothing. Archivists charged with preserving electronic records or digital object have a responsibility to do all that they can do even if that is not all that they need to do. For example, an archives with few technical resources can still undertake a significant amount of essential policy work before finding a partner with the necessary technology. University archives must not be paralyzed into inaction.

If university archives are going to have any chance of preserving the increasingly complex and voluminous electronic records they are charged with preserving, archives are going to have to refocus their work away from processing and handling individual records and collections to managing the resources, abstracts services, tools, and policies that manage archival records in bulk. In short, archivists need to become a step removed from the records they manage if they are going to have any chance of preserving them. They are going to have to increasingly rely on semi-automated, regularized processes in their work. The guide to the Ingest process, for example, is geared towards enabling archives to take in records in a semi-automated and scaleable manner by helping them regularize and streamline many decisions-making steps. In addition, university archives could define policies or accessioning documentation as machine-readable objects. The more machine-readable resources a university archives has, the more it can automate its Ingest process.

These semi-automated, regularized processes would remove university archives from directly handling records, manually arranging and describing them; work characterized as traditional "processing" work. This traditional workflow is not scalable and cannot meet the challenges of electronic records. Instead, archivists would spend time tending to their policies and machine-readable resources, ensuring their continuing performance, making adjustments when necessary, and expanding the suite of resources to handle a broader range of records. Thus university archives would work at a policy and resource level that sits above the level of the records that they manage. Archivists would only dip down to manually handle individual or small groups of records that present exceptional issues or problems, and only when time and resources permit.

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[7]METS, or Metadata Encoding & Transmission Standard, is a standard for encoding descriptive, administrative, and structural metadata regarding objects within a digital library, expressed using the XML schema language of the World Wide Web Consortium. The standard is maintained in the Network Development and MARC Standards Office of the Library of Congress, and is being developed as an initiative of the Digital Library Federation. See <http://www.loc.gov/standards/mets/>.

The Tufts-Yale Project also echoes the call many have made before: working with records creators and producers as they create their records and recordkeeping systems is essential to electronic records preservation. Many archives have traditionally accepted unorganized paper records with little or no descriptive information, which then forces them to spend considerable effort manually arranging and describing the records after—sometimes long after—the accession. This emphasis of rescuing disheveled records that come to the archives will not allow archivists to successfully preserve all of the records they need to preserve. First, electronic records are simply too voluminous and complex to reassemble their "order" and context after the fact. Second, nearly all electronic records sent in a disheveled state would need significant and immediate preservation work—a task that may be too burdensome for most archivists. Third, electronic records delivered to a university archives in a haphazard manner or after years of neglect have been, by definition, managed by the producer in an untrustworthy manner. This severely jeopardizes Consumers' ability to presume the authenticity of those records—something that cannot be recovered by the university archivist, who can only maintain, not improve, the authenticity of the records it receives from a producer.

The submission agreement described by the research project provides a framework for university archives to help ensure that producers properly prepare records for transfer to an archives. This is designed to ensure that the producer transfers the electronic records to the archives in an orderly fashion in the format and with the descriptive and contextual information that both the archives and producer deem necessary. In forcing a university archives to carefully articulate the terms of transfer, the submission agreement encourages the archives to work closely with producers. This working relationship would, ideally, enable archivists to communicate to producers the requirements for trustworthy records systems and influence producers' recordkeeping practices. This would involve a shift in the focus of archival work away from arrangement and description or processing of records and towards systems analysis and business process analysis. This shift would entail the archival community changing its traditional skill set.

As a result of these research findings, Yale University Archives has begun a systematic re-analysis of all of its selection and accessioning processes. The University Archives unite has been reorganized under the direction of the Electronic Records Archivist in order to more formally integrate the consideration of electronic records issues. The staff responsibilities have been re-evaluated and more manpower is now assigned to the vital roles of university staff interaction. Before, one professional, supported by one non-professional, handled all interaction with records producers, including appraisal and support of description and preparation for transfer. The remaining two professionals, supported by one non professional, would not intervene until the formal accessioning process was completed. This resulted in unsatisfactory results. Electronic records were not appraised for the feasibility of their preservation until after they had already been officially taken in and description was often greatly insufficient.

The new unit spends much more time guiding producers through the transfer process. Two professionals, supported by two paraprofessionals, work with producers to facilitate appraisal of electronic records, with a particular emphasis on the feasibility of preservation. Much more time will be spent on conforming accessions to meet the terms and conditions of transfer as defined by explicit submission agreements.

This is not records management; we are dealing with records that have been identified for transfer to the producer. I fully accept the points made by other conference presenters about the need to have active electronic records management, but we have come to the conclusion that we cannot successfully wear both the hats of records manager and archivist. Just the overhead alone resulting from the administration of a records management application is enough to cripple our operating budget, even though it exceeds that of many other university archives. We hope instead to collaborate with central IT and in effect outsource many electronic records management services and work on a more targeted collection development model.

It is my hope that this reengineering will allow the university archives to better handle a larger number of electronic records to influence the appraisal and transfer techniques of our records producers for the better; to reduce the number of accessions of records taken in that simply can't be feasibly preserved; and finally to ensure the long-term preservation of those records that we do take in.

Long-term preservation of electronic records from official agencies in Iceland

Eiríkur G. Guðmundsson
National Archives of Iceland

The ICA - SUV seminar in Reykjavík
13.-20. September 2006

14th September 2006

Ladies and gentlemen!

It is a pleasure to be able to talk to you today about an issue that is very important for archives today.

1.

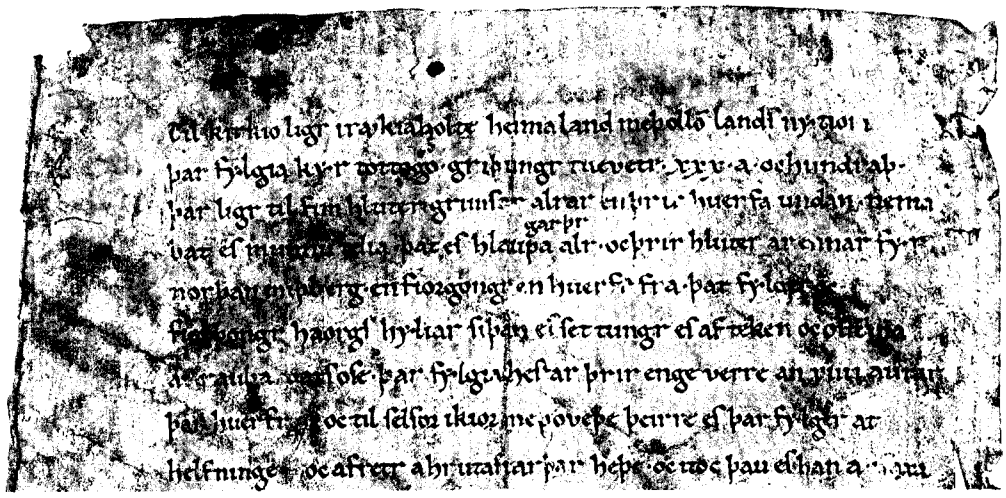
I will speak from the point of view of an employee of the National Archives of Iceland (NAI). The NAI preserves records from official agencies. Simply put, those who receive more than 50% of their operating income from the state treasury are obliged to transfer their records to NAI in due course. The same applies for the municipal-sector, if they do not have a regional archive to deliver to.

We all participate in archival work of some sort and we all know that official archives exist in order to preserve different information for various reasons. Information such as government resolutions, interactions between subjects and official authorities, communications between government and municipalities, companies, foreign states, to name a few examples. Official authorities have for centuries recorded information on society in different form and for various reasons. We have inventories from the middle ages, gift certificates, territory border declarations, tax reports, censuses, parish records, catechetical list, estate evaluations, sentences and court documents, various reports and letters, etc.

Records in archives reveal the coherence of past resolutions and form a basis for logical decisions based on resolutions of the past, which can be found in older documents. The information found in archives are relevant to citizens and authorities alike, right now as well as in the future, and ensure the rights of both and at the same time serve as a material for the history of citizens and society.

2.

On the screen you can see a part of the oldest document preserved in the NAI. It dates back 800 years. We believe that the eldest part of this document was written around 1185. This document (Reykholt Church Inventory) is in good condition and easily readable. It was written on a rather reliable media, i.e. parchment.

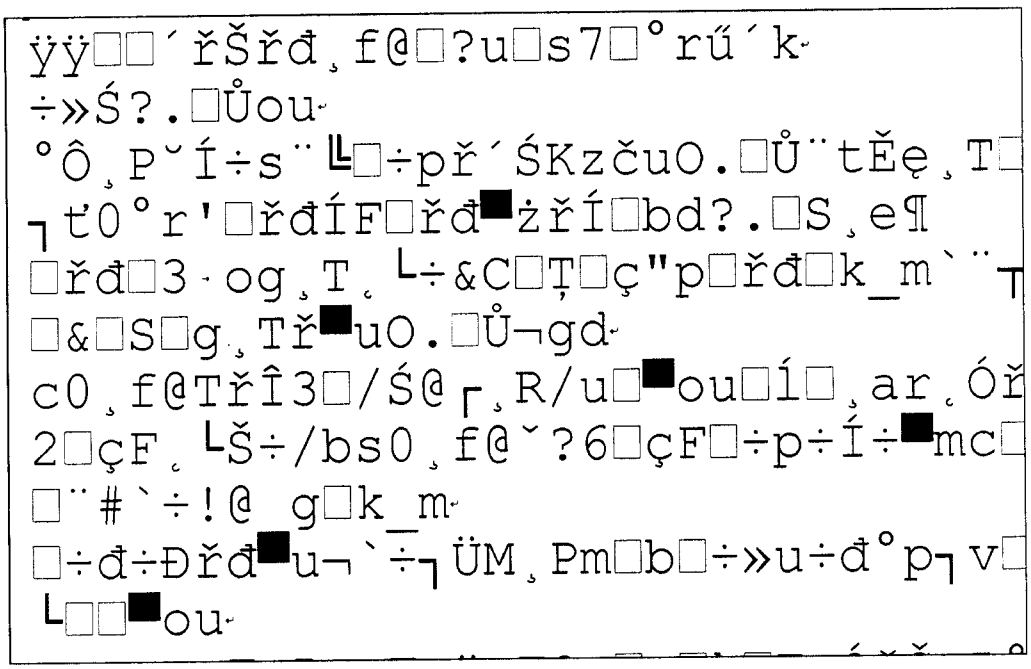


Church Inventory (Icelandic: máldagi) is a document that lists the property of a church, both land and other property. In our context, it is important to realize that this document is still relevant today. It has recently been used in an extensive case that has been going on for almost a decade and will most likely go on for another decade at least. The objective of this case is to determine who owns the uninhabited highlands of Iceland. The Icelandic government claims that a big portion of that land should be declared national territory. From the settlement period around 870 it has been the practice in Iceland that land has been a private property of those who utilized it, be they farmers, churches, or communities. In this situation, present landowners look to the archives for safe sources to support their claims to ownership of their land.

I mention this in order to illustrate that old records can supply information of important rights of citizens and society for a very long time. When we speak of long-term preservation, we are not referring to a few years or decades, but centuries. This holds true for all records, paper documents, and electronic files alike. We all understand that the problem facing modern archives is the long-term preservation of electronic records. How can we ensure that electronic records can still be readable after 800 years, or even only 100 years?

3.

The question is based on the fact that computer files are sensitive in many respects. Computer files are made with technology that needs electricity both when the files are made and used. The hardware and software used are subjected to rapid changes and new discoveries, mostly governed by the market, and both hardware and software are often inadequately made.



I suspect that we have all, at one time or another, been horrified when seeing a picture like the one we see on the screen. We intended to read an old file that we made and saved on our old computer or on a diskette a few years ago. In the meantime, we upgraded our

equipment and then we were unable to read our old file. In fact, it takes some effort to upgrade computer files so they are readable at any time. Moreover, if the individual has some trouble preserving computer files so they can be read few years later, then it is clear that the problem facing an entire nation is enormous.

It is obvious to everybody that this problem must be solved and computer files must be preserved in a reliable manner so that they can be read in the future. The fact is that most nations are still in the early stages of tackling this problem and comparatively few archives have actually accessioned electronic records in an organized manner so that it can be ascertained that they can be read at a later date. I am not talking about tape archives in this context, as it is very likely that it would be very expensive to make sure that they can be used in the future.

4.

In recent years specialists have talked about three possible ways of tackling the problem of preserving electronic records.[1]

The museum-method means that an archive collects computers, operating systems, and programs of all times, so that computer files can be read using the equipment they were made with. Is this a good method? No. It is obvious that this method is impossible in the long run. It is very expensive, if possible at all, to collect all this equipment and make necessary upgrades. We would end up with a vast unusable computer collection and an archive of unreadable files.

According to another method the archives acquire or make programs that are able to emulate the operating systems and programs that originally created the computer files in question. This method of emulation does not require that computers and programs are collected, but makes use of emulation instead. This approach is not good enough either as a general solution, if only because one cannot ensure that all programs can be emulated. We can not relay on the willingness of software producers to allow access to the code of their software and sometimes computer programs are not adequately documented.

Migration is by many considered the only feasible method today. Migration means that files are exported from computer systems and preserved in an system independent manner in accordance with international open standards. If the format of files is known, then we can be sure that those files can be read later and can then be adapted to whatever computer system that may be relevant at the time.

This method means that archives must make well-defined demands to the structure of the data-systems and specific demands to accessions from such systems. Each provenance should make its own archival version of its files according to a precise technical description, and then transfer it to the archive according to a defined process at a defined interval. Then the archive will be able to make those files accessible, convert them to new formats, and transfer them to new media according to best practices at any given time.[2]

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[1] See Danielsen, Jan and Mortensen, Ulla: *Strategier for elektroniske arkivaliers tekniske overlevelse. Tænkelige strategier for langtidsopbevaring af elektroniske arkivalier. Statens Arkivers migreringsstrategi.* Arkiv 5, 2005. p. 78-84. The authors claim that the terminology the Danish State Archives use are very close to the ideas of Jeff Rothenburg (and refer to: *Avoiding Technological Quicksand. Finding a Viable Technical Foundation for Digital Preservation*, ECPA 1999).

[2] Here one could also mention the xml approach. It is for example researched as a preservation approach, along with migration and emulation, in the Netherlands. See Potter, Maureen: Researching Long Term Digital

5.

There is a long-standing tradition for the collaboration of Nordic archives. Collaboration on electronic records began in the mid 1980s and has tributed to the fact that the state archives of Sweden, Denmark, and Norway are foremost among the nations of the world in this field. [3]

In 1998, it was decided that NAI would seek collaboration with the Danish State Archives and obtain permission to use their methods. The main reason for this is that the Danish State Archives was the first national archive in the world to start accessioning electronic records in 1996, according to specific regulation and technical standards, and of course historical, cultural and archival reasons pointed that way.

In short, collaboration between NAI and the Danish State Archives began shortly afterwards. In 2005, a written agreement was signed between NAI and the Danish State Archives. This agreement guarantees the use of the Danish method for NAI as well as access to computer programs to test accessions of electronic records, consultations, etc. This agreement ensures access to knowledge and tools and it saves the NAI a lot of work and money.

Just to mention, internationally the employees of NAI participated in the making of policies and standards of the ICA Technical Committee 2001-2005. Open standards and system independent methods such as migration are favoured there.

6.

The regulations on electronic data systems and accessions proposed by NAI are in three parts.[4]

First, there are regulations on electronic databases that are meant to ensure that NAI is notified before databases are put into use so that NAI can determine whether it should accession the database in question, how often and when. This applies to systems that record and collect information in an organized manner. Examples of this are The National Register, The Register of Cars, and Land Registry Database .

Secondly, there are regulations on ERMS for official use where cases and documents are recorded based on an specific filing system (electronic journals). These regulations are more comprehensive and concern the structure and role of the ERMS. NAI should be notified of the use of such systems and they must be approved by NAI.

Preservation Approaches in the Dutch Digital Preservation Testbed (Testbed Digitale Bewaring) http://www.rlg.org/legacy/preserv/diginews/diginews6-3.html#feature2 (Valid on 24. oct. 2006).

[3] See To Preserve and Provide Access to Electronic Records. TemaNord 1996:549. Nordic Council of Ministers.

[4] As mentioned they are a translation of the danish set of rules. See the danish version http://www.statensarkiver.dk/sa/stat/lov/20020308ci_anmejo24.pdf (Valid on 24. oct. 2006). http://www.statensarkiver.dk/sa/stat/lov/20020308ci_anmere23.pdf (Valid on 24. oct. 2006). http://www.statensarkiver.dk/sa/stat/lov/20040311bk_aflelek.pdf. (Valid on 24. oct. 2006). See also Nielsen, Anders Bo, Preservation of Electronic Records: Experiences from Denmark. A lecture at „The International Congress on Archives" Vienna,, August 2004. http://www.wien2004.ica.org/imagesUpload/pres_190_NIELSEN_A_DEN01E.pdfhttp://www.wien2004.ica.org/imagesUpload/pres_190_NIELSEN_A_DEN01E.pdf. (Valid on 24. oct. 2006).

Thirdly, there are regulations on the accessions of electronic records from databases and ERMS. These regulations are the most detailed and include a technical description for the making of an archival version of records from the data-systems described above. A considerable part of the rules on the making of archival versions deals with formats, processes, and technical matters.

As already explained the main principle is to export records from data systems in a system independent manner. Open standards should be used as well as widely used formats and media. Detailed descriptions of the creation of records, their use, and registration should accompany the records. The archives will handle upgrading and conversions to future formats.

The only problem with this method is that the records cannot be examined or used in the future as the creator used them on a daily basis, but that holds true to some extent for paper documents as well.

7.

Lets look at a simple overview of this preservation model:

The model

Data creator	***NAI***
-reports a ERMS or database to NAI.	*-agrees the use of a ERMS.*
-creates an archiveal version every 1-5 y.	*-appraises the ERMS/database.*
-maintains own archive for at least 30 years	*-decides the pace of deliverance.*
-provides access for 30 years.	*-tests the archival version.*
	-stores at least 2 copies in diffrent locations.
	-maintains and migrates.
	-provides access after 30 y. or sooner

- Data (records) creator reports a ERMS or database to NAI.
- The NAI evaluates the structure and the filing plan of The ERMS, comments on it and agrees on the use of it. Appraises the database, that is decides if, and which part af the data in a particular system is to be archived at the NAI and how often archival copies shall be delivered.
- The agency creates an archival version of the data (which is to be archived) according to NAI regulation. This will happen about every 5 years for the ERMS and every 1-4/5 years for a database, depending on if and when data is renewed and erased in the database.

- The NAI tests the archival version of the data for compliance with the regulation or standards if you wish. And when the archival version is flawless, The NAI stores at least 2 copies of it on different types of media, stored at different locations.
- Then ofcourse The NAI maintains the accessioned electronic archival material and migrates them due to technical changes, new formats etc.
- The data creator maintains its own data in an electronic archive for at least 30 years (probably this will be lowered) and provides public access to the data according to regulations laid down by law for at least 30 years.
- NAI provides access to the data when it is no longer accessible at the organization that created it. The version of the elcetronic data in the archives is propably going to be looked upon as the original, because of the high security.

8.

If I just browse through the formats for archival versions as they are in the regulations at hand.

Text files should be saved using the ISO 8859-1:1987 character set and should also be converted to TIFF-images. Images and scanned documents should be in the TIFF-format. Sound should be saved according the MP3 standard (ISO 11172-3). Video clips should be saved according to the MPEG2 standard (ISO 13218-2).

Using the TIFF-format for the archival version does not mean that the creator of records must use TIFF on a daily basis. It is possible to convert for example PDF documents to TIFF format when the archival version is made. Thus, the size of documents should not be a problem in the daily routine.

These specifications will of course change in the course of events and then those records will be converted to other and, presumably, better, formats.

Information in databases is exported to relational tables, which are stored as text files.

Metadata conforms to EBNF and W3C XML Schema 1.0, which will make the use and presentation of data easier. Descriptions of databases should be accompanied with common SQL queries used for retrieving data from the databases.

9.

All this creates a different setup for official agencies and archives with new tasks and costs.

The creators of records must deliver electronic records at a more frequent interval than paper documents, which must be accessioned when they are 30 years old. And also keep their data for 30 year in a good electronic archive.

There will be two copies of each set of records one in the agency one in the archive. The one in the archive is not as accessible as the one in the agency since this version is system independent and needs some extra effort to be used. The problem of using the accessioned records remains unsolved at the moment, but the development of appropriate software is underway in the Danish State Archives as well as in the state archives of Norway and Sweden.

10.

The present situation is as follows:

In 2004 the NAI conducted a survey on the records creators of the state.[5] 354 of the biggest agencies were sent questions. 71% answered and amongst other things we found out that about 50% of them use ERMS. These agencies have almost 600 databases. It should be noted that this is not the total number of agencies. So there is a big task ahead of us.

The regulations are ready and are in for final evaluation of the government. Hopefully they will be approved and then we can start accessioning electronic archives next year.

Presently the NAI operates two test projects testing accession of electronic records for the period of 2005-2006. One of them involves the Ministry of Education and the making of an archival version of its subject catalogue. It has only just begun. The other test project is almost completed and it involves the Internal Revenue Directorate and the making of an archival version of a database.

These test projects are operated in order to test the methods prepared by NAI based on the Danish regulations I have loosely described. By operating these projects, we intend to gain knowledge, tools, and programs as well as gaining experience in accessioning and acquiring archival versions of electronic records.

So far our experience, is the same as our Nordic colleagues, and reveals that the creators of records, and system designers, must take great care in designing and development of ERMS and databases and take into account the perspective of long term preservation already at the design level. In other words to get good result in preserving electronic data you need cooperation between records creators, system producers and archivists.

It is, therefore, very likely that NAI's regulations for accessioning of electronic records will considerably improve the handling of records in the official sector for the benefit of everyone concerned. This will surely also be the experience elsewhere.

It should be noted that what has been described here marks just the beginning of long-term preservation of electronic records. Methods, standards, formats, and media will change like everything else in the course of events. But the archives can not wait for the final solution for solving the long-term preservation of electronic records, that moment will never come. They must acquire knowledge now and a valid method and start accessioning this fragile modern data before it gets obsolete.

Thank you.

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Director of Information Technology
National Archives of Iceland

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[5] A report on the survey was published (in Icelandic): *Rafræn skjala- og gagnavarsla ríkisstofnana. Könnun Þjóðskjalasafns á skjalavörslu ríkisstofnana árið 2004*. Maí 2005. It is accessable on the web; http://www.skjalasafn.is/Syningar/img/Rafraen_skjalavarsla_rikisstofnana_2004_lokagerd.pdf. (Valid on 24. oct. 2006).

Shared Concerns and Responsibility for University Records and Archives
ICA-SUV Seminar in Reykjavík, Iceland
September 13–20 2006
Gunnar Karlsson
September 14 at 15:30

FROM ARCHIVE TO HISTORY

I

Just over a year ago the rector of our university appointed an editorial board to oversee the writing of the history of the university, which is to be published on the occasion of its centenary in 2011. The board comprised representatives from the four main fields of study which are studied at the university: science, health sciences, social sciences and humanities. Although these people are not historians, they are of course interested in history; otherwise they would not have found it worthwhile to take on this task. First and foremost, they must be seen as representatives of the readers of this history within the university. I, as a historian, was appointed head of the board and main editor of the work. I speak here from the viewpoint of a historian who is about to start organizing the writing of the history of my university, and is observing the university archive as a tool to help us achieve that task. Therefore I am going to take as my point of departure one of the first discussions of the board about the content of this prospective history. What all the members of the board agreed on, and unanimously stated, apart from the chairman perhaps, was that an institutional history was not the kind of history that they wanted to see written.

This sounded a little strange because, among its other identities, a university is inevitably an institution. In speeches at this university it is sometimes said, as at all other universities, I suppose, that a university is and should be a community, rather than an institution. At least it was fashionable to say that a few years ago. However, there is no way of denying that a university is an institution.

I have chosen the views of my editorial board as a point of departure here, because an archive preserves the image of the university as an institution, above all, and perhaps often almost exclusively. It contains the raw material for an autobiography of the university as an institution. What the editorial board was saying was that they did not want this kind of autobiography to be written and published on the occasion of the centenary. This seems to be a problem of supply and demand: the archive does not contain what the consumers of history

say that they want. And I suppose it could be said that, roughly but only roughly, the archive offers the raw material for an institutional history, while the consumers demand social history, the history of the university as a community.

II

This reminds me of a story which is relevant here because it demonstrates well the popular demand for different, non-institutional history, which has been heard for some time now. Fourteen years ago I was at a meeting here in Reykjavík where a publishing house was presenting the books that it had published for the annual pre-Christmas book season. The audience were booksellers, whom the representative of the publisher tried to convince that the books his house had published were worth recommending to the customers.
Drinks in hand, the audience were not paying much attention. Instead they chatted, half-whispering, to each other. The spokesman for the publishing house went on describing one book after the other, until he came to a book with the subtitle *A different history of Iceland, Öðruvísi Íslandssaga* in Icelandic. When he said that, "A different history of Iceland," the audience suddenly fell silent. Obviously, the history which we historians had been writing had been so boring and devoid of interest that the thought of something different immediately caught the attention of the audience through their whispering and murmuring, and they stopped talking in mid-sentence. I think that it was this desire for a "different" history that was in the minds of my editorial board when it renounced institutional history.

Now I know that the archivist of our university, Magnús Guðmundsson, is a clever man, and he has made various arrangements to help meet the demand for a different history. Thus in 2001 all students at the university were urged to write a diary one day, on 24 January, and hand it in either on paper or by e-mail. The result was that some 80 students, a little more than one percent of all students at the university, sent in a diary, on average between one and two pages of a printed book. The students were allowed to submit the diaries anonymously, and some of the participants did so, although most of them wrote their names on the manuscripts. These diaries were subsequently printed in a book which was published by the University Press and will be among our most precious resources when the centenary history of the university is written.

This was a very good initiative. But this was only done recently, after the wish for a different history began to be heard, and the authors of the diaries of course only wrote about their own experience, thoughts and feelings, in the present. I am fairly sure that the archive contains very little evidence of how I and my colleagues in the 1960s spent our days at the

university (not to mention the nights), what we thought about our lives, and how we felt about our studies. Of course there is still time to ask some of us, but would we remember right, and would we tell the truth? And if we move one generation further back, it is even too late to ask.

III

It is the great dilemma of the archive that basically it can only think of preserving evidence of what is seen as important at the time of storing. You may think that this applies only to earlier times; that nowadays we preserve samples of everything. This may well be true. I cannot think of anything that should be preserved and is not. But that is probably only because I am a part of contemporary culture; my view of what is important is the view of my age, and nothing else.

When I suggest that we may be throwing away something which the authors of the bicentennial history of the university will blame us for not keeping, my only argument is the one typical for historians, the argument of experience. I know no period in history which has kept purposefully all evidence which is thought to be important in later times. In all cases, I believe, historians would gladly sacrifice some sources which are preserved in return for something that has not been put on record or preserved. This is a commonplace, of course. Nevertheless, I want to mention one example. The kind of evidence about medieval history, which nowadays is most giving, at least in this country and probably in many more cultures, is the evidence of the rubbish dumps, where archaeologists can for instance count the cattle bones and sheep bones and fish bones, calculate their proportionate share at different times, and in that way gain knowledge of people's diet. So the things that were purposefully thrown away to be lost for ever prove to provide more important evidence than the most valuable ecclesiastical ornaments or genealogies of chieftain families, which people took the utmost care to preserve.

What can we deduce from this? That probably the most valuable preservers are the eccentrics who, because of their eccentricity, keep things which others throw away, or write down facts that others do not care about. In my time as a university teacher I have actually attempted to play such an eccentric in the service of this university, and the quantity of paper which piles up in my office is quite incredible. Still, I have little hope that I am saving anything that is going to be considered valuable in the future. It is, after all, most likely that I am failing in my attempts to keep the things that will be considered most valuable by later times. – Of course it may well be that later times completely lose interest in our times, and that all our attempts to preserve material for them prove futile. – Besides that, the problem

with eccentrics as preservers of evidence is that they are the least likely of all people to act in a typical way, and thus to leave behind in their offices sources on a life and work which is typical for their time and profession. Anyway, we eccentrics are doing what we can, and experience from history tells us that sometimes we are successful and save something which is valued highly by later generations.

IV

Eccentrics are only eccentrics because they are few, and highly valued remnants of the past are usually valued because they are rare. This brings me to another interesting paradox in connection with the preservation of evidence for historians of later times. It is not the hoarders who preserve things that make remnants valuable, but the many who throw their specimens away, and thus make the rest rare. The extraordinary things become extraordinary only after the many careless people have done away with the ordinary copies. This applies most clearly to objects which are preserved as antiquities, but to a considerable extent the same applies to historical sources. Really valuable evidence, we think, is the evidence that tells much, and only rare evidence does so.

Let me take an example from the history of medieval Iceland to illustrate this. In Icelandic saga literature it is usually related very briefly that this woman was married to that man, and only in exceptional cases does the reader have any idea of how the girl felt about the arrangement. Then there is one story of two young girls, sisters, who discuss to whom they are going to be married, and to whom they want to be married. This story, true or not, gives a unique insight into the viewpoint of unmarried girls who waited for their suitors, and of course speculated to whom they would be married. We call this priceless evidence. On the other hand we have hardly any priceless evidence about revenge, fights or arbitration, because the sagas are filled with accounts of such acts. If it had been equally customary to write sagas about the inner life of unmarried girls, none of them would be priceless now. So the many normal people who did not find stories of this kind worth preserving on parchment made the only one extant priceless.

V

Until now I have spoken as if it were self-evident that historians should meet the demands of the people who are interested in history at each time. I have provisionally assumed that it would unquestionably be right to write the history of a university as the history of a community, and not as the history of an institution, if we know that the history of a

community is "in" among our readers and the other kind of history is "out." Accordingly, I have spoken as if it were undoubtedly the role of the archive to attempt to preserve evidence of the university as a community. I can say at once that I am personally convinced that we should try to meet these demands as far as we can, and I look forward to trying to do so. On the other hand, it is necessary to warn against setting popularity as the only standard for our choice of content or attitude towards the subject. No novelist with any self-respect would acknowledge that he or she thought exclusively about the popularity of their works at the time of writing. Most authors would maintain that they did not think about popularity at all, which of course would not in all cases be true. Nevertheless the analogy shows us that it is not sufficient to consider only what the readers want. In art, literature or other art, novelty does not originate in considerations of popularity. On the contrary, novelty is created by people who are willing to take risks – or have no hope of attaining popularity anyway. And, whether we think of originality as important in history or not, it is undeniable that novelty is the prerequisite of progress. If we are to have any hope of writing better history than has been done, we must try to do something new, something original.

VI

The question of content and attitude has another side to it, which also touches on the role of the archive in the process of writing the history of a university. Apart from the question of originality, we can ask what would be the best kind of history, the most interesting, most useful, helpful and so on. This of course raises still another question: What is the history for, what purpose does it serve? And basically this is a question which could be asked about the archive also.

It is remarkable that the editorial board of the university history has never discussed these questions, and there is hardly any answer to it in the policy programme which we have written and agreed on. In our eyes it seems to be so self-evident that a hundred-year-old university should write its own history. However, I can think of different answers to this question, all of which contain some kernel of truth. It can be said to be the duty of an institution like a university to inform society about itself, in the present and in the past. Secondly, I believe that it supports the inner strength and self-image of the university to have good access to knowledge about itself. For both these purposes, and particularly the second, it is necessary to write about the university as an institution and base the account solidly on the kind of evidence that the archive has preserved from its very beginning, and is pretty sure to be ready to provide at any time. The kind of history which is a reliable report of activities is in

a certain respect the best possible history, because it is the kind of history which is most ideally suited to put to use: for looking up information, as a basis for drawing conclusions, and as a component in other histories. Some people call this kind of factual history boring, but I think that it is mainly because the recipients themselves are not inventive enough to make the factual content into something new and interesting. In other words: it is not necessarily best to spoon-feed our readers with tasty social history; it may be a good idea, in between times, to give them something solid to cook for themselves.

VII

It is my conclusion, therefore, that the authors of our university history should do their very best to write a history of the university as a community, and that the archive should help them to do so as far it possibly can. But the basic role of the history is to publish the most important facts about the university, facts which the readers can use for their different purposes. And that is the area where the archive is strongest and should go on being so in the future.

THE AMERICAN HERITAGE CENTER'S USE OF TASK FORCES TO ENCOURAGE UNIVERSITY-WIDE COLLABORATION IN ITS EFFORTS TO SURVEY AND ADMINISTER ITS HOLDINGS

By

Kenton G. Jaehnig

Presented at ICA/SUV Seminar 2006

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In 2002, as part of an effort to narrow the focus and improve upon the administration of its collections, the University of Wyoming's American Heritage Center (AHC) embarked on a program to develop and implement a formal collecting policy. To aid in its formulation, a number of task forces composed of AHC faculty and staff were convened to survey, analyze, and make recommendations regarding the repository's vast and varied holdings. Over the past four years, the AHC has learned that when properly deployed, task forces can be a very useful tool for reaching out to university faculty and staff and encouraging them to collaborate with the AHC in the acquisition, development, and administration of its archival holdings.

In this paper, it is my intention to analyze the American Heritage Center's experience with its use of task forces to encourage university-wide collaboration in regards to its collections. First, I will discuss the initial problems encountered by the task forces and how they overcame them. I will also describe the methodologies employed by the task forces and evaluate their effectiveness. Last of all, I will analyze the results of the task forces' efforts to encourage university-wide collaboration with the American Heritage Center.

By way of introduction, I would like to briefly describe the circumstances that led to the formation of the task forces. The roots of the matter date back to the directorship of Dr. Gene Gressley, who was director of the American Heritage Center from 1954 to 1988. In the course of his tenure, employing a particularly effective combination of charm, relationship building, and hard work, Dr. Gressley succeeded in building a very large and nationally significant collection of archival materials concerning numerous disparate historical topics. He built up particularly strong holdings in the areas of the performing arts, politics, and economic geology which are nationally and internationally known and of which the AHC remains very proud of today.

However, because there was no formal collecting policy, Gressley's collecting had no discernable focus other than perhaps his personal interest.[1] Because he focused AHC resources upon collecting, little attention was given to the vital areas of processing, cataloging, and making collections accessible to researchers.[2] The combination of a lack of a formal collecting policy and overemphasis on collecting led to some unfortunate, but predictable and avoidable consequences. By 1983, there was a 30,000 cubic foot backlog of unprocessed collections.[3] In addition to that, they were being stored in conditions deemed unacceptable by the fire marshall and were inaccessible by researchers.[4] Active collecting stopped after Dr. Gressley's departure from the American Heritage Center in 1988.[5] However, the multitude of contacts established by Gressley continued to yield offers of donations, which the AHC generally accepted due to the lack of a collecting policy that could have provided a basis for turning them down.[6] For all practical purposes, unfocused collecting continued for another fourteen years.

In 2002, at the instigation of Director Mark Greene, the AHC commenced work on formulating a formal collecting policy. Under the policy formulation plan conceived by Greene, the bulk of the work was to be carried out by task forces, to which AHC faculty and staff members were assigned.[7] Each of the task forces was assigned one or more of the AHC's

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[1] Mark Greene, "AHC Manuscripts Collecting Policy." 1 December 2004 (Internal Document from American Heritage Center, University of Wyoming), p. 2.

[2] Ibid., p. 2.

[3] Ibid., p. 2.

[4] Ibid., p. 2.

[5] Ibid., p. 2.

[6] Ibid., p. 3.

[7] Ibid., p. 3.

collecting topic areas, upon which they were to focus.[8] According to Mark Greene, the collection topics into which the task force work was divided were borrowed from a collection analysis and development exercise undertaken by the State Historical Society of Wisconsin during the 1980s.[9]

In a nutshell, the task forces were charged with accomplishing six formal purposes. This paper focuses on task force activities conducted under Purpose #3 which states:

> **"3. Analyzing use records for materials in the major sub-categories, and to analyze and prioritize likely user groups for current and future collections."**[10]

To this particular purpose, Mark Greene attached in parentheses a short, but very succinct and important addendum, which states:

> **"This will include discussion with relevant University of Wyoming faculty."**[11]

It was with this particular charge in mind that the task forces set out to solicit and obtain university-wide subject expertise in the AHC's efforts to focus and better administer its holdings.

Before the AHC task forces could reach out to the rest of the university community, they needed to address three basic problems:

1. Analyze the collections falling under their topic jurisdiction.
2. Determine which faculty members it would be most appropriate for them to approach.
3. Overcome barriers between the AHC and the rest of the university community.

Before reaching out to university faculty, the task forces first analyzed the processed and unprocessed collections falling under their assigned topic jurisdictions. At their formation, the

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[8] Ibid., p. 3.

[9] Ibid., p. 3.

[10] Ibid., p. 3.

[11] Ibid., p. 3.

task forces generally knew very little about the collections under their charge, so they obtained as much information about them as possible, including but not limited to size of holdings, strengths of holdings, sub-topics, collection contents, and material formats. They gathered this information through a variety of methods, including searching the AHC's catalog database and GRACE (the AHC's collection management database), searching the unprocessed collection worksheets, examining finding aids and donor correspondence, and sampling individual collections. This information allowed the task forces to provide an accurate picture of the collections under their charge for themselves and for the faculty members they contacted. It also helped them formulate questions they posed to faculty members once contacts were established.

After obtaining this information, the task forces determined which faculty members they should approach. This was generally determined by the topics assigned to the individual task forces. For example, to solicit input about the architecture collections, the Architecture, Engineering, and Science Task Force contacted faculty members from the Architecture Department.[12] For more interdisciplinary topics, task forces contacted faculty members from multiple departments. An example of this was when the American Popular Culture Task Force approached faculty members from the History, American Studies, and English Departments.[13]

The issue of determining which faculty members to approach was made somewhat easier by the presence of the AHC's Faculty Board of Advisors. Members of the board were frequently approached by the task forces because they were easy to contact, eager to participate, and often quite knowledgeable about the AHC's holdings. Over the next four years, they provided plenty

[12] Kenton G. Jaehnig, Shannon Bowen, Loreley Moore, and Kim Winters, "Final Report and Recommendations of the Architecture/Engineering, and Science Task Force", September 1, 2005 (Internal Document from American Heritage Center, University of Wyoming), p. 14-15.

[13] "American Heritage Center, American Popular Culture Task Force", October 2004 (Internal Document from American Heritage Center, University of Wyoming), p. 4-5.

of extremely valuable input and expertise, much of which found its way into the AHC's new collecting policies.

Although the Board of Advisors was a very a valuable resource, it was not without its limits. The board represents only a small cross section of the university's academic departments. Some of the task forces focused on topics not represented on the board. In such cases, they found it necessary to contact faculty members from academic departments not represented on the board. A good example of this involves the Architecture, Engineering, and Science Task Force, which contacted the Engineering Department for input regarding the AHC's engineering holdings.[14] This also had the happy effect of bringing fresh perspectives from faculty who were neither closely associated with the AHC nor familiar with the AHC's holdings. Over the next four years, they also provided valuable input regarding topics that the AHC frankly had little experience and expertise with.

Before soliciting input from other university faculty, the task forces had to overcome one final hurdle, breaking the physical and institutional barriers between the AHC and the rest of the university. Compared to other departments, the AHC stands somewhat apart from the rest of the university community. This is due to three factors:

1. Physical isolation.
2. Institutional isolation.
3. Lack of awareness of the AHC by university faculty.

Physically, the AHC is rather isolated from the rest of the university. It is housed in the Centennial Complex, which is located on the eastern outskirts of the campus. It takes ten to fifteen minutes to walk from the Centennial Complex to the main part of the campus. There is regular bus service between the heart of the campus and a bus stop just outside the AHC. These

[14] Kenton G. Jaehnig, Shannon Bowen, Loreley Moore, and Kim Winters, "Final Report and Recommendations of the Architecture/Engineering, and Science Task Force", September 1, 2005, p. 18-19.

logistical factors may not sound particularly problematic, but many faculty members consider the location of the AHC to be inconvenient and out of the way. This has resulted in the reluctance of some university faculty to visit the AHC and equal reluctance on the part of some AHC faculty and staff to visit other departments on campus.

There is also a great deal of institutional isolation. With the notable exceptions of a few departments, including History and American Studies, the AHC has built close relationships with relatively few academic departments. This institutional isolation is further aggravated by the nature of the AHC faculty and staff member's jobs. Below the senior level, AHC faculty and staff perform tasks that usually keep them confined to the building during the workday. This discourages junior faculty and staff from visiting other departments on campus and developing interdepartmental relationships.

In addition to the isolation from the rest of the university, the task forces also addressed the lack of awareness of the AHC on the part of many university faculty members. Because the AHC is somewhat isolated from the rest of the university and has not been as proactive in its outreach as it might have been in the past, much of university faculty have little or no preliminary knowledge of the AHC, which prevents and even discourages them from learning more about what the AHC and the resources it has to offer.

In course of doing their work, the task forces learned that in order to overcome the AHC's isolation and widespread unawareness of the university community, they needed to be proactive and reach out to other faculty members. This meant making the initial overtures, establishing the initial contacts, and following up on them. From the standpoint of overcoming isolation, the task forces realized that they needed to be the first ones to cross the physical and institutional barriers. Once they made the initial contacts, it became much easier for them to

encourage university faculty to learn more about the AHC and encourage their assistance and collaboration. From the standpoint of overcoming the lack of faculty awareness of the AHC, the task forces actively sought to educate university faculty about the center and the collections preserved in its holdings. With such knowledge in hand, it became much easier for faculty members to reciprocate the task forces' overtures and increased their willingness to collaborate with the AHC in regards to its collections.

Once the task forces addressed the issues of collection analysis, decided which faculty members to approach, and figured out how to breach barriers between the AHC and the rest of the university, they could now effectively reach out and encourage university-wide collaboration. The actual act of reaching out and bringing in outside faculty expertise was a relatively simple process. Between 2002 and the present, task forces developed three different methods of reaching out to other university faculty and encouraging their collaboration. Each one of these methods had its advantages and disadvantages:

1. E-mail questionnaires.
2. Personal interviews.
3. Combination of e-mail questionnaires and personal interviews.

The use of e-mail surveys was the simplest method employed by the task forces. It involved formulating a questionnaire, either as part of the actual message or as an electronic attachment, then sending it to the faculty members from whom the task forces wished to solicit their expertise. The faculty members receiving the e-mail messages filled out the questionnaires and e-mailed them back to the task force member in charge of the outreach efforts.

The use of e-mail questionnaires had a number of advantages. They were easy for task forces to formulate and easy for the faculty members to fill out. E-mail questionnaires were also

quite time efficient. They could be formulated and e-mailed out in a short period of time and the respondents could fill them out and send them back to the task forces in a timely manner as well.

E-mail questionnaires proved to have a number of disadvantages as well. The most serious flaw was that they lacked a human touch. E-mail questionnaires could be considered to be rather impersonal on the part of some faculty members. Because they were not really designed to encourage in-person meetings, the resulting lack of interpersonal interaction discouraged relationship building, which in turn discouraged the possibility of collaborating again in the future. The questionnaires were also too structured. Because they contained relatively simple questions, the respondents kept their answers as short as possible and did not elaborate on their responses, thus denying the task forces of some information that could be even more useful than the original answers.

Overall, the AHC learned that the use of e-mail questionnaires could work. For example, the Military History Task Force used this method and discovered faculty interest in United States military history in Southeast Asia, which ended up being incorporated into the AHC's collecting policy.[14-15] Although they sometimes worked, e-mail questionnaires were not as effective as the other two methods. The Military History Task Force learned this when they e-mailed twenty-two questionnaires and received four replies, with only two of them properly completed.[16] The respondents of the completed questionnaire provided little in the way of elaboration and details to their answers.[17] Clearly, more sophisticated methods were needed.

A second method of encouraging faculty collaboration involved the use of in-person interviews. This method involved meeting with and interviewing members of the university

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[14] "American Heritage Center, Military History Task Force Report" (Internal Document from American Heritage Center, University of Wyoming), p. 3.
[15] Mark Greene, "AHC Manuscripts Collecting Policy." 1 December 2004, p. 15.
[16] "American Heritage Center, Military History Task Force Report", p. 3.
[17] Ibid., p. 3.

faculty on a one-on-one basis. In a typical interview, a task force member asked the interviewee a number of prepared questions. The interviewee answered the questions to the best of his or her ability and was encouraged to elaborate on the answers he or she gave.

In-person interviews had their share of advantages. Unlike e-mail questionnaires, interviews included and made good use of the human touch. When correctly carried out, they provided a forum through which AHC and other university faculty could meet and become familiar with one another, thus allowing for possible relationship building and encouraging future collaboration. In-person interviews also allowed for a great deal of flexibility. Task force members could ask unlisted questions that came up in the course of the interview. Interviewees could elaborate on the answers they gave and ask questions of their own.

In-person interviews also had a number of inherent disadvantages. They tended to be time consuming to both task force members and interviewees. Preparation and the actual interview required a significant investment in time on the part of the interviewing task force members. The interviewees were required to set aside time from their normal duties to talk to the task forces. The lack of structure in these interviews could be problematic. It was easy for both interviewer and interviewee to go off subject during the meeting. There was also the possibility of interviewees being surprised by some of the questions and providing answers that were not carefully thought through.

Overall, in-person interviews were significantly more effective than e-mail questionnaires in encouraging collaboration from university faculty members. The information provided to the task forces was considerably more detailed and proved to be far more useful. For example, through in-person interviews, the Geology Task Force learned the university's Geology faculty members were more interested in the historical and economic value of the AHC's Economic

Geology holdings than in their scientific value. This faculty suggestion found its way into the AHC's Economic Geology collecting policy, which ended up focusing on the discipline's business history.[18] Although in-person interviews proved to be effective, task force members learned that their efforts to encourage faculty collaboration could be improved upon even more.

The last and most successful method used by task forces to encourage faculty collaboration with the AHC was the use of a combination of both e-mail questionnaires and in-person interviews. This method was designed to employ the best of both worlds. It involved first e-mailing faculty members a questionnaire, which they filled out and e-mailed back. Next, task force members conducted in-person interviews with the responding faculty members, in which their answers to the questions were discussed and the respondents were encouraged to elaborate on them.

This combination of questionnaires and interviews had a number of inherent advantages. It retained the human touch permitted by interviews, specifically allowing relationship building and opening doors for future collaboration. This method also allowed for a good balance of structure and flexibility. Structure was provided by the questionnaires, which faculty respondents generally filled out as briefly as possible. Flexibility was provided by the interviews, in which respondents elaborated on their answers and both the interviewer and interviewee could ask each other questions not on the questionnaire. Because of the lag time between the questionnaire and the interview, this permitted the interviewee to think about the answers he or she gave. This allowed them to provide more coherent and carefully thought out information to the interviewer when the answers were elaborated upon.

As was the case with the other outreach methods, questionnaire/interview method had its share of disadvantages. It was significantly more labor intensive than questionnaires and in-

[18] Mark Greene, "AHC Manuscripts Collecting Policy." 1 December 2004, p. 5-7.

person interviews alone, because both task force members and faculty members had to do a larger amount of work. Task force members had to prepare the questionnaires and conduct the interviews and faculty respondents had to answer the questionnaires and submit to the interviews. This also method proved to be the most time consuming. Because it required larger amount of work, it also required a larger commitment of time on the part of the both task force members and faculty members.

Although the combination of questionnaires and interviews was more labor and time intensive, the advantages outweighed the disadvantages and it proved to be the most successful method employed. The task forces using this method solicited a greater degree of faculty input and the information was frequently more detailed and of higher quality than was provided by the other two methods. This led to a greater amount of faculty influence upon the collecting policies under their jurisdictions. An example of this involved the Journalism, Authors, and Publishing Task Force, which use the questionnaires/interviews method. In this case, the task force obtained faculty suggestions in regards to journalism collections were quite detailed. The collecting policy covering journalism was influenced by faculty suggestions to acquire collections concerning war correspondents and United States-Asia relations and to retain manuscripts and photographs.[19-20]

Last of all, I would to discuss the results of the task force efforts to encourage faculty collaboration with the AHC in regards to its collections. In the short term, the efforts of the task forces have been quite successful. Between 2002 and the present, formal collecting policies have been formulated for twenty different topic areas, which are still subject to change. At the

[19] "American Heritage Center, Journalism/Authors/Publishing Task Force. July 2004 Report" (Internal Document from American Heritage Center, University of Wyoming), p. 3-4.

[20] Mark Greene, "AHC Manuscripts Collecting Policy." 1 December 2004, p. 5-7., p. 13.

present, most of these policies have discernable (to AHC faculty and staff) faculty influences that were solicited by task forces.

The long term outlook for task force efforts to encourage university-wide collaboration is less clear, but in my opinion there is plenty of reason to believe that future task force efforts will be successful. Most of the initial stumbling blocks encountered by task forces have been overcome and outreach methods have evolved and improved over the past four years. Additional task forces will be convened in the near future. By applying what has been learned over the past four years, they will in all likelihood continue to be successful and will doubtless improve upon their work as time goes on.

The final test of the task forces' efforts is still many years in the future. Once all of the collecting policies are completed, the plan is that the AHC will re-examine its collecting policies every ten years. Only upon future re-examination will the AHC know for certain how well the results of task force solicited university-wide collaboration have stood the test of time.

To sum things up, I believe AHC's use of task forces to encourage university-wide collaboration in regards to its holdings have been successful. Since their inception, the task forces have overcome a number of obstacles and developed and implemented their methods learned through hard experience. Overall, university-wide collaboration with the AHC in regards to its collections has increased and chances are good that this trend will continue in the foreseeable future.

Gatis Karlsons and Iveta Gudakovska

Providing on- line access to students' dissertations: shared responsibility concerns

Introduction

Efforts to make students' dissertations available on- line are being undertaken by universities all over the world, from Europe and America to Asia and Australia. Basically, all of these projects focus on broadening the accessibility and availability of previously unpublished material and fighting plagiarism. However, many of these initiatives are limited to collections of graduate theses. In many cases, submission of a dissertation for on- line publication is voluntary, thus hiding the full spectrum of information.[1] Unlike other universities, the University of Latvia is going to collect successfully defended theses at all levels, including those of undergraduates.

The Pilot Project

Following the decision of University Senate in May, 2003 a pilot project was undertaken by the Library and Recordkeeping department. The project had been actively supported by IT unit and staff of the University Information Systems (LUIS) project. The following issues of shared responsibility were identified: deciding the range of collection, legal issues, data base management and appraisal.

The range of collection

We decided to collect successfully defended theses at all levels: undergraduate (bachelor's, diploma papers of five year professional programs) and graduate papers, including masters, PhD dissertations and papers leading to award the professional qualifications. The reason for doing this was the appreciation that prevention of plagiarism is alleviated if all the papers are available and that undergraduate dissertations are of some research and learning value. Parts from the bachelors' theses are published even in nationally referred journals. For instance, reviewing the recent years' content of the journal Latvijas Vesture (History of Latvia), 10 percents of the published research articles were based on bachelor's papers (see Fig. 1).

[1] For instance: Thesis Canada (www.collectionscanada.ca/thesescanada), Australasian Digital Thesis Program (http://adt.caul.edu.au), University of Helsinki e- thesis program (http://ethesis.helsinki.fi/). Electronic thesis and dissertations is a subject of annual international symposiums (ETD), see http://epc.ub.uu.se/etd2007/index.html .

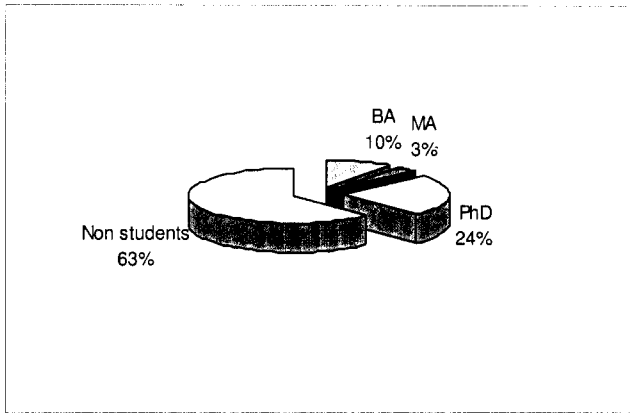

Fig. 1. Distribution of research articles by authors' academic status in the Journal History of Latvia (Latvijas Vesture): 2003-2005

Proportion of published material varies within different science and art sectors. In the case of history there are three academic journals. Publications basing on bachelor's papers are accepted mainly by two of them- journals History of Latvia and Latvian Archives (Latvijas Arhivi).[2]

Legal issues

The first problem relates to the issue of the obligation for students to submit and allow publishing their dissertations. In Latvia there are legal requirements regarding the publication of e-theses. Unfortunately, these apply only to PhD dissertations.[3] Therefore, in relation to the rest of the theses, the University of Latvia has adopted a policy of mandatory submitting of all successfully defended theses and seeking the author's consent for publishing them. As seen in the Figure 2 majority of students (about 74%) allowed publishing their dissertations. In some programs, for instance BSc in Chemistry, the number was even higher - 94% while in other programs- lower (MSc in Computer Science- 43%, Certificate on Competence in Labor Protection - 2%).

[2] We made a content analysis of the following journals issued in 2003- 2005: *Latvijas Vesture, Latvijas Arhivi* and *Latvijas Vestures Instituta Zurnals* (Journal of the Institute of Latvian History).
[3] See point 16.4 of the Regulations of Latvian Cabinet of Ministers No 1001 of December 27, 2005 „The procedures for the conferral of a doctoral degree in science (promotion)".

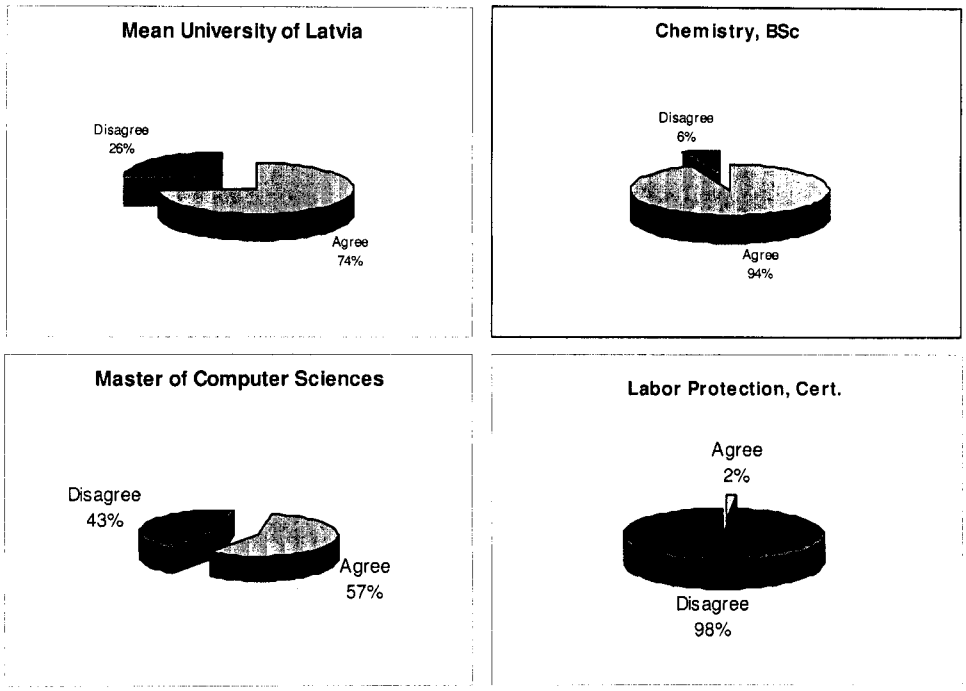

Fig. 2. Students decisions about publishing their papers

The reason why publishing was denied was not only the poor academic quality of dissertations. Many students were arguing that their dissertations were worked out in the places of their employment and thus keeping the business secrets and know how.

Data base management

Electronic versions of the theses are uploaded in a local information system based on an ORACLE database. The files are uploaded in PDF format and linked to Library Information System (ALEPH 500) which ensures functioning of the local catalogue of the University of Latvia Library and union catalogue of eight libraries of national significance. Thus there is no need for additional investments in software and the theses have the best possible accessibility.

Retrieval of theses is offered by all the catalogues, but the Unit Catalogue offers additional services: information on the number and availability of copies at the library, the user's information on his/her account at the given library, booking and prolonging the use of documents, International Loan Services subscribers etc.

Theses in catalogues are structured in two databases: data base of undergraduate and graduate (excluding PhD) dissertations and data base of PhD dissertations.

Data base of undergraduate and graduate theses

The undergraduate and graduate data base can be accessed by any Internet user from the University of Latvia portal, Library or Union Catalogue menu Data bases (http://www.lu.lv/biblioteka). For search, users can resort to more than ten search criteria: author, title, a word in the title, a word in any field, the (research) guide, reviewer, the collective author (the UL structural unit), UDC index, subject, depository/location, URL and other criteria. The criteria can be combined.

To view the selected information, the user has a choice from among several types: standard, abstract (Latvian or foreign language), bibliographic description or expanded bibliographic description. Information lists can be filtered and/or specified, saved, printed out or e-mailed.

The full-text versions of dissertations whose authors have given consent for publication is available using the Latvian Academic Network (LANET) password. Currently the network has about 60 000 users, covering employees and students of main Latvian academic institutions such as universities and research institutions.

Data base of PhD dissertations

The initial version of the UL Data Base of PhD Theses will be available already in mid 2007 to any Internet user from the University of Latvia portal, Library or Union Catalogue menu Data bases (www.lu.lv/biblioteka).

In a first stage the data base users will have access to the bibliographic descriptions of dissertations. Access to full text versions (including digitalized dissertations) is planned later. For search, the DB users will be able to resort to more than twenty search criteria: author, title, a word in the title, a word in any field, information on publication, the research guide, reviewer, the UL institution, UDC index, subject, branch and sub-section of science, Council for the Defence, place and date of defence, confirmation of the dissertation, depository/location, and other criteria. The criteria can be combined. To view the selected information, the user has a choice from among four types: standard, bibliographic description, types of expanded

bibliographic description or the MARC format. The system ensures filtering, specifying, saving, printing out or e-mailing the results.

Appraisal

We do not intend to keep all theses permanently, so it is important to choose the right appraisal strategy. As theses are records and in this regard are more archival than library materials, the library criteria of use seems inappropriate. One of the solutions would be to find the right sampling techniques, for instance sampling according to marks awarded to the dissertations. The dissertations retains its legal value in the Latvian legal environment for seven years.

Conclusion

The joint efforts of librarians and records professionals have demonstrated several spheres of shared responsibility. In spite of their status as records, in accordance with which they belong to the sphere of records and archives, the theses were catalogued and made available according to library principles. The shared responsibility of IT experts, librarians and records professionals relates to the definition of collection policies and principles of access, while the appraisal and deaccession strategies remain within the domain of records professionals.

Czech Experience with Specialised Archives: Shared Concern and Responsibility for Dissertations[1]

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University Archives: Specialised Archives

In the Czech Republic, the archives of various kinds of universities (including technical, veterinary, and economic schools, agricultural colleges, as well as art schools; further referred to as 'university archives') form, together with archives of scientific institutes (mainly the Academy of Sciences of the Czech Republic[2]), a category of so-called 'specialised archives'. The situation of specialised archives within the system of Czech archives is newly defined by the Act No. 499/2004 Coll. on Archive and Registration Services and the Amendment of Some Acts of June 30, 2004, effective as of January 1, 2005 (further just 'Archive Act').[3]

The Archive Act regulates both the general affairs pertaining to archives in the Czech Republic – such as the competence of the Ministry of Interior of the Czech Republic with respect to archives (Article 44), and the system of archives in the Czech republic (Art. 45 ff.) including specialised archives (Article 51–52) -- and the particular responsibilities, rights, and duties of individual archives. Regarding university archives, this new legal norm is in many aspects stricter than its predecessor. This is especially true of its definition of the technical, administrative, personnel, financial, and scientific criteria university archives have to meet in order to receive accreditation. A similar stringency can be observed in its defnition of archives' duties. Prior to the new Archive Act, the Czech Republic -- and before 1993, Czechoslovakia -- had relatively few independent university archives (such as the Archive of Charles University in Prague, the Archive of the Masaryk University in Brno, and the Archive of the Czech Technical University in Prague). These archives were only loosely incorporated into the unified archive system. As archives of so-called 'specific importance', they shared their status with the archives of several other, usually central institutions (such as the archives of Czech television, radio, or the Academy of Sciences). The organisation and technical

[1] This article has been published as a part of the research project MSM 0021620827 The Czech Lands in the Midst of Europe in the Past and Today at the Faculty of Arts, Charles University, Prague.
[2] For information on the Archive of the Academy of Sciences of the Czech Republic see Ludmila Sulitková, Strategies for obtaining archival material in the field of science and research in the Czech Republic, ICA/SUV Seminar Abstracts, http://www.usyd.edu.au/su/archives/ica_suv/; web pages of the Academy of Sciences at: http://www.archiv.cas.cz/
[3] Full text of the Act No. 499/2004 Coll. on Archives is available at http://www.cesarch.cz/legislat/2004-499.htm.

support of these archives was within the competence of their founder (e.g., a university). The only area in which they were subjected to the state archive system represented by the Department of Archive Administration of the Ministry of Interior (further just 'Archive Administration') concerned their scientific and methodical organisation.

The new Archive Act establishes that university archives are an integral part of the archive system, and are – through the Archive Administration -- in all areas subject to its legislation. Existing university archives (including the Archive of Charles University) have received a provisory three-year accreditation on the basis of the Act's Article 80 (paragraph 4) and Article 81. During these three years, they should meet the requirements the Act's Article 61 and subsequent supplementary directives of the Archive Administration set for the construction, technical equipment, spatial organisation, security, financial, and personnel arrangements of care and protection of archive materials. Newly established archives (including university archives) have to meet the same conditions. Upon the lapse of this three-year term, all archives have to apply for a permanent accreditation. The new Archive Act and supplementary directives issued by the Archive Administration specify in detail the duties archives have in the choice, filing, categorisation, protection, and provisions for accessibility of archive materials (Chapter II, Section 1—4).

At the moment, existing archives find themselves within the three-year term reserved for carrying out the changes necessary to comply with current legislation. Let us leave aside the changes in construction and technical parameters required by the new legislation. In many case, permission to postpone these alterations will have to be granted. In the area of selection, filing, categorisation, protection, and accessibility, university archives were subject to the methodical direction of the Archive Administration already before the new Act was issued. In these areas, the reality of archives is therefore much closer to the requirements of the new Act. Nonetheless, some inconsistencies and discrepancies exist even here. They result mainly from changes in the Czech legal system after the so-called 'Velvet Revolution' (1989), and its later transformations due to the harmonisation of the Czech legal system with European standards and requirements of the European Union (mainly after 2004).

To illustrate the shared concerns and responsibilities for university records and archives, I chose a specific problem that troubles Czech university archives at the moment, and will do so for some time to come: issues relating to the production, keeping, and

accessibility of so-called 'final theses' (or dissertations), that is, bachelor, master's, and doctoral theses.[4]

Final Theses in University Archives

The hitherto existing practice of keeping final theses in university archives can be, in the particular case of the Archive of Charles University, described as follows: Final theses, existing in a number of printed but not published copies, were filed in the libraries of the relevant faculties (schools) or their departments, and within a set term delivered to the archive.[5] In the libraries, access to them was regulated by internal directives of the relevant faculty in accordance with principles of librarianship and the statutes of copyright.[6] Copies delivered to the archive would become archive materials, and be subjected to archive regulations. In the case of the Archive of Charles University, the previous Rules of Record Keeping and Record Destruction as Applying to Universities and Other Subordinate Organisations of 1989 determined that final theses were delivered to the archive 20 years after they were defended. In the case of master's theses (formerly 'diploma theses'), a selection could take place, and only those deemed most valuable were kept. In practice, however, the archive kept all master's theses. In accordance with existing rules, all dissertation theses (leading to he award of the title PhDr., RNDr., or JUDr. in front of the name), all 'candidate theses' (current PhD.), and all habilitation theses were kept in the archive.[7] The less detailed Rules of Record Keeping and Record Destruction Within Charles University of 1998 does not set terms for the destruction of final theses. Final theses are, within the practice of archive keeping, seen as an integral part of the graduate's personal file, and a faculty is supposed to hand it over to the archive 10 years after graduation.[8]

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[4] The term ‚final thesis' and its definition is taken from Act No. 552/2005 Coll. Article 47b, which amends the Act No. 552/2005 On Universities; text available at: http://www.msmt.cz/Files/vysokeskoly/Legislativa/Novela_zakona_552_2005.htm; the text of Act No. 111/1998 Coll. On Universities available at http://www.msmt.cz/Files/vysokeskoly/Legislativa/HigherEduAct.htm .

[5] List of final theses defended at Charles University in 1990s and 2000s is available at: the Collective Catalogue of Charles University Libraries – http://sd.ruk.cuni.cz/tinweb/skuk/tw

[6] Act No. 121/2000 Coll. On Copyright, Rights Connected to Copyright, and the Amendment of Some Acts (the ‚Copyright Act') as amended by Act 81/2005 Coll. (effective as of February 23, 2005) available at: http://business.center.cz/business/pravo/zakony/autorsky/

[7] Skartační řád pro vysoké školy a ostatní podřízené organizace [Rules of Record Keeping and Record Destruction as Applying to Universities and Other Subordinate Organisations], Prague, 1989, p. 40.

[8] Spisový a skartační řád Univerzity Karlovy [Rules of Record Keeping and Record Destruction Within Charles University], Prague, 1998, p. 51.

University archives regulate the accessibility of final theses to researchers differently from university libraries. Strictly speaking, final theses can be accessed by researchers in a university archive only if they are 30 years old or older, unless decreed otherwise.[9] On top of that, the Copyright Act stipulates that a permission of the author, eventually his or her heirs, is also required for the perusal of an unpublished manuscript, such as a final thesis, if it is less than 70 years old. Such permission is strictly required for example by the National Library of the Czech Republic, which, among other things, manages the collection of dissertations written at Charles University and the German University in Prague between 1882—1945. As consequence, some works whose only copies are kept in the National Library, especially those from the German University, are then in practice as good as inaccessible. The approach of the Charles University archivists is, in the case of final theses and their availability to serious researchers, in practice more liberal.

Even greater tensions between the norms that regulate the keeping and the access (or rather, chronologically, access and keeping) to final theses arose with the publication of the recent amendment to the University Act of 2005.[10] This amendment newly introduces Article 47b called Publication of final theses. Paragraph 2 of this article regulates the publishing of final theses (bachelor, master's, doctoral, and Ph.D.) before the defence of the thesis takes place. According to this paragraph, a final thesis should then be available for inspection by public at a location set by an internal directive of the faculty. Paragraph 1 regulates the temporal aspects of subsequent publication of final theses after their defence thus: the university publishes these works including the reviews by opponents and results of their defence "*using a database of qualifying theses, which it administers. The manner of publication shall be set by an internal regulation of the school.*" So much for the amendment of the University Act. Even disregarding the illogical sequence of paragraphs and a small terminological confusion ('final theses' versus a database of 'qualifying theses'), this article gives rise to confusions and subsequent discussion in two areas: 1. According to this amendment, universities regulate the manner of publication by their internal regulations; 2. University archivists, who follow not only the directives of their university's administration, but also the methodical directives of the Archive Administration, subsequently decide the manner in which final theses, published at different universities in different ways, shall be archived and made accessible.

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[9] Act No. 499/2004 Coll. On Archive and Registration Services, Article 37, paragraph 1.
[10] See footnote 4.

Accessibility of Final Theses at Charles University in Prague

In connection with the publication of the amendment of the University Act discussed above, the administration of Charles University began a preparation of new Study and Examination Regulations. The proposal was adopted by the Academic Senate of Charles University on May 21, 2006, and registered by the Ministry of Education, Youth, and Sports of the Czech Republic on June 28, 2006. Issues pertaining to the publication of final theses are regulated by the Article 18a of the document.[11] Section 5 of this article stipulates that once defended, final theses[12] are to be made accessible in a material (printed) or electronic database. Detailed conditions of accessibility in the electronic database are supposed to be determined by a directive of the University's Rector (Section 7). Details of organisation and administration of access to final theses in a material database are supposed to be decided by regulations issued by the deans of individual faculties (Section 6).[13] None of these three Sections (or, indeed, any part of the University Act) provides guidelines for what this electronic database is supposed to include. That is, whether it should simply present 1) a list of bibliographic data of final theses, or 2) perhaps bibliographic data as well as abstracts of defended theses, or even 3) the full text of all final theses.

University administrators and representatives of individuals faculties, who are supposed to prepare and interpret new directives so that they be in full accordance with all relevant legal norms and directives, are still discussing just what the intended reading of the Article 47b of the University Act and the Article 18a of Study Regulations of Charles University is. They are acutely aware of these documents' problems and limitations.

Yet another point of view is brought into the discussion by experts who are subjected to a different set of legal norms – librarians and archivists. Also, the above-mentioned articles are of interest to the general public, keen to access the broadest possible selection of final theses without any technical, legal, or administrative limitations.[14]

In practical terms, the first above-noted version of accessibility (bibliographic data only) is the easiest to carry out. It runs into no technical, financial, administrative or legal

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[11] The fourth full text of the Study and Examination Regulations of the Charles University in Prague of May 28, 2006, is available at http://certik.ruk.cuni.cz/asuk/statutarni/predpisy/registrovane/pdf/UZ-IV-SZR-UK.pdf .

[12] Section 1 defines final theses as bachelor, master's, and PhD. theses; doctoral theses, as opposed to the University Act, are not even included in the list!

[13] Again, this presents a rather illogical sequence, one that reflects neither the hierarchy of norms nor the temporal progress of administrative acts.

[14] As an example of a discussion of this topic in the press, lets us mention at least Petr Zídek's article Zpřístupnění diplomek vázne [Accessibility of Dissertations Nowhere in Sight], Lidové noviny, March 3, 2006, in which the author briefly points out all of the main problems.

obstacles from any of the parties concerned. However, a publication of mere bibliographic data utterly fails to address the issue of access to the information in the final theses in question. The second option, a provision of access to a list of abstracts, is also relatively problem-free, but the level of access to information contained in the materials concerned is only slightly superior to the first variant. The seemingly optimal third proposal is problematic for two reasons: A publication of all theses, that is, of those defended and electronically accessible after the Act came in force, and, in future, of older and retroactively digitalised final theses, is considerably more difficult in for a number of reasons. Technical, financial, administrative, and organisation-related issues (such as an interconnection of partial databases of universities and their faculties in a national database) could be eventually successfully solved. The crucial obstacle is currently within the legal area, and lively discussions of this topic are still going on. Provision of access to the full texts of all final works is incompatible with the letter of the Copyright Act. According to at least some of its readings, final theses can be publicly accessible at best within a particular school and for its internal purposes. This holds both for printed copies and for electronic files. The degree of public accessibility for 'internal purposes' (reading, excerpts, copying) and the conditions a potential user -- school's students, teachers, persons from other schools -- has to meet in order to be allowed to use a particular library, is defined by individual universities or their parts. Generally speaking, we may, in the words of one author, describe the reigning situation as chaotic and further aggravated by the non-existence of a central database of at least the bare bibliographic data.[15]

Even though most prospective readers would appreciate the broadest possible degree of access to final theses, the opposing view, formulated for example by the Charles University's Rector, Professor Václav Hampl, should also be taken into account. He points out that many final theses, especially those in technical fields and natural sciences, are written in collaboration with non-academic subjects and aim at an immediate practical and commercial use. Therefore, even if some reading of the law permitted it, they cannot be made available to the broad public without infringing on the rights of their authors, eventually submitters, with respect to copyright, intellectual property, and the option of patenting or practical application.[16] For this and other reasons of legislative nature, the preparation of detailed instructions regarding the publication of final theses at Charles University has been halted. The university commissioned a legal analysis of how and to what extent the current amendment of the University Act contradicts the letter of the Copyright Act, and the

[15] See previous footnote.
[16] Czech Press Agency news of May 25, 2006.

university's rector can not exclude the possibility that the University Act may have to be amended again.[17] On the other side of the scale, some parties have voiced the opinion that the solution proposed in the University Act should be carried out in its fullest extent, and that it is the Copyright Act that is at fault. They pin their hopes on its amendment, which is currently prepared by the Czech Senate.[18]

Regardless of the lull in the work on directives regulating the access to final theses, the Charles University Computer Centre continues to work on technical provisions for their accessibility within the project of Development of Information and Communication Technologies of the Charles University of Prague.[19]

The most recent development of this issue comes with the decision of the top administration of the Masaryk University in Brno, who decided to provide access to the full text of all final, i.e., bachelor, master, 'rigorous' (doctoral), and PhD. theses using the information server of the university starting September 1, 2006. All theses defended after January 1, 2006, when the amendment of the University Act came in effect, will be thus published. Previously defended theses will only be published by author's permission. Any potential misuse of thus published works should be prevented by unique software designed to spot plagiarism.[20]

Prospects of Archiving Final Theses

The massive increase in the number of final theses in the last 15 years, resulting from a rise in the number of universities in the Czech Republic and subsequent growth of student and graduate numbers, presents university archivists with many challenges. (Statistics of numbers of universities and their graduates are listed below.) In some cases, archives have neither enough space nor sufficient personnel to process the filing of hundreds of theses copies that, in accordance with destruction terms, arrive into university archives. In recent years, university archivists started discussing several alternative approaches to this veritable flood of theses. In the age of swiftly progressing information technologies, the option of archiving only the electronic form and making only that accessible seems to offer itself. Yet even here,

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[17] Idem.
[18] Petr Zídek, Zpřístupnění diplomek vázne [Accessibility of Master's Theses Nowhere in Sight].
[19] http://uvt.cuni.cz/
[20] ČTK (Czech Press Agency) news release of August 31,2006.

considerable obstacles of both technical and legal character present themselves. They arise both on the final theses producing end (universities) and on the side of the recipient (university archives).

We have already discussed the options, or rather duties, which universities have regarding the provision of access to final theses. The new, unclear or unfinished, legislation fails to specify whether the electronic form of a final thesis should be only an abstract of the full text available in a printed copy or whether perhaps two identical versions – an electronic and a printed one – should be filed.[21] Yet another option currently discussed is a future transition of universities to electronic versions of final theses only. For the educational purposes of universities, all three options seem in principle suitable. Regarding the provision of access to the general public, however, the above-mentioned legal obstacles have to be taken into consideration. Archives, on the other hand, face yet another set of difficulties.

Among university archivists, various views on the extent of archiving final theses, especially their printed copies, are being defended. In the last two years, a discussion of final theses featured in every regular working meeting of Czech university archivists. Representatives of the Archive of Charles University have been advocating a 'conservative' approach, which seems warranted by the long tradition of their university and its archive. Their experience with similar material of historical origin (see below) as well as still sufficient space allows them to champion a maximalist view and archive all final theses. Archivists from some smaller and much newer universities tend to be radical in the opposite direction – they would prefer the archiving of only the electronic version of final theses, most of which they will be receiving in the future.[22] There is a general consensus, however, that the new legislation and the progress in information technologies permits a degree of selection of final theses as archive material and that such selection may even be desirable.[23]

Even though most university archivists would either welcome or at least tolerate the archiving of only the electronic versions of final theses handed over to them by the schools, this option is incompatible with some existing directives of the Archive Administration. The

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[21] This option is incorporated for example in the new Study and Examination Regulations of Charles University, Article 18a, Section 8, which states that "Students shall deliver a final thesis intended for defence in a printed copy, and, its nature allowing, also in electronic form (...)"

[22] For example P. Grulich from the University Archive in Hradec Králové, who in his paper University Final Theses (Their Situation with Respect to Archiving, Filing, Digitalisation, Accessibility, and the Licensing Policy of Universities) presented his vision to his colleagues at the National Meeting of University Archivists in October 2005. See also his paper from a national archivist conference in May 2005, available at http://www.cesarch.cz/detail.aspx?typ=n&id=250.

[23] See, e.g., the presentation of Pavel Urbášek, archivist of the Palacký University in Olomouc, Publication of Final Theses and Their Selection as Archive Materials, delivered at the Meeting of University Archives and Registries, which the Archive Administration organised in February 2006.

problem partly lies with the still on-going discussions of technical standards of electronic carriers and their status as an equally valid replacement of classical archive materials. In response to a certain amount of pressure from university archivists, who wish that such standards be set and adopted, representatives of the Archive Administration have promised to prepare a procedure for a selection and filing of final theses. By now, the Archive Administration is now positively disposed to allow university archives to file newly arriving final theses only in their electronic form.[24]

The particulars of keeping and accessibility of final theses, its technical, administrative, and legal aspects, are now being discussed also by university librarians. An 'Expert committee for issues of electronic availability of university final theses' now works within the Association of University Libraries in the Czech Republic. Their results shall most certainly lead to an improvement in accessibility of existing final theses. The preservation of this material for future generations, however, lies with the archives, and is therefore outside the mandate of this committee.

Methodical directives of the expert committee, existing directives of some universities and their libraries, as well as legal analyses of the relevant legal norms (Copyright Act, University Act) are accessible and regularly updated on the website of the Association of University Libraries.[25]

Final Thesis as a Historical Source

The maximalist approach of the Charles University archivists with respect to archiving and subsequent accessibility of contemporary final theses is based on their long-term historical experience with similar works. Being the oldest and largest university archive in the Czech Republic, we manage the collections of Central Europe's oldest university – Charles University of Prague was after all founded in 1348. In our collections, there are, for example, 134 volumes of collected philosophical, medical, legal, and theological dissertations written in the period of 1669—1820.[26] Our archive also houses an incomplete collection of doctoral dissertations from both Prague universities (Czech and German) from 1882–1954 (1953). Both collections constitute a unique material for the study of education, science, and teaching,

[24] Information provided by Jiří Úlovec at the II. National Meeting of Czech University Archivists in June 2006.
[25] http://www.cvskp.cz/sd.php
[26] Location numbers A72, A73, A74; compare Karel Kučera and Miroslav Truc, Archiv Univerzity Karlovy. Průvodce po archivních fondech [Charles University Archive. Archive Collections Guide], Prague, 1961, p. 127-128.

as well as the cultural history of Bohemia and Central Europe from early modern period up until the 20th century. These works document not only the first professional publications of graduates who frequently went on to become teachers and scientists, but also the teaching abilities and scientific standards of their professors, often personalities of international importance. Of the most notable dissertations' supervisors, let us only mention the work of Ernst Mach at the German or Tomáš Garrigue Masaryk at the Czech university.[27]

Statistics

Regarding the volume (number) of final theses, annually arriving and expected to arrive to the Czech university archives, including the Archive of Charles University, one can only mention a few numbers, which may in many respects be hard to compare.

In the school year 2004/2005, there were 63 universities in the Czech Republic, of which 25 were public, 36 private, and 2 state-run (police and military academies).

In that year, these 63 universities were attended by 298,196 students. Of that number, 274,962 studied at public, 19,120 at private, and 4,114 at state universities.

In the school year 2004/2005, the greatest number of students (47,257) attended the Charles University in Prague. The following other universities had over 10,000 students (in increasing order): Czech University of Agriculture in Prague, University of West Bohemia in Pilsen, University of Economics in Prague, Palacký University in Olomouc, Brno University of Technology, Technical University in Ostrava, Czech Technical University in Prague, and Masaryk University in Brno, which is the second largest university in the Czech Republic.

The number of students at private universities, which focus mainly on finance and management, does not usually exceed 3,000 per school.

In the school year 2003/2004, a total of **36,748** students graduated from the -- then existing -- 24 public universities. Of those, 1,411 finished their doctoral study (PhD.). The sum of these two numbers then approximates the total number of final theses produced annually in the Czech Republic.[28]

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[27] Disertace pražské university 1882-1953, I, Česká universita, [Prague University Dissertations 1882—1953, Volume I, Czech University], Prague, 1965, p. 479 nn.; Disertace pražské university 1882-1945, II, Německá universita [Prague University Dissertations 1882—1945, Volume II, German University], Prague, 1965. p. 230 nn.

[28] Statistická ročenka České republiky [Statistical Yearbook of the Czech Republic 2005], Prague, 2005, Figure 21.31-21.37, p. 640-645.

A total of 5,572 students graduated in 2003/2004 from bachelor, master, and doctoral programmes of Charles University's 17 faculties. Graduates of master programmes in the medical schools, however, do not write master's theses, which brings the total number of bachelor, mater, and doctoral theses down by approximately 1,200, that is, to about **4,300**. The number of graduates also does not reflect the number of 'rigorous' theses, defended after a master's programme: some of these works are identical with master's theses, others are their variation, and only some are completely different.[29]

In 1882—1953, the two (later three) faculties of the Czech Charles University produced 5,691 dissertations. Of that number, 3,346 were written at the Faculty of Philosophy (which, until 1919, included the natural sciences), 2,136 at the Faculty of Natural Sciences (1920—1953), and 209 at the Faculty of Education (1946—1953). Graduates of the Faculty of Medicine did not write dissertations, and dissertations written at the Faculty of Law and Faculty of Divinity are not included in the list (this holds also for the German University)[30]

At the German University in Prague, corresponding numbers for the period of 1882—1945 are somewhat lower: 1,857 dissertations at the Faculty of Philosophy, and 861 at the Faculty of Natural Sciences (after 1920). The total number is therefore 2,718 dissertations.[31]

Conclusions

Present day situation in the sphere of publication and archiving of final theses at Czech universities can be described as problematic, confused or even chaotic. Main reasons for this complicated situation are not primarily technical, financial or oragnizational, but legal. Legislative obstacles come from "shared concerns and responsibility" for dissertations. Process of archiving and publishing of final theses is subordinated to three different institutional spheres: academic, librarian's and archival, that are further subordinated to three segments of legislative and state administration, i. e. Ministry of Education, Youth and Sports, Ministry of Culture, and Ministry of Interior. Shared responsibility thus can be counter-productive to some extent.

[29] Výroční zpráva o činnosti Univerzity Karlovy v Praze za rok 2004 [Annual Report of the Charles University for 2004], Prague, 2005, Figure III-4a, 4b, p. 80-81.
[30] Disertace pražské university 1882-1953, I. [Prague University Dissertations 1882—1953, Volume I]
[31] Disertace pražské university 1882-1945, II, Německá universita [Prague University Dissertations 1882—1945, Volume II, German University].

ICA SUV
Shared concerns and responsibility for university records and archives
Reykjavik, September 2006

Promoting university archives – what are we selling?

Karl Magee
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Every week the staff of the University of Stirling are sent an e-mail entitled 'Media Briefing'. This message contains details of all the media references to the university and quotes and appearances from university staff in the media for the previous week. Generally it is a list of academic achievement – academic staff being asked for their expert opinions on events and postgraduates publicising their groundbreaking research. However it is also where the efforts of other university staff are recorded. Many of you may receive similar bulletins in your institutions. It is a measure of how important publicity is for the university. Alarms would be raised if there was a week where there was nothing to record...

And for those members of staff who excel in raising the profile of the university there are now additional rewards available for their efforts. Every quarter the member of staff who gets the most media hits becomes a 'Stirling media star' and receives a magnum of champagne and book tokens. At the end of the academic year the person with the most hits is treated to a meal for two with champagne. These prizes are a clear example of how university staff are encouraged to engage in promotional work.

Before we go any further I'll say a little about the University of Stirling:

- The university is located a short distance outside the historic city of Stirling. Nestled beneath the Ochil Hills, the campus has a beautiful loch and the 18th century Airthrey Castle at its heart. The views around the campus are breathtaking and change dramatically through the seasons. The buildings have been designed to harmonise with the landscape and all facilities are a short walk from each other, ensuring the students have easy access to everything they need.
- 9,000 students study at Stirling, comprising 7,000 undergraduates and 2,000 postgraduates
- Over 80 nationalities are represented on campus and 14% of students come from outside the UK
- The *Times Higher Education Supplement* put Stirling in the top 20 of UK universities for the quality of its teaching in its 2005 survey
- The *Times Higher Education Supplement* also ranked the university first in Scotland for Communications and Media Studies; first in the UK for Social Work; and 2nd in Scotland for Environmental Science

- Stirling was the first university in the UK to introduce the semester system and it also has one of the lowest dropout rates in Scotland with 90% of students completing their course in the expected time
- The university boasts 5 star sports facilities which are used by the Scottish Rugby Union Team and Falkirk Football Club (who play in the Scottish Premier League). Students who have benefited from these facilities have recently competed at the 2004 Olympics and the 2005 World University Games.
- The university's sporting success continued last month when one of our students, Richie Ramsay, followed in the footsteps of Tiger Woods by winning the US Amateur Golf Championship – the first Scot to do so for over 100 years.
- The university is justifiably proud of its art collection which comprises over 350 works including paintings, sketches, tapestries and sculpture from a variety of artists including the Scottish colourist J D Fergusson. A generous budget was allocated to the art collection in the early years of the university – with 1% of the cost of each new building being earmarked for the purchase of artworks to decorate it.
- The university strives to put as many of its artworks as possible on public display in its buildings and around the campus to further enhance the beautiful surroundings

In Stirling all aspects of public relations and publications are looked after by the Communications and Development Office. The stated objective of the Office is *"to promote an accurate and positive image of the University of Stirling to its key audiences."* Its functions also include:

- Alumni relations
- Fundraising
- Implementation of advertising and visual identity policies
- Design and management of university website
- Organisation of university events (including graduation)

I'm sure the Communications & Development office would be happy with the job I've done promoting the university so far. And I haven't even mentioned the university's archives yet!

* * * * *

In 2007 the University of Stirling will celebrate its 40th anniversary and a year-long programme of events is being planned to mark this milestone.

But why make such a big deal about turning forty? Would fifty years not be a more appropriate anniversary to celebrate – half a century of academic achievement being something worth raising a glass to?

Forty may not seem like a 'big' anniversary to celebrate but in the competitive climate that exists in the higher education sector in the UK this particular

milestone has been jumped upon by a number of universities as a promotional tool in recent years – and Stirling is no different.

There is a large group of British universities turning forty in this decade. They were all founded in the 1960s when there was a growing demand for increased access to higher education. The green light for this huge expansion of higher education in the 1960s was given by the Robbins Report. This report, commissioned by the British Government, was published in 1963 and it recommended that a number of new universities should be established on green-field sites (such as Stirling) and that existing technical colleges should be promoted to university status. It also introduced the principle that higher education should be available to all. By the end of the decade the landscape of higher education in Britain had dramatically changed with many new universities widening access to third level education.

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As part of my research for this talk I though it would be useful to look at how some of the other universities founded in the 1960s celebrated their 40th anniversaries. A quick review of their web pages revealed the institutions that had decided to make the 40th anniversary a major event. I contacted the archivists and librarians responsible for the archives of these universities to find out their experiences during, and contributions to, the celebrations. I was particularly interested in finding out:

- The importance placed on archives and the history of the university by those planning events
- The involvement of archivists in planning events
- The effects (both positive and negative) the anniversary celebrations had on the university archives service

I received some very useful and informative responses which provided an insight into the variety of ways archives and archivists can contribute to celebrations and the opportunities and pitfalls that may arise.

The extent of the involvement of archives services in events varied greatly from university to university. The range of involvement ran from simply supplying a number of historical images of the university for commemorative publications to archivists sitting on the planning committees co-ordinating events across the university. The most common contribution to the celebrations was the traditional exhibition of archive material, normally in the university library.

One university, where the institution's archives are held in the library's special collections department, used the 40th anniversary celebrations as an opportunity to design and distribute a booklet providing a guide to its Special Collections. The booklet, complete with the corporate 40th anniversary branding, gave the Special Collections Department its own piece of promotional material which is now handed out to visiting dignitaries and

guests. The librarian was very happy with the effectiveness of the booklet and informed me that it *"creates an awareness of our archives and special collections which stretches beyond the confines of the campus".* Indeed he recently was informed that *"members of a committee charged with finding a suitable home for its archives were persuaded to choose our Special Collections Department after receiving copies of the booklet."*

In another university currently celebrating its 40th anniversary the archivist was invited to join the planning committee for the celebrations. The committee was chaired by the registrar and included representatives from marketing, music, theatre and sport as well as academics and members of the Student's Union. The timing and nature of the major events had already been decided at a more senior level but the planning committee was charged with organising the details of these events and also with encouraging all sections of the university to come up with their own events under the 40th umbrella. The main role of the archives service was in supplying historic images to various events and publications. The archives service had a big presence at the alumni reunion day – a stand showing material from the university archives proved very popular, with the archivist noting that it provided *"a great opportunity to see how alumni responded to different types of material".* The key items on display were an aerial view of the university being built, old student magazines and photographs of graduation ceremonies.

This archivist felt that the 40th anniversary is a particularly interesting one as *"it is probably the last one where living memory can still play a part – large numbers of original students will be living and active and original members of staff may still be working at the university."* They went on to note that *"there is always a tension between the history, the documentary evidence we have and how marketing want to present it. But there is also a genuine interest and understanding, particularly among the academics."* In October the university is running a day school on the history of the university, which will be illustrated by the archives service with a major display of historic material. Rather than stretch their limited resources the university archives decided to make the best contribution they could to other events that had already been planned. The 40th anniversary has proved a positive experience for this particular respondent who noted that *"the celebrations have already helped to raise our profile within the university and with alumni and this will become more noticeable as more events take place. I'm sure donations will result, both of university and other material."*

Some archivists however chose not to become too closely involved in their university's celebrations. One archivist who replied to my enquiry said that they had deliberately limited their involvement to the supply of a few photographs for the university's 40th anniversary booklet. In this case the administrative structure was such that the university archivist was also responsible for Data Protection and Freedom of Information issues. Sometimes, as in this case, promotional work is a luxury that an archivist cannot afford. For this particular respondent the promotions and celebrations would have to wait until the 50th anniversary – at a time when the demands placed on them by Data Protection and Freedom of Information will (hopefully)

have reduced and the university's archives will be fully catalogued allowing maximum use to be made of the resource.

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So where does Stirling fit into this range of experiences? Well, I suppose at the moment we're somewhere in the middle. The university will be holding its 40th anniversary celebrations from September 2007 to September 2008. We are currently at the point where we are trying to get those responsible for planning the 40th anniversary events interested in using the university's archives. And I have to admit that we are doing this because we hope that additional exposure for the archives generated during the celebrations will benefit the archives service.

For many years the university took an ad hoc, unregulated approach to the management of its archives. This was seen to be acceptable in a young institution when the amount of records produced was relatively small and its 'memory' was maintained by the staff who had worked there since its foundation.

As long ago as 1975 the university set up a working party to look at making provision for a university archives service. Its remit was *"to examine existing procedures for the preservation of the university's documents and make recommendations to the university court for their provision."* As part of this process the group sent out a circular letter to other British universities of similar age and size asking for information on how they dealt with their records. The responses received from other universities are included in the files of the working party and are an interesting set of documents as they show the wide variety of approaches that were taken to the common problem of dealing with the increasing volume of administrative records in universities the 1970s.

The files of the working party also include a copy of a questionnaire about archives provision in Commonwealth universities founded since 1945 sent to Stirling by researchers at York University in Canada in 1978. The unregulated approach to the management of the university's archives was reflected in the answers given in the questionnaire and up until very recently the same answers would have been given as those in 1978.

However, in a report commissioned by the university in 2001 on 'Records, Archives and Information Management' a consultant recommended that this approach be reassessed. He noted that *'non-current records are almost impossible to retrieve in many parts of the university'* with *'the storage areas used to house them representing a very poor utilisation of space.'* In addition the continued memory of staff was being broken as many people who had worked for the university since its early years were retiring, taking their knowledge and expertise with them.

The university implemented the main recommendations of the consultant's report in 2002 appointing a University Archivist and Records Manager. However it was soon found that the demands of implementing, and ensuring compliance with Freedom of Information and Data Protection legislation combined with the need to develop a records management programme meant that no time could be devoted to the preservation and protection of the university's archives. The term 'Archivist' was dropped from the job title in 2004. We now have a University Records Manager, but no University Archivist.

The university has however learnt through experience that a separate post of archivist is required to manage the historical records of the institution. In 2003 the Records Management Office was created. It ensures compliance with Freedom of Information and Data Protection legislation and provides advice on the management of current records. The university has also been successful in securing external funding which has allowed important work to be carried out on archival collections held in the Special Collections Department of the University Library. These developments have highlighted the lack of attention that has been paid to the university's own archives.

The 40th anniversary provides a great opportunity to raise profile of the university's archives and put the service on a proper footing. In a situation that I'm sure has also occurred in other institutions archive material relating to the history and development of the university found its way to the university library over the years. This material forms the foundation of the university archives and the starting point for a university archives service. In recent months initial approaches to other departments, combined with the effects of administrative re-organisation, have led to additional material being transferred to the nascent archive.

However without an archives policy in place in the university some offices and departments may be reluctant to part with archival material. Alumni and ex-members of staff may also be unaware that there is somewhere in the university where they can donate photographs and memorabilia. It is our hope that the 40th anniversary will enable us to raise the profile of the archives and that we can increase our holdings on the back of the increased interest in the history of the university generated by the celebrations.

To achieve this we need to have an effective working relationship with the Communications and Development Office who are leading the celebrations.

* * * * *

The media profile of some of our other archive collections has helped in drawing attention to the value of archives as a promotional tool. One of the most high profile collections the university holds is the personal and working papers of the film director Lindsay Anderson. Born in 1923 Anderson is one of the most important figures in the history of British film and is perhaps best

known as the director of If..., his 1968 film of schoolboy rebellion starring Malcolm McDowell.

2004 was the tenth anniversary of Anderson's death and this occasion was marked by the publication of several books about the director, retrospectives of his work at film festivals, newspaper articles and television documentaries. The Anderson collection was heavily used at the time. We provided content for the books that were published, exhibitions for film festivals, and illustrations and quotes for newspaper articles. We worked very closely with the makers of a television documentary about Anderson which was broadcast on BBC 2 in August 2004 (to coincide with a major retrospective of his work at the Edinburgh Film Festival). The documentary used extracts from Anderson's diaries, which form part of the collection held in Stirling, to illustrate key points in his life. I took the diaries, and other documents and photographs, to the BBC studios in Glasgow where they were filmed using a rostrum camera. The footage, which was heavily used in the programme, provided an interesting illustration of Anderson's life (and for the programme makers, it was also much cheaper than paying for the rights to use long clips from his films). The programme certainly alerted our Communications and Development Office to the value of our archives holdings as a promotional tool. The exposure that the university received through the programme was seen as being as effective as paying for an expensive television commercial – archives allowed the university to achieve widespread exposure for little cost.

However earlier this year the Lindsay Anderson collection landed us in the middle of an unexpected and unwelcome media storm. In 1985 Anderson was invited by the pop group Wham to make a documentary of their historic tour of China. Anderson's film was not the pop promo that the band expected and he was removed from the project. A new version of the documentary was produced – more of a concert film it removed much of Anderson's fly-on-the-wall scenes of the band and images of China. However the collection held in Stirling includes a copy of Anderson's original film, which has never publicly been screened. The film has attracted a great deal of interest (or perhaps more accurately curiosity) and as part of our ongoing efforts to promote the Anderson collection we planned to screen the film in the university's MacRobert Arts Centre in April. We received permission from Sony Music (who, as far as we knew, held the rights to the film) and advertised the screening. However a few weeks before the film both ourselves and Sony received angry phone calls from George Michael's manager demanding that the screening be cancelled. Reluctant to get dragged into an unnecessary struggle (or even legal battle) the university acceded to Michael's wishes and the screening was cancelled.

A number of newspapers (including *The Independent* and *The Sunday Times*) picked up the story and ran stories about the clash between the vain young pop star and the angry, eccentric old film director. The local newspaper, the *Stirling Observer*, reported that *"Local Wham fans have been left disappointed after rare footage of the 80s pop duo due to be screened at the MacRobert theatre was banned."* I, of course, was misquoted in a number of stories, or at least I think I was as I don't remember saying to the *Sunday Times* that the

reason for the cancellation of the screening was because of *"the vanity of those involved"* – this experience should provide a good reason to keep a detailed, accurate record of everything you say to the press!

The end result of the affair was that rather than having a quiet single screening of the film in the university cinema for about 50 people, a spicy story of celebrity scandal was reported in the local and national press (and picked up on a number of internet sites).

Was the Press Office embarrassed by the salacious reports that were generated? Or annoyed by the stress of dealing with an unexpected deluge of media enquiries? No, on the contrary, they were delighted with the exposure that the university received – a number of major stories in the news sections of national newspapers. The affair provided them with an unexpected bonus in their continued efforts to keep the university in the public eye.

* * * * *

When we turned to addressing the university's 40th anniversary the relationships we built with the press office over the last few years relating to the Anderson collection helped greatly in promoting the value of the university's own archives. The press office also provided us with a valuable introduction to the other sections of Communications & Development who will be involved in the planning and organisation of events during the 40th anniversary.

For example the people responsible for Stirling Minds, the magazine for alumni and friends of the university, were put in contact with me as they were looking for some 'old photographs' of the university to illustrate an article. They were very happy with the initial selection I sent them – in particular a pair of photographs which showed students at work and play in the 1970s. From this initial contact we are now working on a project where an appeal will be made through the magazine for photographs and memorabilia relating to the university. This will hopefully capitalise on the celebratory spirit generated by the 40th anniversary and result in the donation of a large amount of material which will provide another valuable perspective on the growth and development of the university.

I mentioned at the beginning of the talk that the university was celebrating its 40th anniversary as it was a promotional opportunity that was too good to miss. The other main reason for the celebrations is that it provides the university with a chance to undertake a year long fundraising campaign. One of the main targets for fundraising is raising money to fund a major redevelopment of the university library – so if these efforts are successful they will have indirectly benefited the archives as this is where our collections are stored. A Director of Fundraising is to be appointed to oversee fundraising efforts and will join the Communications and Development Team – yet another person who will have to be shown the value of archives.

* * * * *

As archivists we should be well aware of the opportunities that significant dates, anniversaries and commemorations offer us. We often try to raise the profiles of collections we hold and increase use of the facilities we offer by, for example, celebrating the anniversary of the birth of death of a famous person whose records we hold. We shouldn't therefore be surprised when our universities try and use anniversaries for similar reasons.

It appears to me that an old reluctance to deal with the media, a distrust of television crews and concerns over the misuse of records has disappeared in recent years. This is due, in part, to efforts made at a national level to raise the profile of archives in the UK. Since 2003 the Archives Awareness Campaign has provided a banner under which archives can run promotional events as part of a bigger national campaign. It also acts as a leading advocate for the profession at a national level and works with the press and broadcast media to generate archives-related news stories.

Online professional discussion lists used to regularly feature debates about the pros and cons of allowing TV crews to handle, or even film, archives. These debates have disappeared as the profile of archives on British television has risen dramatically. There have been a number of very successful programmes in recent years that have featured archives. The most notable of these is Who Do You Think You Are? which follows celebrities around archives and libraries as they research their family history. Perhaps all the concerns and worries were forgotten when a star, someone off the television, appeared at the door. However, I feel it is part of a growing awareness of the value, and perhaps more importantly, necessity of engaging in promotional activities – and the biggest audience for your archives is always going to be television. Another benefit of this increased exposure of archives and archivists on television is that it has helped to dispel the old lazy, stereotype of dusty archives as modern repositories are seen by the public, often for the first time.

As preparations for the 40th anniversary of the foundation of Stirling University begin we are faced with an opportunity to put the university archives on a firm footing. Our contributions to the celebrations will help to achieve the university's aims of raising its profile and (hopefully) raising money. For the archives service we hope that our participation will:

- Raise our profile within the university
- Raise the profile of our collections outside the university
- Result in additional material being donated to the archives

If, next year, you come across mentions of our activities – in the press, professional literature, or online, we'll have done our job.

Privacy and Archival Protection

Presented by Þórður Sveinsson
Legal counsel for the Icelandic
Data Protection Authority

Data Protection Principles

- Transparency principle
- Purpose limitation principle
- Proportionality principle
- Accuracy principle
- Data retention principle
- Security principle

Transparency Principle

- Research purposes
- Direct marketing

Purpose Limitation Principle

- Research purposes
- Direct marketing

Proportionality Principle

Only necessary data should be processed

Access to data

- In general
- To data on grades
- To data on students' assessments of lecturers
- To sensitive data, e.g. on disabled students

Accuracy Principle

- Rectification of digital data in the light of archival laws

Data Retention Principle

- Official sector vs. private sector
- Archival laws
- Manual and digital data
- Different categories of data within educational institutions
- Rectification of digital data in the light of archival laws

Security Principle

- Formulation of data security
  - Security policy
  - Risk assessment
  - Documentation of security measures
- External (physical) security and internal (computer) security
- Internal audit

FREEDOM OF INFORMATION LAWS IN THE UNIVERSITY ENVIRONMENT: A CHALLENGE TO THE ARCHIVAL MISSION?

International Council on Archives
Seminar on Archives of Universities and Research Institutions
Reykjavik, Iceland 15 September 2006

William J. Maher
University of Illinois at Urbana-Champaign

As with many other American college and university archivists, I carry an unwritten assumption to work each day.[1] It infuses all archival functions I conduct from appraisal through description, preservation and research services. The assumption is that the University Archives should be the definitive resource for any historical information about the university. To meet this expectation, the archives needs to be proactive in selecting records, building access systems, creating an environment that protects them, and serving students, faculty, and others who want to examine them. Because we operate in a world of limited resources, exercising this responsibility also means archivists need to defend and protect our primacy among campus units that supply records and information to the public. Clearly, there are university information services that do not challenge the exclusivity of our claim, such as the news bureau, the transcript office, or the prospective student publicity office. However, for most individualized information and records requests, the University Archives should have the primary role.

For the first 20 years after our 1963 founding, the University of Illinois Archives held this position both by the fact of the services we provided and by the absence of any competing mandate on campus. Consistent with an Illinois Attorney General's 1964 opinion, the University's *Statutes* recognized ours as the final authority when deciding the ultimate fate of all campus records. By dint of effective practice, our public and academic users knew that if they could not find answers from us, there was no other coherent means to pursue their question. Of course, we and they knew that our scope was limited to inactive administrative records and manuscripts, and that the archives was best suited for topics 20 years old and more.

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[1]The author would like to acknowledge the funding assistance of the UIUC Library's Research and Publication Committee and the invaluable research assistance of John V. Franch.

This well-ordered universe suddenly came to an end in 1984, not because of any failure of our system, but because of much broader forces affecting Illinois law as a whole. Ever since the 1966 enactment of the federal U.S. Freedom of Information Act (FOIA), journalists, civil liberties groups, and attorneys had been lobbying the American states to pass their own FOIA or public records acts. In 1983, after Mississippi became the 49th state to adopt a FOIA, Illinois' legislators were finally shamed into joining the rest of the country.[2] They adopted a law mandating state agencies to comply with public requests for information and records of state government institutions. As a state agency, the University of Illinois was automatically included.

During the summer of 1984, we spent considerable time as part of a cross-campus task force to develop implementation procedures, state-compliant response guidelines, and a list of records held by the university to aid the public in formulating requests. A key question was which campus office would be the best place to receive and process requests under the Illinois FOIA law, known as IFOIA. The options included the secretary of the Board of Trustees, legal counsel, library, archives, and public affairs. In the end, the president assigned the responsibility to Public Affairs, probably because they were experienced in dealing with journalists and often were most familiar with the breadth of current activities on campus that they assumed would generate the greatest demand under IFOIA.

The University Archives, which then had only a small staff of two professionals, was relieved to have been passed over for this assignment, but we did begin to wonder how often IFOIA requests might end up superseding archival inquiry, causing us to be less valued and used. Over the next 20 years, as the Archives continued to grow and as our overall level of use rose by more than 52 percent, we began to worry less about being superseded, and we even came to refer

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[2]Jeffrey M Shaman, "Illinois Votes for Secrecy," *Chicago Tribune,* February 2, 1983, p. 19. "Illinois: We're Number 50," *Chicago Tribune,* April 3, 1983, p. A6. "The Legislature's Score Sheet," *Chicago Tribune,* July 13, 1983, p. 18.

some of our users to the IFOIA office if their requests involved current or very recent records not yet transferred to the Archives. We also found it convenient to make referrals involving information for someone who had an obvious grievance with the University, such as a disgruntled faculty member or an unhappy landowner whose property was being affected by University planning, or when we knew recent relevant records might exist but involved confidentiality issues.

Whether it was a good idea to applaud the assignment of IFOIA administration to someone else bears reconsideration, certainly in the context of the electronic information age. As that age has proceeded, we have seen how the new records environment requires archivists to be proactively engaged in current information systems. Thus, the fact that IFOIA is administered by the Public Affairs office has given us recurrent worries about our mission. Specifically, we have been concerned that by answering a breadth of information inquiries from university records, the IFOIA office is rendering the University Archives less relevant. So, as much as we were relieved by not having to accept the burden of FOIA administration in 1984, we have regretted the further distancing from current information operations it has meant.

Although Illinois may have lagged seriously behind all other states in passing a freedom of information law, our experience of having the FOIA administration placed outside of the archives is consistent with every other U.S. public university with which I am familiar. For example, within the consortium known as Committee on Institutional Cooperation, essentially the Big Ten athletic conference schools, none of the ten public university archives programs are responsible for FOIA administration. Instead, such requests are handled by the public affairs offices in five institutions, the legal counsel's office in four institutions, and the President's Office in one institution. So perhaps there is comfort in numbers, but as a professional, I am not sure that academic archivists should be ready to walk away from the fundamental issues involved, and I for one wanted to know much more about how Illinois' FOIA actually worked in relation to

university records. So, in 2002, when we were first approached by the campus Public Affairs Office to appraise and prepare a records schedule for their IFOIA administrative files, I saw an opportunity to address my questions. On review, we found that they had retained a case file for every inquiry received. The files included requester information, response letters, excluded documents, redacted documents, and appeals. We agreed that all the files had a value for understanding how effectively the University was fulfilling its mandate for public accountability, and we therefore ordered the transfer of these case files to the University Archives. In January 2005, we accessioned a total of 43.0 cubic feet of IFOIA case files which have become the basis of the current study.

The files have enabled me to study not only how IFOIA is being used, and how responsive or non-responsive the University has been, but also how all this relates to records and information services of the archives. With funding from the Library's Research and Publication Committee, I employed a six-year veteran archives graduate research assistant to examine a systematic random sample of the files. Because all of the 1,607 original files were numbered consecutively, it was easy to apply a random number sample. We started with a target sample size of 311, which allowed a 95 percent confidence level at a 5 percent confidence interval. To account for a few instances of assignment of numbers to cases for which no file existed, we oversampled slightly. In the end, we had a sample of 314 requests. Two of those requests had been withdrawn before the University had an opportunity to respond, so for some of the later variables in the study (Tables 6 and 7), there are only 312 cases.

Table 1: Number of Requests

Random Sample N=314

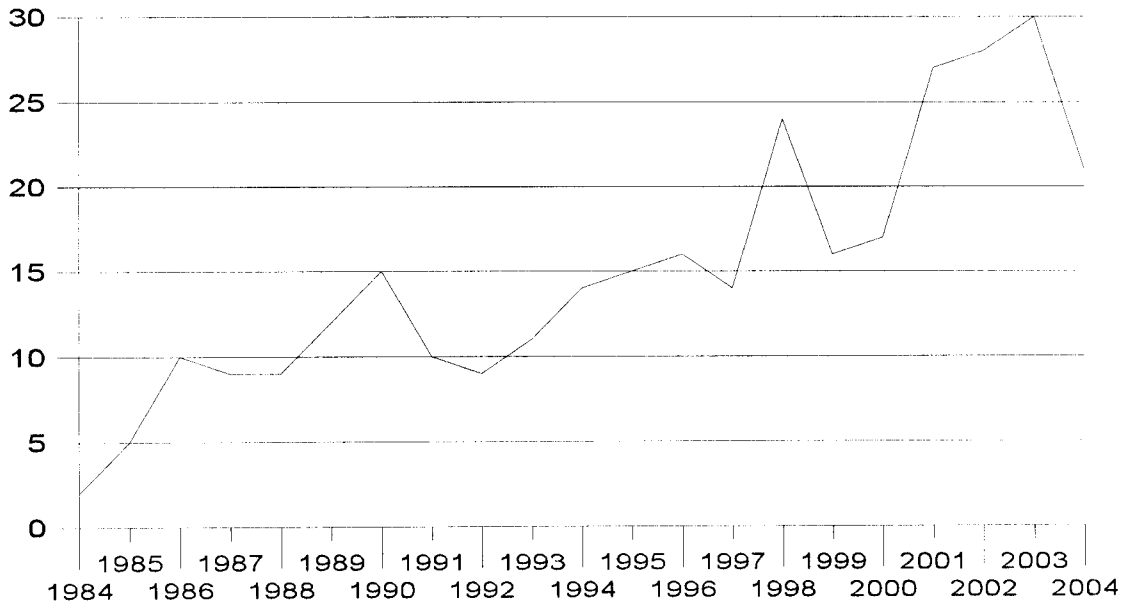

Table 2: Individuals Making Requests		
Number of Requests Submitted	Persons Making Request(s)	Resulting Number of Requests
One	223	223
Two	16	32
Three	6	18
Four	3	12
Five	3	15
Fourteen	1	14
	252	314

Table 3: Classification of Requesters n=314	
Unknown	2
Non-academic staff	10
Facutly	22
Attorneys	26
Business	27
Labor Unions	29
Journalists	51
Students	68
Public	79

Table 3: Classification of Requestors

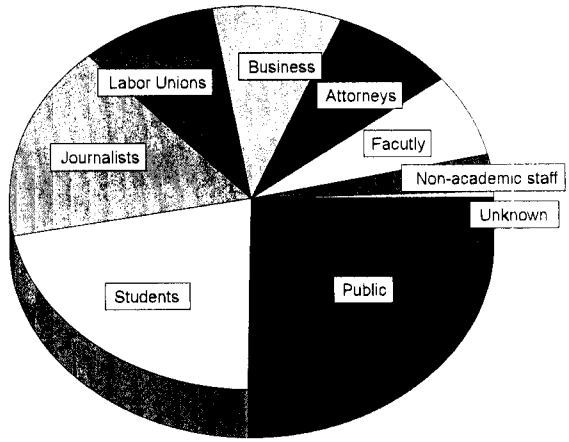

Table 4: Purpose of IFOIA Request		
PURPOSE	NUMBER	PERCENT
Information relating to a family member	6	1.9%
Academic research	13	4.1%
Claim against a third party	18	5.7%
Labor relations	20	6.4%
Advocacy for social or political cause	27	8.6%
Business/commercial	28	8.9%
Grievance or claim	28	8.9%
Information about the requester him/herself	56	17.8%
Journalism	57	18.2%
Undetermined	61	19.4%
TOTAL	314	

Table 5: Topic of Documents Requested				
Accreditation	1		Personnel	4
Crime	1		Self	4
Discipline	1		Uni High School	5
Health	1		General	6
Academic	2		Animal Treatment	11
Accident	2		Faculty Member	12
Donations	2		Collective Bargaining	14
Student	2		Demographic	14
Chief Illiniwek (mascot controversy)	3		Athletic, Coaches & NCAA	24
Environmental	3		Unclassified	30
Extension	3		Audit and budget	40
Law School	3		Contract Terms	43
Architectural	4		Police Report	75
Graduate Stud/asst	4		Total	314

Table 6A: University Responsiveness to IFOIA Requests		
Amount Provided	**Count**	**Percent**
None	73	23.4%
Little	20	6.4%
Moderate	68	21.8%
Considerable	107	34.3%
Complete	23	7.4%
Uncertain	21	6.7%
	312	

Table 6B: U.S. Federal Government Responsiveness to FOIA Requests, [3] (2,584,871 requests, FY 2005)	
Amount Provided	
Denied	0.8%
Partial	4%
Full	87.2%
Not disclosed for other reasons	8%

Table 7: Reasons for Denial (University of Illinois IFOIA Requests)		
Reason	**Count**	**Percent**
Course material	1	0.3%
Preliminary Drafts	6	1.9%
Unable to Determine	9	2.8%
Other, Miscellaneous	12	3.8%
Unduly Burdensome	16	5.1%
Personal Privacy	37	11.9%
Lack of Data	39	12.5%
Specific Items in IFOIA	42	13.5%
N/A (University was largely responsive to request)	74	23.7%
Multiple Reasons (cited for denial of all the parts of the request or different reasons cited for denial of each of the multiple parts of a complex request)	76	24.4%
	312	

[3]Government Accountability Office, *Freedom of Information Act: Preliminary Analysis of Processing Trends Shows Importance of Improvement Plans,* Testimony before the Subcommittee on Government Management, Finance, and Accountability, July 26, 2006 p. 18. http://www.cjog.net/documents/GAO%20Testimony,%20Report.pdf

Table 8: Relationship of FOIA Requests to University Archives' Holdings		
Requested documents are:	**Count**	**Percent**
Likely to be held	33	10.5%
Combination of Likely to be Held and Not Held	4	1.3%
Not held	230	73.2%
Archives Holdings Should Hold These Materials	47	15%
	314	100%

FINDINGS AND CONCLUSIONS:

After looking at the IFOIA inquiries in some depth, it is apparent that this is a quite different kind of information service from what the University Archives provides. It differs in types of users, their purposes, types of documents sought, and in the interpersonal dynamics between the requestor and the University.

In broad terms, the clientele for IFOIA is significantly different. For example, in the sample study, 26.1 percent of the requesters were attorneys, businesses, or labor unions whereas these users account for less than one percent of University Archives researchers. Similarly only 4.1 percent of the FOIA inquiries were aimed at academic purposes (course papers, classroom presentations, and thesis), whereas such academic uses account for 30.2 percent of Archives use.

The structure and nature of IFOIA requests also are substantively different from the bulk of University Archives use. Of course, each request is unique, but in a broad way the differences are important. In most cases, archival use focuses on gathering a wide array of records about a specific or general event to support a general synthesis by the researcher. If a specific document or fact cannot be found, often neighboring information and records can be utilized in the synthesis, or even, the lack of a find can be used as "negative evidence." However, with IFOIA requests, the information being sought is often highly specific–a particular document, a contract, a

particular expenditure amount, or some other statistic. If the specific item cannot be found or released, neighboring information often will not satisfy the requestor in the least. With archival inquiries, when we cannot find what a researcher specifically requests, our approach is to work around the edges of the topic, often finding material that enables a new line of inquiry. By contrast, with IFOIA, if the answer sought is not there, the response is to give only a minimum of information. In other words, the responding office is authorized only to release what is specifically requested, not ancillary information.

There is, of course, some overlap between the kinds of information journalists and others seek through IFOIA and from the University Archives . Both kinds of requesters are pursuing institutional information to prepare a news story, but the fundamental characteristic of the IFOIA inquiries is that they are focused on breaking news, instances where university decisions and actions have just been made, such as responses to sanctions by the national sports accreditation agency (NCAA), or a new coach's salary, or the number of people who got sick from food at the university president's reception. These kinds of records, however, are still in the hands of active administrators, and while being *au courant* is a fine goal for an archives, it is hard to imagine how that many offices within a university could function with all of their current operating records held by an archives located across campus. So, even though these requests serve an important need, and sometimes are of enduring historical interest, there is no viable scenario by which the University Archives could meet these information needs.

But there are even more compelling reasons that a university archives should think twice before agitating to handle such requests. For those requests from individuals seeking information on themselves in police and disciplinary reports, there are specific legal and institutional rules that make it unlikely these active records would be held or managed by the Archives, sometimes even long after the records have any active administrative value. Even if we could overcome these

barriers, the records would probably become part of a series that would be tightly restricted from access without resort to the same array of institutional officers as currently involved in IFOIA management.

On top of that, an archives would be required to enforce the IFOIA provisions that prevent the release of business information that might undermine the state's position with competitive bidders, or public information which could be put to private gain, but many information requests deal with just such business contracts, lawsuits, labor contracts, and grievances. Thus, an archives would need to establish a referral and review process different from its normal practice that would involve consulting the university's legal counsel, institutional research boards, and grievant advocacy personnel in order to ensure due process for the grievant as well as to protect the legal interests of the University. Given our prior experience with restricted records, there is no doubt that the University Archives could do quite well at managing such a structure, but the result would be rather much like that currently used by the current IFOIA office. There hardly seems a point in re-inventing this wheel.

In addition, the IFOIA staff are in the line of fire for grievants in a way that the Archives are not and do not want to be. The prevailing legal advice is to interpret the law's phrase "can refuse" to mean "must restrict," with the result that what were meant to be flexible exemption guidelines for the release of information have become outright prohibitions. Thus, due to this overly restrictive interpretation of language, the IFOIA office has the unpleasant task of closing off access to information. By contrast, the prevailing culture in the University Archives, perhaps reflecting our service-oriented institutional parent, the University Library, is one of providing as much information to each user as possible. Few would want to forfeit the Archives' resultant positive public image to take on the role of rigid gatekeeper.

Independent of the archival issues, it should be noted that when looking at all of the data

from the inquiries, the IFOIA implementation does not seem to be very supportive of public access. Too much material is excluded from access by the exemptions in the law, and the percentage of denial or minimal response seems too high. A comparison of the responses in the study vs. those reported by the U.S. Federal government clearly shows the University as lagging significantly behind the federal government. In defense of the University, however, it must be noted that complaints about IFOIA implementation exist for all kinds of Illinois state institutions, not just the University of Illinois, and these have been widely reported by journalists throughout the state, and even raised prominently by the then state attorney general.[4] In fact, there were attempts to improve the law, but they encountered a mix of state bureaucratic resistance and lack of consistent attention from politicians more concerned with the 2002 mid-term elections, in which the dominant political party lost its hold on many of the state's constitutional offices, including the office of governor and attorney general.[5]

The bottom line is that the IFOIA operations and methods could, with careful planning and adequate resources, be adopted by the Archives, but there is no significant compensating advantage to taking on this responsibility. Undoubtedly, my reluctance to take on the expanded mission that FOIA administration would involve could be seen as backward-looking. It might be criticized as based on the narrow idea of archives as being only old and historic information and not serious about the breadth of records and information issues that we should engage if we want to be at the center of a university's information policy. Certainly, my perspective reflects more of a library service model than an emphasis on the role of archives as a tool for the exercise of citizen rights. However, in the absence of a change in our mandate and concomitant resources, the

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[4]"Illinois' NOT SO OPEN records," *Champaign-Urbana News Gazette,* June 25, 1999.

[5]"Tougher Information Law Urged," *Chicago Tribune*, September 27, 1999, Metro Section, p. 2.

appropriate conclusion seems to be that the existing assignment of IFOIA responsibilities to the public affairs office is working well. After all, the public affairs staff, as institutional flak agents, may be the best people to deal with public requests for information when those requests seem to emanate from citizen grievances with the institution, while the archives can focus on providing less current, and less politically sensitive, historical and research information. That said, these are only suggestions of how college and university archivists should begin to think more seriously about how they define their role in the current information environment–suggestions that should engender a discussion about the core mission of university archives.

At the end, I have come to reexamine the unquestioned assumption that opened this paper–the assumption with which I arrive at work each day, that the archives is or needs to be the primary source of university records and information. Although it is important for the archives to have a primary role in the management of all university information of enduring value, the complex modern world requires that archivists pursue their mandate less as monopolistic owners and more as expert, collaborative purveyors. Without a galactic shift in resources, archivists lack the means to assume effective responsibility for the breadth of tools and staff needed to provide comprehensive control of institutional information. In this environment, our options are limited. We could, no doubt, put forward a thoroughly articulated position paper to our administrators arguing for an expansion in our authority and the funds to fulfill a more sweeping mission. Alternatively, we could concede defeat and retreat to the idea that the archives are just historical materials far removed from any administrative or citizen urgency. Neither of these options is appealing or responsible. Instead, what our IFOIA experience has demonstrated is that, as with other current institutional information issues (e.g., establishing control over electronic records), viability for the archives' future lies in collaborative partnerships with other key campus players. By both recognizing the legitimacy of other units' authority over less archivally critical campus

information, but also asserting our pre-eminent competence over distinctly archival domains, we will find ourselves in a more realistic and stronger position to care for the records of enduring value throughout their full life-cycle. Obtaining institutional recognition for our authority cannot come by under-resourced assertions of control over activities such as FOIA. Rather it will come from effective, proactive collaboration and knowledgeable contributions to institutional information policy.

Description in US College and University Archives: Too Much of a Good Thing?

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During the last 50 years, the community of academic archivists in the United States has exhibited a split personality. On the one hand, many of those initially hired to organize college and university archives were trained in the so-called "public archives tradition." That group drew its inspiration from European archival traditions and US government archivists such as Theodore Schellenberg of the National Archives and Margaret Cross Norton of the Illinois State Archives. To oversimplify a bit, the public archives tradition emphasized the scientific, objective, and efficient management of records. It focused attention firmly on the task of preserving evidence regarding the activities of records creators and secondarily on assessing informational value; its main doctrines were provenance, *respect des fonds*, and original order.

On the other hand, many colleges and universities held preexisting special or manuscripts collections when they hired their first archivist. The management of these collections typically operated under concepts common to what has been termed the "historical manuscripts tradition." To oversimplify the situation again: those trained in this tradition drew their inspiration from historians and librarians, emphasized the informational value of manuscripts, and used item-level indexing techniques, typically within a subject-based classification scheme that had no cognizance of provenance.

Since the 1960's, academic archivists have combined elements from these two traditions into what is typically seen as an effective paradigm of archival description and management. It is usually argued that the public archives tradition dominates US archival practice, but Luke Gilliland noted in 1991 that proponents of the two traditions continue to debate the nature of the archival profession.[1] I go a step further and argue that features of the two traditions have been melded in a way which has not resolved a fundamental issue—access to collections for our users. The manner in which this unresolved tension has played out in actual descriptive practices and workflows has had contradictory effects. On the one hand, it has expanded access for a relatively small number of collections

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[1] Luke J. Gilliland-Swetland, "The Provenance of a Profession: The Permanence of the Public Archives and Historical Manuscripts Traditions in American Archival History," *American Archivist* 54 (Spring 1991), 168-70.

and institutions. On the other hand, it is impeding access to the entirety of our collections and lowering services to our users. This argument probably strikes you as counterintuitive, because it is commonly argued that the application of descriptive standards such as archival cataloging and EAD has revolutionized access.[2]

But the manner in which processing and description are currently being debated belies this idea. In what has been one of the most influential recent publications aimed at the US archival community, Mark Greene and Dennis Meissner argue that processing 'backlogs' have reached a crisis level.[3]

They argue that the application of descriptive standards and the development of electronic access tools have little or nothing to do with these backlogs. They do allow that some archives may be over-describing collections, a fact they ascribe to misinterpretation of cataloging recommendations.[4] At the same time, one must allow that much of the literature about descriptive standards evidences an uncritical overemphasis on technical minutiae. An analysis of *American Archivist* articles published between 1993 and 2002 showed that 31 of 240 (12.9%) were primarily about description and cataloging.[5] In addition, the topic dominates the newly-formed *Journal of Archival Organization*. Sixty-seven percent (38 of 57) of articles published in the journal through May 2006 treat issues closely related to description, usually technical topics such as EAD implementation.[6]

However remarkable the attention given to description may seem, the proliferation of such articles suggests a need to step back and examine overall descriptive practices vis-à-vis institutional needs and priorities. This is especially true for college and university archivists because no systematic analysis of the entire range of our descriptive practices—in particular their workflows and results—has been completed. Until that time, institutions that implement specific descriptive standards or tools may very well be putting the proverbial cart before the horse.

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[2] Richard V. Szary, "Encoded Finding Aids as a Transforming Technology in Archival Reference Service," *Journal of Internet Cataloging* Vol. 4: No ¾ (2001): 187-97; Kris Kiesling, "The Influence of American and European Practices on the Evolution of EAD" *Journal of Archival Organization* 3:2/3 (2005), 207-215.

[3] Mark A. Greene and Dennis Meissner, "More Product, Less Process: Revamping Traditional Archival Processing," *American Archivist* 68:2 (2005): 208-263.

[4] Green and Meissner, *More Product*, 249-50, see also 215-17 and 245-248.

[5] Teresa Brinati, "Readin', Writin' and Archivin': The State of Archival Literature," handout provided at Midwest Archives Conference Fall Meeting Session, October 24, 2003.

[6] Specific volumes include 1:1-3:4 (most of the 2002 volumes actually appeared in 2003 or later).

The research I am reporting here summarizes a preliminary attempt to supply such information. It is based two sets of data. First, I did some additional analysis on the data collected by Greene and Meissner.[7] Second, I administered an online survey of descriptive practices.[8] The data from both surveys were analyzed and queried. Summary statistics factors such as staff size, backlog size, availability of records at different levels of description and use of descriptive standards and tools were correlated, and I reviewed comments that respondents submitted during the survey. The conclusions I will provide here are preliminary, and I intend to follow this study up with more detailed analysis of institutional practices for a select number of archives included in my sample.

First, my analysis of the Greene/Meissner data provided several interesting insights. Based on size of holdings, I grouped the institutions into three categories: small (less than 4,000 cubic feet), medium (4,000-20,000 cubic feet) and large (over 20,000 cubic feet). As figure one shows, smaller institutions tend to have both larger backlogs and slower processing rates.

Table 1: Backlogs and Processing

	Backlog over 30%	***Cubic Feet per Full Time Processor***
Small	69%	36.6
Medium	67%	61.1
Large	45%	66.6

The data which Greene and Meissner collected provides an indication of what their respondents believe to most strongly affect processing and backlog rates; without going into detail, factors such as size of collection and lack of organization play a more important role than type of creator or condition of folders.

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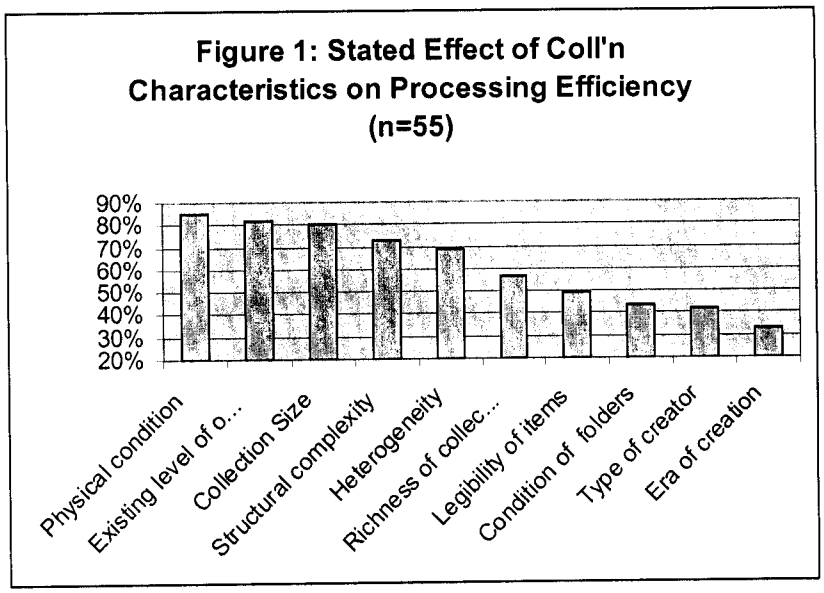
[7] Greene and Meissner, "More Product," 210, footnote 5. An anonymous version of their dataset is available at http://ahc.uwyo.edu/nhprcresearch.

[8] A record copy of the survey is available at http://www.chrisprom.com/descsurvey. It was administered in spring 2006.



But they did not collect much information that would allow us to generalize directly about how factors other than collection characteristics might impinge on processing efficiency. Further work to understand processing problems would certainly take external factors into account.[9]

I made a preliminary stab at studying other factors by looking at one piece of data Meissner and Greene gathered regarding actual actions undertaken during processing—things like removing metal, refoldering collections, weeding duplicates, arranging materials within folders. It is tempting to think that use of these practices might explain why some repositories process archives more quickly than others. That assumption lies implicit in their dictum of "more product, less process." Unfortunately, that assumption is not borne out by a detailed analysis of their data.

To what extent do these intensive practices actually correspond to lower processing rates? For each institution, I correlated the self-reported rates of such activities to the processing rates. The results are summarized

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[9] It should be noted, of course, that each institution defines 'processing' and 'processed' differently. For some, a collection is processed when it has completed a MARC record and an inventory of the boxes as they arrived. For others, it is processed only when completely weeded, rehoused into acid-free folders, and arranged according to a logical series layout. Some provide access to their 'unprocessed' collections, other do not. Furthermore, we do not know whether a more intensive level of processing actually makes a difference in user access. What we do know is that many repositories are not able to process collections to whatever level they have defined as complete.

in Table 2. Briefly, they show that there is no correlation between the use of intensive processing practices and processing speed; none of the correlation coefficients approach statistical significance.

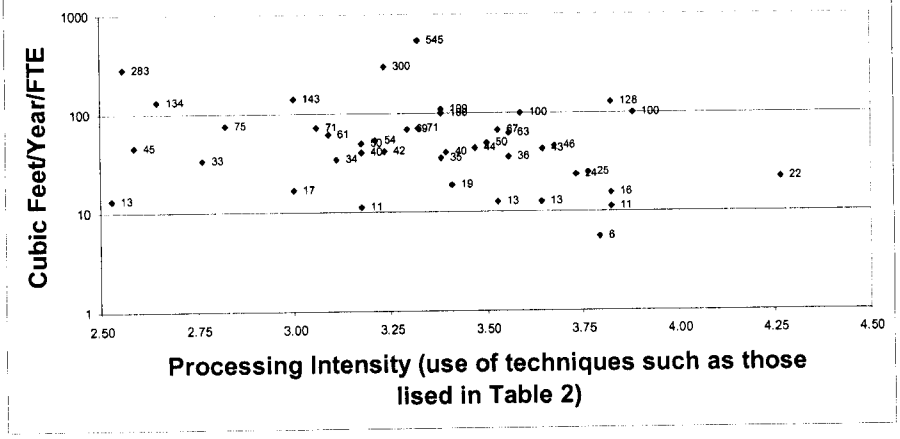
Table 2: Correlation of Processing Practices to Processing Productivity*

	r	*r2*
Aggregate of 35	-0.2	4%
Refolder	-0.25	6%
Weed Dups	-0.13	2%
Remove Fasteners	.-20	4%
Photocopy Clippings	0.1	1%
Mend Tears	0.05	0%
Arrange at Series Level	0	0%
Arrange in Folders	-0.25	6%

*A negative correlation coefficient r indicates that the listed practice and processing productivity (cubic feet proceessed per FTE per year) are inversely related. The square of r indicates the percent of relationship between a) the intensity with which the practices are used and b) processing productivity.

The lack of a relationship between the use of intensive processing techniques and processing speed is graphically represented in Figure 2. This figure plots the amount of materials an institution processes per year per person against the self reported rates at which they use the 'intensive' processing techniques such as those listed in Table 2. The fact that productivity must be plotted on a logarithmic scale is sadly telling. Some archives out-process others by a factor of ten to one. We must examine the whole range of archival activities, management techniques, and outside factors if we wish to improve productivity and collection access, not simple cease removing staples.

Figure 2: Productivity Scatter Diagram (Logarithmic Scale)



One factor which needs to be examined closely is archival description, in particular the use of advanced standards for electronic access. Do the ways in which archives apply descriptive techniques affect access to our collections?

That, at least, is the question I set out to answer when I conducted my survey. If we believe that archivists have a responsibility to provide optimal access to all of the records under their care, my analysis is discouraging. While a small number of college and university archives effectively meet descriptive challenges and provide good access, many lag far behind.

Ninety-one institutions submitted usable responses. They were grouped into categories of small (less than 4,000 cubic feet; 49 institutions), medium (4,000-19,999 cubic feet; 33 institutions), and large (over 19,999 cubic feet; nine institutions).[10] Somewhat surprisingly, the smaller archives have a much lower ratio of staff to collection size, as well as less access to student help (45% of small archives have no student helpers).

Most of the 91 are using standards to help formulate the content of the information in descriptive records they create. 81% use provenance method to group college/university records by creating office. 68% use *Describing Archives: A Content Standard* (DACS) or *Archives Personal Papers and Manuscripts* when creating

[10] In cases where volume was not supplied, staff size was used as criteria for sorting the repositories into the appropriate category.

descriptive records. 78% use Library of Congress Subject Headings. Most of the others use a locally-developed control file; the use of these arrangement and content standards does not vary much between the different-sized institutions.

In aggregate, 43% of the holdings in these 91 institutions are currently unprocessed—212,990 of the total 496,388 cubic feet reported.[11] The amounts vary widely between repositories. For more than half, 40% or more of the collection is unprocessed, while for 12, 10% or less is unprocessed. For 12 institutions, 80% of more of the collection is unprocessed. I found no correlation between staffing levels and backlog size, suggesting that archives expecting to provide better access simply by hiring more staff may be following a counterproductive strategy. In fact, smaller archives have larger backlogs even though they have larger staffs relative to their holdings size.

At least some of our backlog problems seem attributable to the adoption of complex tools and methodologies. For example, institutions which use library catalog software to describe collections have an average backlog size of 50%, but those which did not use catalog software have an average backlog of 37%. Those using word processors to create container lists have relatively smaller backlogs (37%) than those using the complex XML editors that are needed to create an EAD finding aid have larger ones (58%).

One cannot use this correlation to say that use of such tools (or the standards they support) **causes** the larger backlogs. And of course the tools pay a considerable benefit in allowing institutions to post finding aids online. Across the entire sample, the 'average' institution makes descriptive information at any level of completeness available on the Internet for a paltry 50% of its processed collections and 15% of its unprocessed collections.[12] Twenty-eight (31%) of the institutions provide some descriptive information on the Internet for 90% of more of their processed collections, while 27 (30%) provide information on the Internet for 10% or less. But those using MARC and EAD tend to have more information on-line—more of which follows below.

What accounts for these differences? Not staff size—at least not in the way you might expect. My analysis showed that *institutions with more cubic feet per staff member are actually more, not less likely to have a greater*

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[11] This is not to say that 43% of all holdings across all institutions are unprocessed, but that the average archives has 43% of its holdings unprocessed—two different things since collection sizes vary.

[12] This does not mean that 50% collections have no online access because each institution has a different number of 'collections' and the survey did not solicit data to allow an aggregate calculation.

percentage of their descriptive information online. For example, one institution holds 12,640 cubic feet of records per professional staff member but provides online access to a MARC record for 85% of its processed collections. On the other hand, an institution with 1,400 cubic feet per professional staff member provides online access for only 35% of its collections. It also considers 71% of its 3,500 cubic foot collection unprocessed.[13]

In general, larger archives tend to be more likely to provide descriptive information online, but the trend is not universally true; 3 of the large archives provide no online access, and 8 of the small archives provide online access for all of their holdings. One factor which does correlate strongly to better online access is the use of descriptive standards such as MARC and EAD. But the picture is complicated, and the effects that adopting these standards have are complicated and contradictory. Their use needs detailed analysis.

Structural standards for encoding descriptive information are used infrequently on average. An average of only 29% of collections are described in MARC, 8% in EAD). Most institutions use printed/word-processed container lists, and other formats at greater frequencies. Sixty-eight of the archives sampled—40 of them small archives—have MARC records for 50% or less of their collections—showing that this standard has not been as widely adopted as some might hope. The survey asked archivists to indicate their 'principal' finding aid format. At the collection level, only 14 (15%) of archivists regard the MARC record as primary. Eight (9%) see EAD as the principal format at the folder level. Printed box lists predominate.

Given the intense emphasis the profession has placed on adopting MARC and EAD, the adoption rates for these data standards seem abysmal. The fact that EAD and MARC have been so infrequently adopted should give us pause. Are they really suited to the practical problems of archival work or might they in fact be exacerbating those problems? Those using MARC or EAD are more likely to face processing backlogs. Thus access to the overall collection is being impeded while access to favored collections is seemingly enhanced.

Is the descriptive work we are completing too much of a good thing? Greene and Meissner argue that use of descriptive standards per se need not impose additional burdens on a processing workflow—provided that they are implemented with an eye toward minimal description.[14] However, the evidence provided here seems to indicate

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[13] The latter institution is pursing a particularly ineffective access program. It has no collection level-descriptions online, but it is providing EAD encoded inventories for its faculty papers and is exporting box lists from a standalone database into HTML files.

[14] Greene and Meissner, "More Process," 247.

that archives using such standards have lower processing rates, and it seems likely that archives using them are going overboard in terms of the amounts of descriptive detail which they provide. Some archives pursue a level of perfectionism and precision in description that have undermined efficient processing and repository-level access. One wonders whether this is also the case for non-US archives? It would be ironic if the United States repaid the European archival tradition—to which it owes so much—with a set of descriptive standards that unwittingly exacerbate European processing backlogs.

In 1983, right before the adoption of MARC and 12 years before the development of EAD, Richard Berner surveyed archival descriptive practice in the United States, and came to the conclusion that the profession could best advance access to collections if it abandoned the item and subjected-oriented focus inherent in the historical manuscripts tradition.[15] The designers of the MARC format for archives and of EAD consciously attempted to do this. But the legacy of historical manuscripts tradition endures in complex ways. It can be seen in the atomistic way some archives are using these standards and in the desperate pleas which these archivist have for more time, staff, and money. (Fifty-seven of the respondents said their biggest need was in these areas, often in very blunt terms.)

While one can understand why archivists would like more colleagues or funding, such hopes are often unrealistic. Even worse, they are unlikely to have a substantial effect on backlogs or to make collections more accessible, because many of those crying for more staff have manageable problems. For example, one institution in the survey holds only 872 cubic feet of archives per professional staff member and currently provides 95% of its collection descriptions online—yet feels that its biggest need is more staff. Its backlog of 865 cubic feet is one third of its overall holdings but appears manageable. It, quite simply, appears to be over-describing its records.[16]

But those in the public archives traditional also bear blame in their reluctance to adopt standards that they see as tainted by bibliographic connotations. Many respondents asked for better tools to do their descriptive work: "A streamlined process for creating finding aids in an open source format that can be viewed on the web."[17] "I

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[15] Richard C. Berner, *Archival Theory and Practice in the United States: A Historical Analysis* (Seattle: University of Washingon Press, 1983), 122-23.

[16] Respondent ID #174.

[17] Respondent ID #224.

would prefer to use a more user friendly web based format."[18] "We need a comprehensive database to manage collections. We are a partner in the development of Archivist Toolkit, which will meet all of our needs, we hope."[19] Currently, many workflows resemble the Rude Goldberg cartoons that were popular in the United States about 60 years ago, so these hopes have some validity. But that does not absolve one from using the tools available.

Surely we as a profession must find ways to increase the amount of descriptive information available online. A 2002 survey of North American university archives and records programs showed that the most pressing project priorities for archivists were basic functions such as collecting university records, ensuring records retention compliance and expanding electronic records management.[20] In other words, archivists seemed to indicate that description should play a subordinate role to their institutional responsibilities.

Taking an eagle's view, this appears to be just what is happening in many institutions. Many archives have been deploying advanced descriptive standards and technologies, but their processing backlogs have grown. Others have thrown their hands up and done little to get descriptive information on-line—especially smaller archives. To say this is not to implicate the institutions, but simply to point out that the range of processing and descriptive issues faced by these archives is of a different nature than those in larger institutions, and needs practical solutions. We must plainly acknowledge that the workflows, standards, and tools used in larger shops may not be applicable elsewhere.

What is to be done? College and university archivists should undertake several steps to ensure broader access to their collections.

First, archivists might begin by undertaking arrangement and description audits. Each archivist must evaluate and reform practices in light of his or her own current situation. An audit might include an analysis of staff size and skills, the use of techniques and standards, processing rates, workflows, and end user access.

Second, we must design our processing and descriptive systems with users in mind. The wise archivist will formally or informally survey his or her entire user base before implementing a new processing and descriptive

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[18] Respondent ID #134.

[19] Respondent ID # 173.

[20] Bessie Schina and Garron Wells, "University Archives and Records Programs," *Archival Issues* 27:1 (2002), 41.

program, then endeavor to provide access to a reasonable amount of information about all collections in his/her repository.

Third, we should develop descriptive strategies which can more easily be implemented by smaller archives. These archives tend to have the worst backlog problems and processing productivity.

Finally, the archival community must invest more time and resources in developing tools which facilitate efficient description of the entire range of materials in a repository. Tools such as the Archivist Toolkit or UIUC's "Archon" software may prove helpful in this respect, and I also understand ICA is working on a similar program with UNESCO funding.[21]

Solving our descriptive problems will take sustained time and effort, but they are not beyond our abilities. The appropriate tools to make our collections optimally accessible are now available and can make a difference—if we choose to implement them properly.

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[21] The Archivist Toolkit project (http://archiviststoolkit.org/) promises an easy collection management platform and the generation of both MARC Records and EAD files, although it will not natively display descriptive information in a web environment. The University of Illinois is also developing a "Simplified Archival System" which will allow input of standards-compliant descriptive records via a web interface. The system will also publish finding aids to the web and allow output of MARC and EAD records. (http://www.archon.org).

Cataloguing and Description of Icelandic Historical Manuscripts and Archives

Örn Hrafnkelsson
Manuscript Department – National and University Library of Iceland

ICA / SUV SEMINAR 2006
Reykjavík, Iceland
September 13-20 2006

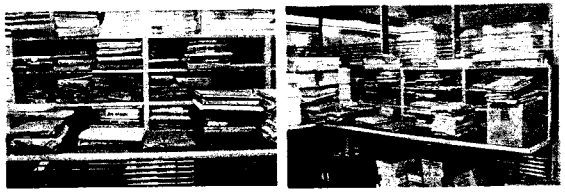
Introduction

- Where are we going?
  - To make the manuscript department electronic!
- What do we want to change?
  - Access to information about our collections in a better way!
- What do we see?
  - To make a database about Icelandic manuscripts!
  - To make a collection of digital content available on internet!
  - To combine information in all our databases
    - www.gegnir.is
    - www.sagnanet.is

Introduction

- Joint project
  - Manuscript Department
  - Information Technology Group
  - Cataloguing Department
  - National Department
    - photographic and digitations unit

Images of material in the department



Images of material in the department

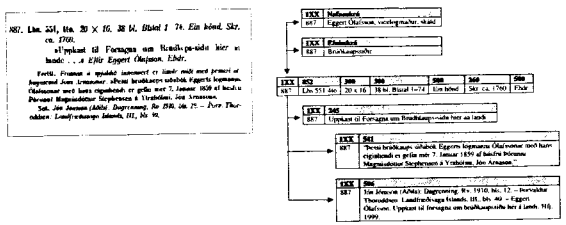
Images of material in the department

Traditions in cataloguing and describing

- That methods are according to technology at every time
- Methods must be revised at all times
- National Library has described and catalogued it's collections according with Wolfenbüttel in Germany
- Otto von Heinemann
- Find solutions to catalogue and describe
  - „historical manuscripts"
  - „private archives"

Otto von Heineman

From our printed catalogue



What do we intend to do

- Make available information about
  - Collections kept in the department
  - What we can do with these collections
  - Purpose is to minimize physical use of primary sources
    - That the description gives enough information for users to decide if they need them or not
    - To connect the description to a digital collection

What do we intend to do

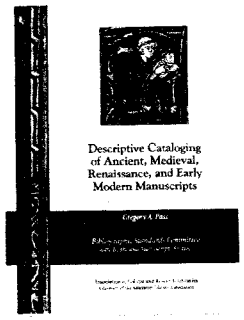
- Information must be made available in organized manner
  - To exchange information with other
  - Make searches that make sense
  - To do so we need to use standards

Years go by ...

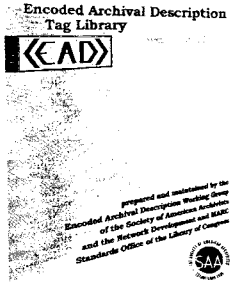
- 2003
  - A working group in the library that looks possibilities for using the bibliographical database – www.gegnir.is – for cataloguing and describing manuscripts and archives
  - Collect information about finding aids that have been made in the department
  - To make printed catalogues available on the internet
  - Look at standards for cataloguing and describing
    - AMREMM
      - *Descriptive Cataloging of Ancient, Medieval, Renaissance, and Early Modern Manuscripts*

      EAD
      - *Encoded Archival Description*

AMREMM



EAD



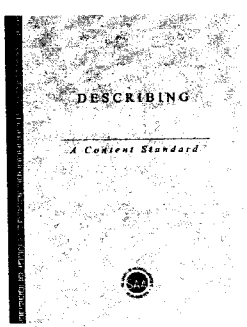
Years go by ...

- 2004
  - A grant from Students Innovation Fund to make a database and to work with private papers of Sveinn Björnsson, Iceland's first president
  - SQL Database
  - The database can also be used to catalogue and describe other collections
  - First version based on EAD
    - Text files
  - Indexes for printed catalogues converted to a database – authority files, names and subjects
    - Names 687 pp.
    - Subjects 701 pp.

Years go by ...

- 2005
  - Continue with what was started
  - Make a database that can do more and is user-friendly
  - Start you catalogue big letter-collections
    - Halldór Laxness (8216 letters from 3783 writers)
    - Gunnar Gunnarsson (7185 letters from 1732 writers)
    - Aðalgeir Davíðsson and other framers
      - Converting an word finding-aid to a SQL database
  - Our guidelines are EAD, DACS and ISAD(G)
    - *Describing Archives – A Content Standard*
    - *General Standard for Archival Description*

DACS og ISAD(G)



Years go by ...

- 2006
  - Continue to catalogue archives into our database and fix what is needed to be fixed
  - Make our finding aids available on the internet
  - Start remaking of the www.sagnanet.is and combined it to what we are doing
  - Start to catalogue manuscripts electronically
  - Start using the bibliographical database www.gegni.is
    - Connect short versions and finding aids

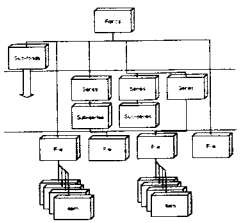
First summary

- We know and understand the standards and traditions that are used today for cataloguing and describing historical manuscripts and private archives
- We have build a database for describing and cataloguing
- We are making old finding aids available for user
- But will this of some ues
  - MARC, DC, TEI, OAI, AACR(2), MASTER, DACS, ISAD(G), APPM, EAC, DACS, EAD og ISAAR(CPF)

ISAD(G) — General International Standard Archival Description

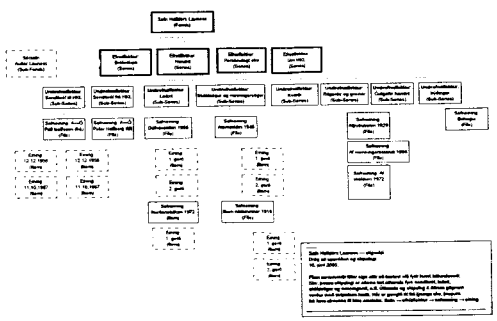
- Our work is based on this standard
- Translation in manuscript
- First version by us in the Manuscript Department
- In good collaboration with University of Iceland Archives
- Archivists at the National Archives have joined us
- SALS(A) — Almenni staðallinn alþjóðlegi um lýsingu skjalasafna

Hierarchy

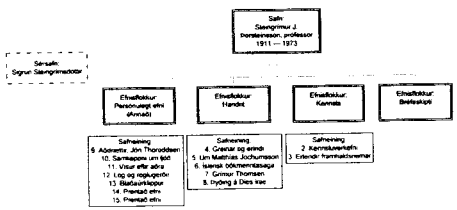


- Fonds
  - Safn
- Sub-fonds
  - Sérsafn
- Series
  - Syrpa / Skjalaflokkur
- Sub-series
  - Undirefnisflokkur
- File
  - Mál / Málasafn / Skrá / safneining
- Item
  - Eining

Hierarchy



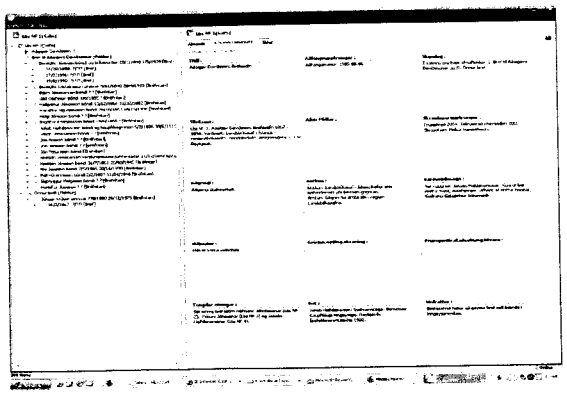
Hierarchy



Privat Archives

- *Handritasafn Jakobs Hálfdanarsonar* (*fonds*)
  - Bréfskipti (series)
  - Handrit (series)
    - Sveitarblöð [*file*]
    - Blandað efni [*file*]
    - Ættartölur, ættir [*file*]
    - Ævisögur [*file*]
    - Útfararræður [*file*]
    - Sögur, sagnir [*file*]
    - Dagbækur [*file*]
    - Verslunar- og viðskiptagögn [*file*]
    - Búnaðarmál [*file*]

Screen Shots from our new database



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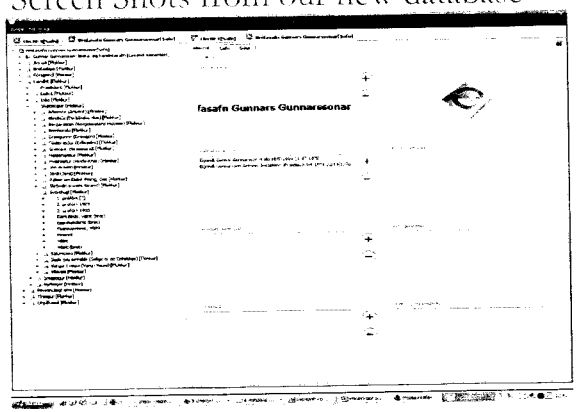
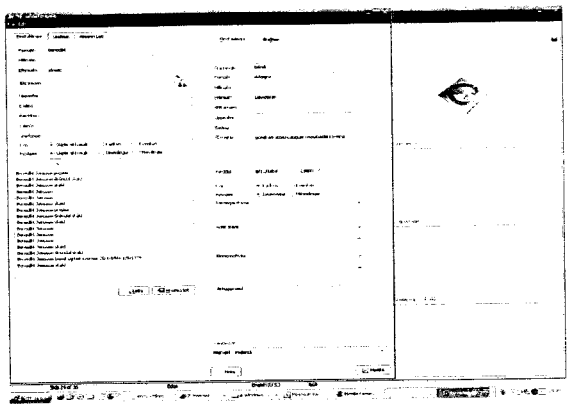
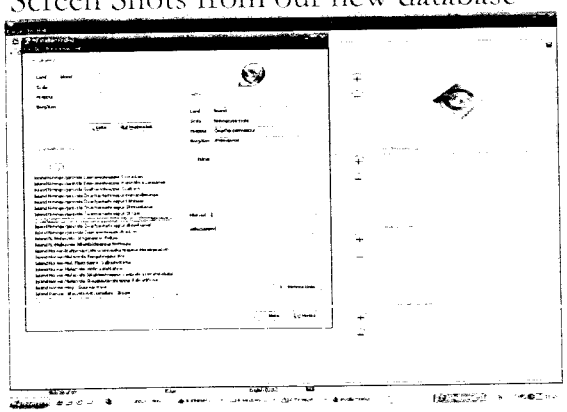


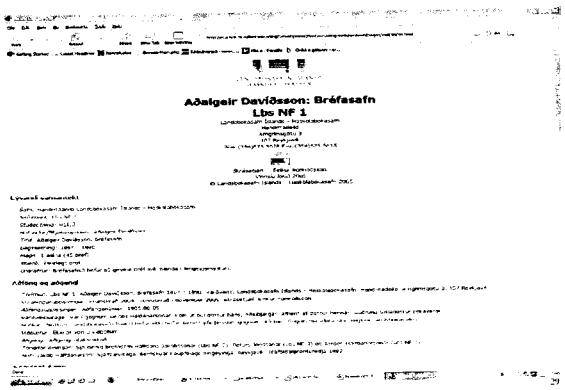
Screen Shots from our new database



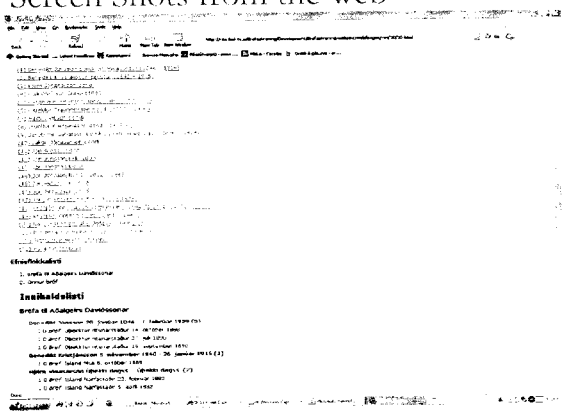
Screen Shots from our new database



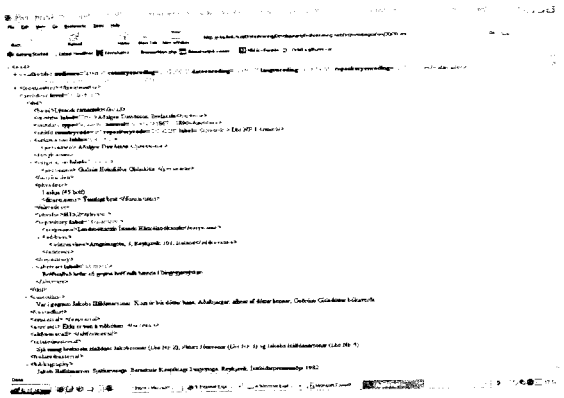
Screen Shots from the web



Screen Shots from the web



EAD_XML



Private Archives

Handrit [series]
- Blandað efni [file]
  - Stílabók í átta blaða broti [item]
    - Umfang og innihald: 1) Um hrafna. 2) Ættartölur. 3) Saga af komu Péturs Jakobssonar og Illuga Helgasonar á Húsavík. 4) Ræða í tilefni af þúsund ára byggð á Íslandi 1874 (haldin á Grænavatni?) (óheil?, ehdr.?). 5) Draumur og hugleiðingar út frá honum fluttar yfir ungu fólki í Fundafélagi Húsvíkinga (ehdr.?). 6) Listi yfir vesturfara.

  Blandað efni í 8 kverlingum [item]
  - Umfang og innihald: 1) „Rjúpur" 1900-1901, skrá yfir veiðimenn og feng. 2) Sauðavigt [...] 1901", einkum Ægisdeildar K.Þ. en einnig lítils hl/áttar Aðaldæla- og Staðadeildar. 3) „Skútustaðadeild. Skiftaskrá 1889." 4) „Smjörreglur". Reglur um smérverkun í K.Þ. 5) „Utanfjelagspantanir 1883". 6) „Verðlag á haustþönfun Kaupfélags Þingeyinga [...] 1889". 7) „Verðlagsskrá Kaupfélags Þingeyinga 1889". 8) „Vörupöntunarlistar útsendir 1884".

  „Molar".
  - Umfang og innihald: Æviminningar, húsbyggingar og um hag- og verslunarmál í tveimur stílabókum í fjögurra blaða broti.
  - Athugsemdir: Eftirrit. Meðliggjandi er miði sem á stendur: „Frumrit af „Molum" er að finna í skjalasafni Kaupfélags Þing. Húsavík. 82.02.24 Guðrún Gísladóttir".

Metadata

- It is important to produce metadata for search-machines and gateways
  - DC – Dublin Core
- Metadata will be produced on the same time as the EAD_XML document and put in the header
- Metadata must be produced for the Icelandic Digital Library
  - OAI – Open Archives Initiative

Metadata

	Heiti staðals	Skerðil	Skýring
1	Titill	Title	Titill gagns
2	Höfundur	Creator	Höfundur efnis
3	Efni	Subject	Efnisorð og flokkstölur
4	Lýsing	Description	Lýsing á efni, t.d. útdráttur
5	Forlag	Publisher	Aðili sem ber ábyrgð á útgáfu
6	Viðbætt aðild	Contributor	Aðili sem á viðbætt aðild að efni
7	Tími	Date	Útgáfuár eða skyld tímasetning
8	Tegund	Type	Tegund, flokkur gagns eða efnisform
9	Form	Format	Tækniheiti yfir form gagns
10	Kennimerki	Identifier	Einstakt kennimerki (númer) gagns, t.d. URL, ISBN
11	Uppruni	Source	Uppruni gagns (frumgögn)
12	Tungumál	Language	Tungumál á gögnum
13	Tengsl	Relation	Tengsl við önnur gögn
14	Yfirgrip	Coverage	Efnisorð fyrir staði og tímabil
15	Réttur	Rights	Réttur á gögnum og réttarfar

Ábyrgð		Lýsing		Gerð	
Höfundur	Creator	Titill	Title	Tími	Date
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		Uppruni	Source		

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For bibliographical databases

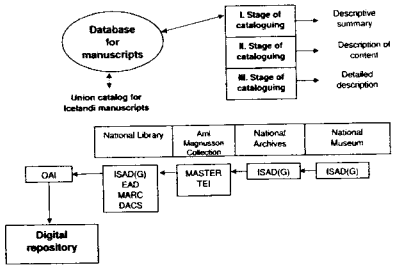
– MARC

- If the database can produce Metadata then it can also produce MARC-documents
- MARC-documents will be made from the finding aids – text documents
- Each element is based on ISAD(G) and EAD – in XML-format – and has its relative in MARC
- The text documents will be transferred to our bibliographical database – www.gegni.is
- Mostly the descriptive summary, subject words and other access points
- Build up a virtual database about our collection
- Other institutions abroad have done the same
- Go from general information to detailed

„cross-walk“ and „mapping“

Nr	ISAD(G)	DACS	MARC	EAD	Innihald og uppbygging	Content and structure area
10	3.3.1	3.1	520	<scopecontent>	Umfang og innihald	Scope and content
11	3.3.2	5.3	583	<appraisal>	Grisjun, eyðing og skráning	Appraisal, destruction and scheduling information
12	3.3.3	5.4	584	<accruals>	Viðaukar	Accruals
13	3.3.4	3.2	351	<arrangement>	Frágangur og skipulag	System of arrangement
Nr	ISAD(G)	DACS	MARC	EAD	Skilyrði um aðgengi og not	Conditions of access and use area
14	3.4.1	4.1	506	<archdesc> LEGALSTATUS	Skilyrði er sjáðma aðgengi	Conditions governing access
15	3.4.2	4.4	506	<accessrestrct>	Skilyrði er ráðu endurgerð	Condition governing reproduction
16	3.4.3	4.5	041	<archdesc> LANGMATERIAL	Tungumál / letургerð efnis	Language / scripts of material
17	3.4.4	4.2	340	<phys-desc> <physface>	Umfang og tæknilegar þarfir	Physical characteristics and technical requirements
18	3.4.5	4.6	555	<otherfindaid>	Leiðarvísar	Finding aids

Future vision



Conclusion

- Database
  - ... To describe archives and manuscripts
  - ... To catalogue archives and manuscripts
  - ... To make finding aids
  - ... Finding aids that can be updated
  - ... To make XML-files (for transport)
  - ... To make meta-data for search-machines
  - ... Is compliant to standards
    - e.g. ISAD(G), MARC, EAD, DC og OAI

Thank you!

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Teaching and Training Future Archivists: A North American Perspective

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Bentley Historical Library, University of Michigan
ICA-SUV, September 2006

In 1989 the International Conference on Archives held the Second European Conference on Archives in Ann Arbor, Michigan. The central theme of that conference was a comparison between North American and European archival systems. Speaking from the European perspective, J. Peter Sigmond observed that training of archivists was one of the "major and most essential differences between European and North American practice." Sigmond noted that the promotion of standardization was a "weak spot in the American archival system." Perhaps most interesting, he commented that it wasn't the lack of standards and manuals available in America but rather a "surprising lack of acceptance and use" of standards due largely to a lack of authority.[1] Presenting the North American perspective, Francis X. Blouin was in agreement that the education of archivists was a "critical point of divergence." Blouin pointed out the formation of European training rooted in textual interpretation and tied to language and diplomatics, fields less relevant in North America given its relatively more recent history. North American training he noted, emphasized access and organization that oriented training more closely to information and library science.[2] A key aspect of North American archival training was embodied in the apprenticeship and the attendant learn-by-doing philosophy.

That the U.S. National Archives did not require a degree from an archival training program as a basic requirement for employment was seen as contributing immensely to the less structured North American system and its subsequent emphasis on the "values of collection description, organization, and retrieval over the interpretation of document content." A fundamental point raised by Blouin was that how archivists are trained and educated "points to the differences in national perceptions of what an archivist does and what archives and institutions require."[3] This difference in national perceptions of what an archivist does is a good starting point for this discussion. Let's start with the Society of American Archivists definition of an archivist:

> *Archivist* n. ~ 1. An individual responsible for appraising, acquiring, arranging, describing, preserving, and providing access to records of enduring value, according to the principles of provenance, original order, and collective control to protect the materials' authenticity and context. –
>
> 2. An individual with responsibility for management and oversight of an archival repository or of records of enduring value.[4]

That definition helps frame the North American perspective while also affirming the notion that the archival tradition in North America is broadly conceived and interpreted. That definition strikes at the core attributes of description, organization, and access and weaves in threads of the European tradition by incorporating principles of original order and provenance. Yet that definition also suggests that there is a great deal of learning and training that one must undergo in order to become an archivist.

Before going any further, I should explain my role and interest in archival education and training. I am a graduate of the University of Michigan's program in archival administration. At the risk of dating myself, I earned a master's degree in information and library science in what was then the School of Information and Library Science. Today it is simply the School of Information and the program is now the specialization in Archives and Records Management.[5] The archival specialization at the time I was enrolled as a graduate student consisted of a lecture class on the history and theory of archives (taught by Frank Boles) followed by a semester-long practicum taught

at the Bentley and by Bentley staff. Processing was the main focus. The course work and practicum was supplemented by an internship in a local corporate archives, and practical hourly work as a student processor outside of the practicum.

While I am not an archival educator in the purest definition, my work is certainly based in an educational environment, situated within a university setting. I have been involved in presenting occasional lectures to various School of Information archives courses, most often in the role of explaining various aspects of what a practicing university archivist does. My primary role is in supervising and training students to process university records. Perhaps it would be more accurate to describe myself as an educator in the field rather than in the classroom. The students I train and supervise are graduate students enrolled in the School of Information. In a summarized fashion, that means that I work with students immersed in studying the theoretical and technological aspects of archival administration and teach them the practical applied aspects of archival work. I only hope that I dispense a little useful advice and a reasonably serviceable set of professional standards and ethics.

It is also worth noting that when I refer to "processing," I am using a definition that covers everything that happens to archival records after they enter the archives and are accessioned. Processing in this sense includes appraisal, arrangement and description. Description includes both the preparation of a narrative finding aid and inventory, a collection-level bibliographic description and ultimately an online finding aid marked up using Encoded Archival Description (EAD). Essentially "processing" covers all aspects of the SAA definition of what an archivist does with the exception of acquiring and providing direct access (reference) to records. And that is all done within the definitional parameters using "the principles of provenance, original order, and collective control to protect the materials' authenticity and context."

In training students to process at the Bentley Library we are working with students who have little or no previous experience in processing. Our work is done in an autonomous and decentralized university. The result of that autonomy is wildly varying

records keeping practices across campus. The lack of universally applied filing standards and strict records scheduling means that our approach is not necessarily a one-size-fits-all approach. We have an in-house processing manual (which is in the process of being updated). The manual imparts the basic concepts and best practices. Our students must be introduced to general principles applied to non-standardized records. So there is an orientation and indoctrination process that I am very mindful of. In a literal sense we introduce the students to archival techniques and understandings as applied at the Bentley Library, often pointing out best practice while practicing something a little more expedient. Our institutional environment, working within a highly decentralized and high profile university reinforces the ongoing need to adapt and reshape best practices.

Part of my mission as I see it is to help students understand the principles we use, illuminating to an extent how these principles were arrived at, and how they evolved and continue to evolve. Along the way it is hoped that connections are made with this body of practice and the theoretical classroom discussion. Looked at another way, it can be seen as exposing students to practical research and development in the laboratory of real-time. That we simultaneously deal with manuscripts and university records often blends our approach. Incoming record groups present unique challenges with unique formats. There is a very real adaptation and real-time triage that our students are exposed to.

There is also an indirect orientation into the professional ethos. I would like to touch upon some of those points later, the elements beyond processing where students interact with staff and ultimately are infused with a sense of professional expectations, standards, and professional deportment. Much of this is under the guise of mentoring. At the Bentley Library it even includes offering students a mock interview experience to help them prepare for their first job interviews as well as helping them craft their letters of application. Beyond the physical confines of the Bentley, it includes introducing students and recent graduates to colleagues at professional conferences and encouraging their involvement on various committees. Much of this has been brought together in a practical course administered by the Bentley. I will return to the practical course (or practicum) in more detail.

EDUCATION

Let's go back to 1989 and the time of the Second European Conference on Archives. At the time the North American archival community was actively (and intensely) discussing the dual issues of professional certification and educational guidelines, particularly as North American archivists were searching for an appropriate educational model. In 1989 the Academy of Certified Archivists took in its inaugural class, and in 1990 the Association of Canadian Archivists' Guidelines for the Development of a Two-year Curriculum for a Master's of Archival Studies were approved. The Society of American Archivists ultimately approved the Guidelines for the Development of a Curriculum for a Master of Archival Studies Degree in 1994,[6] although it should be noted that these guidelines had long been in development.

Where do things stand as we near two decades after the Second European Conference? Today there are 40 archival education programs in the United States (but still no MAS degree), and the Academy of Certified Archivists is nearing 1,000 members.[7] Using statistics from the 2004 A*Census project data, a nationwide archival census and education needs survey in the United States[8], archival educators Beth Yakel and Jean Bastian found that:

- Graduate school has become the primary means of archival education.
- The archival profession in the United States has made the transition from relying on on-the-job training to requiring a Master's degree for entry and mobility in the field.[9]

With those findings, the SAA guidelines for a master of archival studies degree become more relevant. According to the SAA site, graduate programs in archival education "should offer a variety of courses that include basic archival theory, methods, and or/practice of appraisal, arrangement, description, preservation, reference services, outreach, legal concerns, and ethics."[10] The guidelines also suggest coursework in complementary areas such as library science, research methods, and conservation.

Perhaps most important, the guidelines note that "M.A.S. programs should also include a *practicum* to permit experiential learning."

CERTIFICATION

A recent (and on-going) discussion on the Archives Listserv[11] concerning the pros and cons of certification highlights the issue of credentialing and what is required to be considered an archivist. Immediately following this year's annual meeting of the Society of American Archivists in Washington, D.C., a few archivists who took the Academy of Certified Archivist's examination opined on the Archives Listserv. One certified archivist, a county clerk in New York, presented the following argument in support of earning certification:

"It is somewhat naïve to believe that only keeping up with professional literature, the respect of your colleagues, and learning by doing good work are all that matters. . . . Until the profession of archivist is one that has clearly understood academic qualifications for the entry level practitioner attached to it, the CA [Certified Archivist credential] is definitely needed."[12]

The argument is not new. One need only peruse the archives of the Listserv to see how often this discussion has come up. That Listserv comment helps to distill the training and educational challenges facing the profession in North American. It also acknowledges the roles of continuing education and professional development while implicitly confirming the "learning-by-doing" element inherent in archival training. If I might draw out another point from this, it is that the pragmatic sense of American independence is alive and vital in these discussions. This pragmatism in turn leads to a tolerance for risk and the support for innovation through research that seems unparalleled outside of North America. Not frontier lawlessness, mind you, but the vitality of strong fellowship promoting professional exchange of ideas and an openness to innovation. The EAD movement, for one, has brought about innovation along with some standardization, or at a minimum, some common understanding.

PRACTICUM

One common denominator within all of the archival education programs in the United States is the practicum. All have a variation on a practicum – a course in hands-on direct practice. The practicum is a condensed and structured version of what was once the apprenticeship. This is where theory and practice converge. The practical experience exposes students to high-end research and development in concert with the background and development of best practices. The practicum has been the one constant in SAA education guidelines. The tentative guidelines promulgated by SAA in 1977 that outlined a graduate minor or concentration in archival education called for a course on theory and methods followed by a practicum.[13] The practicum was also a major component of SAA's 1994 guidelines.

The Bentley Library has long been the home of the practicum both physically and intellectually. Bentley archivists have staffed the practicum at Michigan's program since its inception and have contributed their expertise as lecturers or supervisors of practical placements. What had once been little more than a processing workshop gradually expanded to include all aspects of archival administration. For example, practicum students heard about access from the Bentley's reference archivist. They learned machine-readable cataloging from the Bentley's cataloger, and preservation from the library's conservator. Other presentations dealt with the care and handling of non-paper formats such as photographs, motion pictures, and audio recordings. Processing remained the main emphasis. Variations on the practicum have been a staple of many of the Bentley Library's international exchange programs as archival colleagues from China, France, and elsewhere learn how things are typically done at the Bentley through a condensed and streamlined version of a practicum.[14] That is not to say that we are not also informed by the practices and techniques as explained by visitors during such exchanges.

Earlier this year, during the winter 2006 semester, the graduate-level course 692 "Practical Engagement Workshop in Archives and Records" was unveiled. [15] It represented a wholly reworked and truly innovative practicum. After being taught outside of the Bentley for the first time, it returned to the Bentley Library. Headed by Nancy Bartlett and Bill Wallach, the course this year was extraordinary in the depth and degree to which it involved archivists and organizational leaders from institutions throughout the United States. Guest participants included archivists from other colleges and universities, corporate archives, as well as the director of the Society of American Archivists (SAA) and the incoming editor of *American Archivist*.

The course description speaks for itself:

> The purpose of this course is for students to gain knowledge and skills in diverse areas of archives administration. Agencies of most relevance to the course are archives, special collections, records centers, and preservation departments. Through engagements at sites, students will ... experience the daily work of administration in these types of agencies. The internship portion of the course is an intensive practical engagement experience. Through the weekly class meetings, students will examine issues with senior administrators in archives and closely related institutions with unique holdings of evidence and historical value. Class meetings will also afford students the opportunity to compare their work experiences.[16]

This dynamic course combined classroom discussion with readings and practical placements. The open discussion format exposed students to a variety of perspectives on archives as well as different aspects of archival administration from acquisition through access. Presenters spanned the professional gamut from practitioners and theorists and included a variety of career phases (Archivist for the State of Michigan, former National Archivist). The course progressed from the literal bricks and mortar of archival facilities to planning and decision making and then moved through management, public relations, leadership, technology, before culminating with a session on career development. Student feedback was encouraged and solicited and each of the class sessions was rated separately. The student opinions and comments were overwhelmingly positive. Comments applauded the "honest answers to real questions."

While the practicum represents a fusion of theory and practice, it also includes indoctrination and socialization into the profession. I would like to spend a little time discussing some aspects of this professional indoctrination – the area where aspiring archivists learn the archival attitude. For some students the practical placement component of the practicum served as a safe test for determining if a career in the archival field was a good vocational match. It was a relatively safe way low risk way to "try on" archives as a career. The practicum also enabled students to test specific areas of archival work in the same manner.

IMPARTING "COMMON SENSE"

The common saying (at least in the United States) "it isn't rocket science" attempts to impart the notion that much of what we do is common sense, or at least requires little specialized knowledge. If archival science is not rocket science, what is it? Is there science? How much science is there? Is there art? How much art is there? John Fleckner in his musings on what it means to be an archivist, strikes what I believe is the ideal note. Fleckner describes our practice of archival techniques as "part science, part art, and – when done properly – part showmanship."[17] In many ways I think the term Erik Ketelaar has championed, "archivistics" gets at this union of theory, methods, and practice while hinting at the element of showmanship.

What are these unique skills? Fleckner gives examples of many of the "unseen accomplishments" like the ability to quickly understand or evaluate a record or quickly discern a pattern of arrangement in a complex set of records. It is this unheralded "archival mastery" that enables a seasoned archivist to "determine the correct provenance of a misplaced file" or in response to a reference inquiry, "apply our complex understanding of how and why the human record is created." When done before an appreciative audience it can indeed be seen as part showmanship.

A great deal of what Fleckner describes falls into the category "knowledge beyond description." I wish I could claim that I came up with the phrase "knowledge beyond description," but I have to admit that I borrowed that wonderfully apt title from a recent dissertation by Denise Anthony. In fact, that dissertation is so recent that it was just defended on September 8th at the University of Michigan School of Information. As part of the dissertation research, Anthony had both experienced and novice archivists attempt to answer a set of reference queries that could universally be applied to college and university archivists. In the course of finding the answer, the archivists were asked to "think aloud" and explain why they were instinctively going to certain sources and bypassing others. By hearing the thought process explained and observing how the subjects searched for the answer, some new insight was gained into these intangibles.

There are some very intriguing aspects to that research that hold promise for understanding and informing training. Part of that is similar to the question how does one learn to ride a bike? How is the required balance, position, and technique acquired and mastered? You can show someone how you ride a bike, but how do you really explain it? How do archivists develop the internalized values, purposeful actions, and instinctual navigation that enable them to make rapid appraisal decisions and answer complex references inquiries? What can be taught that helps instantly assess comprehensiveness, completeness, depth, and quality of content? There are some very interesting things to think about in all of that. How is contextual and provenancial knowledge acquired? All of this underscores the fact that experiential learning, today's successor to the apprenticeship remains a vital component of North American training.

CAREER DEVELOPMENT

Leaving intangibles aside, the cultivation of the student's developing careers is also an important aspect of North American training. SAA encourages and supports student chapters. There is a student chapter at the University of Michigan, and the chapter works closely with staff at the Bentley, often arranging to have presentations given by various visiting archivists. Through informal discussions and meetings,

students can meet and talk face-to-face with leading archival writers. At its annual meetings SAA offers poster sessions as a forum for students to present their research. Other regional archival organizations also offer scholarships, discounted registration, and travel stipends for students to attend meetings. This early integration of students into the archival organizations inculcates them with a sense of the profession while simultaneously grooming the next generation of archival leaders.

The mentoring is also an ongoing process as alumni from Michigan for example have developed networks and hold receptions and meetings at many of the professional conferences we attend. Given job mobility of North Americans, it is also common for us to be called upon to provide background references again and again as former students apply for new positions.

Just as archives commit to preserving the past, so do we commit to training and preparing our successors.

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[1] Sigmond, J. Peter, "Divergences and Convergences of Archives: A European Looks at North America," *Second European Conference on Archives Proceedings* (ICA: Ann Arbor, Michigan, 1989) pp. 10-11.
[2] Blouin, Francis X., "Convergences and Divergences: A North American Perspective," *Second European Conference on Archives Proceedings* (ICA: Ann Arbor, Michigan, 1989) pp. 25-26.

[3] Ibid., pp. 25-26.

[4] http://www.archivists.org/glossary/term_details.asp?DefinitionKey=293

[5] http://www.si.umich.edu/msi/arm.htm

[6] http://www.archivists.org/prof-education/edd-arched.asp

[7] http://www.certifiedarchivists.org/html/greeting.html

[8] http://www.archivists.org/a-census/

[9] http://www.archivists.org/a-census/reports/YakelBastian-ACENSUS.pdf

[10] http://www.archivists.org/prof-education/edd-arched.asp

[11] http://listserv.muohio.edu/archives/archives.html

[12] http://listserv.muohio.edu/scripts/wa.exe?A2=ind0608a&L=archives&T=0&P=9046

[13] Jimerson, Randall C., "American Archivists and the Search for Professional Identity," *American Archival Studies: Readings in Theory and Practice* (Chicago: SAA, 2000).

[14] http://bentley.umich.edu/bhl/china/2006/seminar.htm

[15] http://bentley.umich.edu/bhl/practicum/2006/SI692.htm

[16] http://bentley.umich.edu/bhl/practicum/2006/SI692.htm

[17] Fleckner, John A. "Dear Mary Jane: Some Reflections on Being an Archivist" *American Archival Studies: Readings in Theory and Practice* (Chicago: SAA, 2000), p. 24 [original published in the American Archivist 54, winter 1991].

The Archival Metrics Project and Beyond: Creating Tools to Share Knowledge of Archival Use and Users

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Developing Archival Metrics for Use and User Services in College and University Archives and Special Collections
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School of Information

In the 1990s archives moved from measuring outputs to evaluation in terms of outcomes. Though evaluation remains important for determining the effectiveness of services in archival repositories, measuring impact takes program assessment to the next level and is much broader. Impact assessment answers the question "What difference do archives / records make in the lives of our researchers, and our society?" This paper describes the second phase of the Developing Archival Metrics Project. The goals of this project are to foster a culture of assessment by making archival evaluation more streamlined, easier, and cheaper for archival repositories and to suggest means of measuring the impact of archives. These will be accomplished by building tools and mechanisms that encourage the public sharing of data about the use and user services of our various collections. The major focus of this phase is the development of standardized, validated assessment tools through iterative testing of their reliability and comparing results across institutions. In the end, we hope to create a new body of knowledge about use and users of archival institutions in the US and

Canada. This project is funded by the Andrew W. Mellon Foundation and is a collaboration among the authors and Wendy Duff and Joan Cherry, both of the University of Toronto, and Helen Tibbo from the University of North Carolina.

The Developing Standardized Metrics Project consists of three phases:

1. Identification of priorities for measurement of user services and of the appropriate tools and techniques for measurement (e.g., user registration, user surveys, transaction logs for archival websites. Based on the knowledge we had generated about the needs, practice and support of the archival community in phase one, we embarked on a project to begin to fill the gaps we had discovered. A report on Phase 1 is available at http://www.si.umich.edu/ArchivalMetrics/ChapelHillMeetingReport.pdf.
2. Phase 2: Actual creation of the questionnaires, forms, best practices for web analytics, etc. and testing and validating these questions and measures (currently funded project), and
3. Full scale deployment, development, and testing of user manuals for the implementation of the modules. We are currently in the process of writing a grant proposal to go forward with this phase of the project.

As noted, this paper will give a brief overview of the second phase which consists of five objectives:

1) To create a short list of key descriptive quantitative measures--statistical measures of use and users-- with standardized instructions and definitions--to form the basis of a yearly report filed by each institution in the US and Canada. This will allow comparisons among like institutions and longitudinal data for analysis of trends.

2) To develop a select set of validated instruments for college and university archives and special collections that they can use to evaluate the effectiveness of their access and user education services in support of research, teaching, and learning.
3) To develop broad and complex measures to ascertain impact of archival services in higher education settings.
4) To investigate options for sustainability of the tools and the data developed, collected, and analyzed during this project.
5) To create a model for a data repository that will maintain the evaluation data so institutions can benchmark against peers and understand the landscape of access and service across the profession.

Objective 1: Comparative and Longitudinal Data Collection

Comparative and longitudinal data collection (consistently keeping track of performance measures using the same metrics over time) would enable archival repositories to mark progress towards service goals, compare to like organizations, identify best practices, and potentially meet minimum standards. For example, if you keep track of the total number of reference requests you have per year, and divide it by your total expenditures, you will have a measure of the efficiency of your services. You can compare that ratio each year to yourself, to find out whether you were more or less efficient this year, or, if you were sure that other institutions calculated it the same way that you do, you could compare it to other institutions that you consider to be your peers.

At the first Phase 1 meeting with our partners in Chapel Hill in June 2004, a variety of assessment methods were discussed, the consensus was strongest for a tool

that enabled comparisons among repositories. This type of consistent longitudinal data collection is essential not only for improvement of individual archival and manuscript programs, but also for collective improvement of all repositories because it makes key programmatic elements more transparent enabling both internal assessment of "How are we doing?" over time as well as more robust comparisons among peer programs. Currently, in the United States and Canada, archival benchmarking efforts only touch small segments of the population, such as state archives and repositories in Association of Research Libraries (ARL) institutions. ARL is a consortium of 123 university and research libraries. While these represent some of the most important research facilities in Canada and the US, there are many universities which are not members of the organization. For comparison, the broader Association of College and Research Libraries (ACRL)—a section of the American Library Association—has over 800 institutional members, many of which hold archival or special collections.

Archives situated within one of the 123 ARL institutions must submit a yearly statistical report, which is in turn folded in with all other archival and special collections units on campus. Since archives and special collections departments are subsumed into the statistics submitted for the entire library system, it is not possible for one university archives to compare itself directly to another at a peer institution. The ARL measures were developed to allow comparison of libraries and in many cases there are serious problems with these data and actual benchmarking is greatly hampered. For example, ARL measures are focused on item-level descriptive practices and do not accommodate collective description or describing collections in linear feet.

The Developing Archival Metrics Project seeks to develop metrics geared specifically toward archival and manuscript collections and measures that are regularly collected by repositories. Long-term, the system we envision would allow for both data collection as well as on-the-fly comparisons with self-selected peer institutions. Ideally, we would like to create a tool that allows repositories to pick their own peers for comparison. Thus, a labor archives could compare itself to other institutions with strong labor collections regardless of the size of the sponsoring universities or whether the parent organizations were considered to be peers. The model for this is the ARL Statistics Interactive edition at the University of Virginia.[1] We recognize that issues regarding privacy and data ownership may prevent full disclosure of data. For small archives, with one or two full time employees, disclosing a budget is tantamount to publishing salary information. It may be that we will follow the lead of the NCES survey of research libraries[2] and allow grouped peer comparison, but refrain from publicly disclosing budget figures for these small institutions. The decisions about data rights and privacy policies will properly be made by the governing board for the project, which will be composed of representatives of contributing institutions.

As previously noted, we are seeking to identify or create archival or manuscript specific variables. Therefore, we have examined definitions that have been used in other metrics efforts. These include definitions from the National Information Standards Organization (NISO, 2004), the E-Metrics Instructional System[3] and the National Center for Educational Statistics which have been used extensively in libraries. ARL

[1] http://fisher.lib.virginia.edu/cgi-local/arlbin/arl.cgi?task=setupcriteria
[2] http://nces.ed.gov/surveyslibraries/compare/index.asp?LibraryType=Academic&ContentType=AboutAcademicLibraryData
[3] http://www.ii.fsu.edu/EMIS/index.cfm

statistics rely heavily on definitions from NISO and E-Metrics; however, archives cannot adopt these standard measures without some consideration—because sometimes they are not applicable to archival and manuscript repositories or because the means of enumerating the metric differs from current practice. Two examples of the problems in adopting library measures for archives follow:

- What is the best way to measure digital files? The NISO definition of Computer Files (4.10.2)[4] treats digital files as items like books, journals, etc., a discreet information resource. Will this work for archives? With storage media shifting from floppy disks to CD's to hard drives, does it make sense to count the piece? If we're trying to capture the size of an archives' electronic collection, would gigabytes be better? And even if it would, if current practice is to count the piece instead, and we want to make reporting as painless as possible, shouldn't we conform to current practice?
- Another example is the E*Metrics definition (McClure & Lankes, 2002) of a digital reference question:
  - A question however received, which represents an information need that can be characterized as a single concept. If more than one question is received in a single transmission (e.g. if a single email message, or chat session contains three reference questions), each question asked shall be counted as a separate question. The transmission itself shall not count as an additional question.

[4] http://www.niso.org/emetrics/current/category4.10.html

Does this reflect current practice in archives? Or would most archives count one email as a single reference request? Are archival reference requests as discrete as library-related requests?

To solve these and other thorny difficulties, we are currently circulating a version of the proposed metrics to our 25 partner institutions for comment, and discussion. We will use the feedback that we have received in an iterative design process, until we have arrived at a robust set of statistical measures. A larger pilot is scheduled for the fall of 2006.

Objective 2: User Surveys--Archives and Special Collections Assessment (ASC-A)

The second focus of our activities has been to create standardized, validated, surveys for evaluation of user services in archives and special collections. The name of the set of user surveys that we are creating is called "ASC-A: Archives and Special Collections Assessment." We found during our preliminary meetings with the whole spectrum of archivists that the definition of quality archival services is dependent on the mission of the particular type of archives to be assessed, and its parent organization. A corporate archives has very different goals and objectives than a university archives. In the second stage of the project, we decided to focus in on the college and university archives sector, so that we would not be attempting to create evaluation tools for organizations of very different characters simultaneously.

To find out how well a university archives is supporting the institutional goals of teaching, learning and scholarship, we needed to focus on key users for that mission: students, teachers and researchers. We have developed questionnaires for each of

these types of users. We plan to develop additional questionnaires that probe the quality of the user's experience of specific resources or services, such as online finding aid systems, exhibits, and websites.

The development of these survey tools began in the summer of 2005 by interviewing students, professors, and archivists in academic repositories. Existing assessment tools from the libraries, museums, and digital realm were also collected and analyzed. Finally we examined standardized definitions of quality archival services. The purpose of these activities was to create a map of the concepts we actually wanted to test in archives and special collections and to ensure that the tools that we are creating are firmly grounded in real world archival practice and instruction. This has been quite important, because the tools aimed at libraries often do not consider how the needs of students, teachers and researchers are different in archives and special collections.

A. Semi-structured interviews

We conducted interviews with 42 individuals in August, September, and October 2005. These were hour-long semi-structured interviews with professors who had used archival services in their teaching, students who participated in classes utilizing archives, and archivists who were involved with students and professors in curricular use of their materials. The interview protocols probed how archives support higher education's goals of teaching, learning and research from the perspective of the different interviewees. In all, we interviewed fourteen archivists, twelve professors,

eight graduate students and eight undergraduates. Selected interview questions for each group follow:

Archivists were asked:

- What is the most important thing an archival orientation accomplishes?
- What is the role of the archivist in helping students frame their research questions? The student? The professor?
- If you had more resources, what do you think is the most important support you could provide to students and instructors of those students that you do not currently provide?
- What type of feedback would you like from a professor after the class is over?

Professors were asked:

- What are the most important things an orientation should accomplish?
- What is the archivists role in helping students?
- What is your goal / educational purpose for the students using archival records in your class?
- How did you learn to use primary sources?
- What would get you to answer a survey regarding use of an archives? What would discourage you from doing so?

Students were asked:

- What expectations did you have before you did your archival research project?
- What were the 3 most important factors that impacted your archival experience positively or negatively?
- What did you learn about using archives?

- Do you think you could locate letters about a famous individual in archives now?
- Did you require more support in using the archives from the professor? From the archivist? Probe: what kind?

These interviews were transcribed and an initial analysis was completed in time for the initial meeting of project partners in October 2005. The interviews are quite good and the findings will be one of the most interesting by-products of the project. These data were also compared to finding in a previous focus group study conducted by Wendy Duff. In that study she asked archivists about the types of user feedback they would find most useful for good management of their institutions..

These interviews had fed directly into survey development by pointing out the similarities and differences in the ways that archivists, students and professors view quality archival services. For example, in examining the concept of a successful visit, we found that a successful day in the archives—one that gives satisfaction to the user—often depends on whether the researcher found something. Our interviews contain several instances where the concept of "finding good stuff" is expressed as an indicator of success. Archivists are leery of linking the location of materials to success because even seemingly appropriate collections may not support a researcher's particular inquiry. The concept of "finding good stuff" plays out differently in the interviews. First, the archivist, who sees a difference between the expert and the beginning researcher:

> There is the world of the grad student, professor, avocational, professional researcher who you know, this is their thing; they're used to doing this kind of research. The important thing to them is, 'Am I going to find good stuff or am I wasting my time?' And I think they judge whether or not this is a good experience based on the quality of the information they get. Much more so than anything else. Whereas I think the novice researcher may not really be in a position to judge the quality of the information. And so their natural tendency is to

> look at it as, you know, "Did I like this, or not? And if I didn't, boy, I don't want to do that again. (MAM03, lines 640-655).

Next, an undergraduate student, just getting started in an unfamiliar archives, found that assistance from the reference archivist was instrumental in getting the student started. This student, too, needed to find something in order to feel satisfied with her project.

> I felt really bad because I had done this trip but I just was lounging around and I wasn't getting anything done. But then she called me, the archivist said, "[Mary Smith], please come up to the desk." – and I thought I had done something wrong, but it was her just showing me a few little things and me finding a few little documents and that really started me going. Starting to get excited. (MSM02, Lines 562-566)

Finally, this quotation from a professor, who saw several different ways that students could have a satisfactory interaction, including finding helpful information. Yet, the professor expanded on this notion and noted that gaining awareness of the archives as a resource, gaining experience by going through an exercise, or being impressed with the tangibility and immediacy of primary source materials were also important outcomes.

> There are a lot of measures - when a student says "Oh my God I came up here with another class and we did this tour and we got orientation but I always wondered how you get to go behind the glass, what happens back there." And so when somebody's excited about that then I think that's success. When in the three hours within that time somebody finds something that's interesting to that person, something the person wants to report back on, the person thinks it can integrate into the paper and then wants to go back. So all of those I think are measures of success.
>
> But I think the biggest one is just that you've taken students across another threshold, they've done something else that they hadn't done before. And I think that's really important even if this is not the place where you're going to really find your stuff. You've had this other experience. And I think they feel special being able to go in there and look at those old documents. And there's this kind of

possessiveness that this is yours, this is your project, this person is bringing this thing for you. (MPT02, lines 116-129)

In this way, the interviews have helped us to include evaluation questions that probe what archivists want to know, yet also allow researchers to respond to what most concerns them, in a language that they understand.

B. Other Evaluation Instruments

While we were making progress on the hard work of analyzing these interviews, we were also looking at a number of other evaluation tools—other surveys. Specifically, the three we examined in most depth were ServQual (Zeithaml et al., 1990), LibQual (Hoseth & Kyrillidou, 2006), and WebQual (Barnes & Vidgen, n.d.). We were interested in understanding how these instruments mapped and subdivided the topics to be evaluated—their conceptual frameworks. We also wanted to look at the actual structure of the questions, e.g., multiple choice, Likert scale, open-ended questions, and the language, term definitions and instructions of the questionnaires.

ServQual and LibQual use a scheme for measuring satisfaction that tries to take account of user expectations. For each aspect of service, researchers are asked a set of three questions: their minimum acceptable level of service, the level of service they perceived they actually experienced, and their desired level of service. This allows libraries to quickly target areas where there the biggest difference exists between the perceived and minimum acceptable levels are service exist. This is an interesting method, but relies on respondents having some sense of realistic expectations for a service. Is this true of archives? We think not.

The conceptual frames for ServQual and LibQual+ have also been instrumental in our thinking about metrics for archives. ServQual's conceptual frame is has five components: 1) Tangibles (modern equipment), 2) Reliability (keeping customers informed about when services will be performed), 3) Responsiveness (Willingness to help customers), 4) Assurance (Employees who have the knowledge to answer customer questions), and 5) Empathy (employees who understand the needs of their customers).

Building off of this, the LibQual+ instrument evaluates three dimensions in libraries: 1) Affect of Service (When it comes to ... giving users individual attention, my minimum expected level of service is) ... 2) Information Control (When it comes to ... A library Web site enabling me to locate information on my own) and 3) Library as Place (When it comes to ... Modern equipment that lets me easily access needed information).

WebQual assesses web-based resources using four dimensions: 1) Usability, 2) Information quality, 3) Interaction quality, and 4) Overall assessment. Users are asked to evaluate on a seven-point scale the extent to which they agree or disagree with an evaluative statement ("I find the site easy to learn to operate", and then asked to rate, again on a seven-point scale how important that aspect of service is for their needs.

In the end, our instruments score answers more traditionally with 5-point Likert scales and many multiple choice answers. While we examined the question wording in these instruments, we created our own questions, sometimes mirroring the concepts.

Currently, we have considerably more concepts and subcomponents in our map than we can possibly test for in a survey of realistic length. For example, one concept is

'quality of the reference interaction' which include approachability, availability, and expertise of the reference archivist. We also have a dimension that evaluates the archives / special collections as place. At this point, we are testing questions that support many dimensions. We have not made a final determination concerning which ones will be represented in the final evaluation tools.

C. Definitions of Archival Services and Metrics

In addition to the interviews and analysis of other assessment instruments, we examined various definitions of archival and library service including the SAA Glossary (Pearce-Moses, 2005) and definitions from other projects that are working to measure use and users of information resources. One project that we found particularly useful was the E-Metrics project (Information Use Management & Policy Institute, 2006) , which is grappling with the measurement of library services in the digital realm. Both from the questionnaires and the interviews, we determined that the concept of "availability of service" is an important one to test. Everyone agreed that a reference archivist should be friendly, knowledgeable and available to help. Yet, there are many nuances of this concept ranging from having reference personnel with the requisite expertise accessible at the desk to adequate staffing in the reading room to ensuring that the hours of operation are adequate to support a research project. Looking at the E-metrics definition of "accessibility" as it can be interpreted in the world of digital services, adds even more dimensions.

> Accessibility of service is a measure of how easily potential users are able to avail themselves of the service and includes (but is certainly not limited to) such factors as: availability (both time and day of the week); site design (simplicity of interface); ADA compliance; ease of use; placement in website

> hierarchy if using web submission form or email link from the website; use of metatags for digital reference websites (indexed in major search tools, etc.); or multilingual capabilities in both interface and staff, if warranted based on target population. [5]

In the Archival Metrics Project, we have compiled all of these data: input from the interviews, other surveys, and our draft questions into a database, where we can determine how the concepts to be analyzed are aligned (or misaligned). The definitions and questions were then combined into a concept map. Our idea is that when the survey is deployed that archivists should first identify the concepts they want to investigate and then focus on the questions, not the other way around.

[5] http://www.ii.fsu.edu/EMIS/catalog_entrydetails.cfm?emetric_key=107

Table 1: Selected Portion of Archival Metrics Concept Map

2. Expectations for Service	13. What were your expectations about your visit to the XXXX archives?	Draft Faculty Questionnaire: 8 Nov. 2005; H&A, 9/18/06, General researcher; Administrator
	Was there anything that surprised you about the XXXX archives today?	H&A, 9/18/06, All
	Was there anything that surprised you about the XXXX archives support of your teaching?	H&A, 9/18/06, Faculty
	Did the XXXX archives disappoint you in any way today? If so, how?	H&A, 9/18/06, All
	Were you pleasantly surprised today? If so, why?	H&A, 9/18/06, All
	14. Did the archives meet your expectations? (Likert scale) [and follow-up question 15. If you answered "Few of my expectations were met" or "None of my expectations were met" to the above question please indicate why]	Draft Faculty Questionnaire: 8 Nov. 2005

Pilot Testing

We are now in the early pilot testing phases, working with individual subjects and interviewing them after taking the survey to ascertain how well the questions are phrased and other specifics about the instrument. This has been a good technique for rooting out confusing terminology and repetitive questions. We have completed one round of this testing in Ann Arbor, and are currently testing in Chapel Hill and Toronto. Besides helping us reformulate the wording of a few questions, we made a couple of other interesting findings.

First: people who were in the reading room doing research said they preferred a paper survey to a web-based one. We were surprised by that, because we figured that it would be easier to answer short questions on the web. But our subjects preferred paper for a variety of reasons—including convenience, and the fact that we were catching them at a moment that they felt obliged to the archive, and that they felt more confident that a human being would read and consider their responses as a whole, and this would lead them to give more considered responses.

Our second finding was that asking a researcher about her expectations for a day of research at an archive is more problematic than it is for a library. Pilot testing on various survey instruments will continue throughout the fall and winter of 2006. More broad-scale testing will also occur in the winter.

Open Questions in the Metrics Project

Still there are a series of open questions about the tools that will be addressed in the sustainability report:

- *How comprehensive will the questions be?*

Will we just do a small set of surveys, or will these be the first in a series assessing many different types of archival services, and different types of archives? How will we continue to balance standardized questions and customization on the local level? If institutions add their own questions, how much can a survey withstand before it is no longer a valid instrument?

- *How much guidance will be provided to the repositories conducting the survey?*

The project will create a User Guide for administering and deploying the surveys. This will include information about how to identify a survey population and samples, choose appropriate questions, and create a good questionnaire. Guidelines will also treat such subjects as selecting and soliciting subjects, understanding the importance of sample size, and planning a schedule for the survey. Instructions for using the survey software will also be included. The guidelines will also discuss preparing the application and applying to their university's Institutional Review Board (IRB) or ethics panel.

- *How will these data be analyzed?*

One of the most expensive parts of doing a user survey is analyzing the data: particularly analyzing responses to open-ended questions, where the user is invited to give a written response, rather than merely rating a service on a scale of excellent to poor. Realizing this, one of the project's priorities is to make assessment tools available at a cost that University Archives and Special Collections Departments can afford. For this reason, the standard questionnaires will be carefully constructed to minimize the costs of data analysis, while providing meaningful and useful assessment of the repository's services. Some repositories may choose to deploy more customized or focused questionnaires that require more data analysis. The project will assess whether it will provide access to professional consultants to provide advice to institutions for an additional fee.

- *How will it work?*

Originally, we anticipated that the surveys would be completely web-based—meaning that a web-browser would be the only tool necessary to be able to select and create a questionnaire, or to answer questions in a survey. Our findings from

interviewing reading room researchers over the last month or so, however, indicate that it might be possible to obtain a much higher questionnaire response rate if the questionnaires are on paper. This is causing us to rethink a bit, and revise our original plan.

- *How much will it cost?*

We are currently examining several different pricing models for participation in this project. Costs associated with the maintenance and management of the project must therefore be defrayed by the institutions that choose to use the tools.

Web Analytics Working Group

In addition to the validated survey instruments there are two other related efforts that complement and extend this work. The Web Analytics working group, led by Helen Tibbo, is developing a guide to help archivists understand how transaction logs and other forms of web use measurement interact with archival access tools, such as Encoded Archival Description (EAD) finding aids, Integrated Library Systen (ILS) databases, authentication procedures, and digital collections. Their other goal is to assist archivists and special collections curators in articulating their requirements for transaction logs to network systems personnel. A white paper is currently being drafted by this group which will include their findings as well as a bibliography for archives and special collections on web analytics. This group determined that comparison of web-use statistics between institutions was not very useful at this point, because small details in the way that use is measured create large differences in the meaning of the numbers.

Rather, they argued that self-benchmarking should be the rule for measuring use of archival collections presented on the Internet.

Impact Working Group

The final piece of this puzzle is headed by Wendy Duff, the Impact Working group planned and is executing a study at Yale University involving four questionnaires, administered at the beginning and the end of the school term. Two short questionnaires assessing professors' and students' use of primary sources and online educational tools were administered in the beginning of the 2006 winter term. The participants attended an archives'orientation session designed to acquaint them with archival services and the use of primary sources. Another two questionnaires (students and faculty) were administered to participants in the end of the term, assessing the value of the orientation session and the use of primary sources for teaching and learning. The Impact Working group is currently analyzing these data and findings will be presented shortly. In addition to working with these data as data, the group will assess whether or not the results truly address the issue of impact.

Conclusion

These three efforts complement each other. The intention is to offer archives more insight into evaluation possibilities and to provide repositories with validated tools and measures so that each one does not have to reinvent the wheel for every evaluation effort. While the surveys will be concrete tools, the impact measures may be less conclusive and the web analytics group will provide guidance and cautions for setting up programs to capture information about digital use, analyses of these data and

comparison with like repositories. Taken together, we hope to help the profession focus on assessment with robust tools and information.

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CONTINUITY AND CHANGE --

RECORD CREATORS AND RECORD VALUES

Susanne Belovari

ICA / SUV SEMINAR 2006, Reykjavík, Iceland

Shared Concerns and Responsibility for University Records and Archives

If I could change the title of my talk retroactively, it would now read, *Change amidst Continuity –Record Creators and Record Values,* to emphasize the fact that change -- from within or without and whatever size and shape it takes -- might cause havoc with archival theory and practice. To make this point, I will discuss my work with rediscovered Holocaust records of the Jewish Community of Vienna, Austria (IKG) and broader ramifications of that work.[1] I will briefly summarize the history of the IKG and its archives as well as typical records produced over time. This thick description allows me to highlight the instability of two archival concepts, record creator and record values, showing how changes within the IKG and emerging symbolic values/functions of Holocaust related records impact archival work. While this is a special case, such changes and what they imply for archival work are more general. I will, therefore, end by discussing just two examples of changes -- in record creators and record values -- that are relevant to many university and research archives.

The history of the IKG

Let me begin by briefly summarizing the history of the IKG.

After a long history of settlements and expulsions, the Jewish community in Vienna started to grow by the late 1700 early 1800s largely due to decrees such as the Jew Decree of 1764 or the Edict of Toleration of 1782. To put that population increase in numbers: in 1800 there were about 1200 Jews in Vienna representing about .5% of its population. By 1856 there were 15.600 and by 1900 147.000 Jews constituted 8.7% of Vienna's population. This represents an almost 20 fold proportional increase in a century.

In 1849, Vienna's Jews were officially permitted to form *one* central community organization, the IKG, representing all Jews and Jewish religious groups in Vienna. The IKG eventually became a corporate body under public law, and began to provide religious, social and educational services and subsidized most Jewish associations.

The Jewish Community of Vienna was one of the largest in Europe and after 1918 represented over 90% of Jews in Austria. About 170,000 Jews, more than 10% of Vienna's population, lived in the city before 1938. The Jewish Community of Vienna was almost a Jewish Community of Austria then and, important for our talk, its archives were akin to a central Jewish Archives of Austria after 1918.[2]

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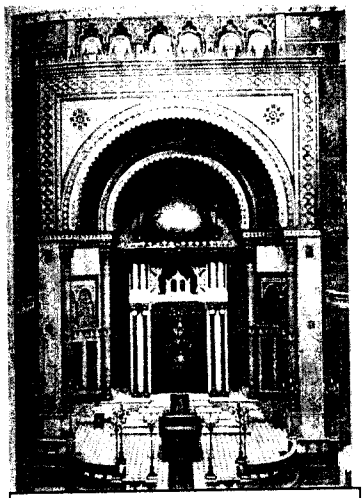
[1] From June 2002 to June 2004 the author worked as historian (re: restitution and Jewish Community history) and as archivist for the IKG and its Holocaust Victims' Information and Support Center (Anlaufstelle). Being responsible for historical archival records, she designed a new IKG archival framework and infrastructure and laid the foundation for an eventual re-opening of the historical archives. The author processed, organized and supervised the microfilming of 95% of newly found NS archival material (ca. 330,000 pages) and 100% of newly discovered pre-1938 registry material (ca. 225,000 pages). These newly found records were the initial impetus towards re/creating IKG's archives. Together with two colleagues, she also inventoried all IKG historical archival holdings deposited in Jerusalem (about 350 laufmeter) and prepared microfilming of their NS records (approximately 800,000 pages). The author is a member of the *Cataloging Working Group of the International Shoah Archivists Working Forum* and participated at the *First International Shoah Archivist Working Forum*, New York, 2004.

[2] For demographics see the *IKG Taetigkeitsbericht 1933-36,* Matrikenamt (report of registry department), table II, pp. 110-111; *Statistisches Handbuch fuer den Bundesstaat Oesterreich* XV Jahrgang, Table 7, p. 8 (Statistisches Jahrbuch fuer Oesterreich 1938,


Jewish Kindergarten pre- 1938

What you see here are examples of synagogues and institutions that did not survive the NS period and you see the web portal of today's IKG. This is also the door to the one synagogue that was not destroyed, out of perhaps 130 houses of worship that used to exist in Vienna. Out of approximately 206,000 Jews in Austria as of March 1938 and according to Nuremberg Race Laws (1935), two thirds emigrated or survived. About 65,000 were assassinated. In April 1945, only 5,500 Jews lived in Austria, which means about 2.7% of its former Jewish population. In the year 2003, 6710 Jews were members of the IKG of Vienna.


Turkish Synagogue pre- 1938

The history of IKG archives

What about its archives? In 1816, the council of representatives for Vienna's Jews voted to establish an archives in order to substantiate rights and privileges issued to them but routinely negated. But it took another thirty years for it to truly become an institutional archives. While stretching back into the 1600s, most records were kept continuously from the 1840s onward depicting institutional concerns of a religious community with increasingly vast educational and social functions. Next to uncommon registry material such as marriage contracts, the archives also kept track of e.g. all elections and political campaigns, assembled a collection of anti-Semitism materials, and kept the records of innumerable associations and foundations either controlled, administered, or financed by the IKG.

In the 1920s, the archives reorganized records and cataloged them by subject terms and individual names. *IKG's* Historical Commission established in 1901 assisted in this as did other local developments in the archival field. Sigmund Husserl for instance suggested a Central Archives of Austrian Jewish Communities in the early 1900s, a Jewish War Archives was founded by the Viennese Zionists after war broke out in 1914, and various small archival journals founded in the 1910s and 1920s demonstrated interest in genealogy, Jewish History and archival issues.[3] Fairly unique in Europe, the IKG archives was turning into a place for scholarship internationally. Its records offered a rare *inside* perspective about affairs internal and external to the community.

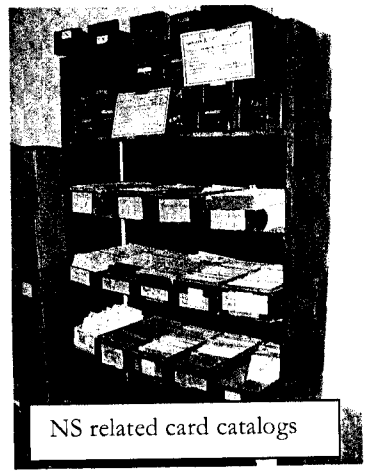
In May of 1938 the NS forced the IKG to relinquish its archives and library. The NS closed down the archives and, except for registry material, appears to have forgotten about it. It has not reopened since. No archival records management program existed during the NS regime. How and why records were kept under most difficult conditions in intervening years remains unknown nor was keeping an archives a priority for the IKG after May 1945 considering the enormous challenges to be faced in post-war

published in May 1938) as well as volume IX and volume VIII, the latter showing demographics for 1869-1923; for census data and interpretation see also, Leo Goldhammer, *Von den Juden Oesterreichs*, p. 6-16, in: Taubes Loebel and Chajim Bloch, eds., Juedisches Jahrbuch fuer Oesterreich (Austria: 1932); also *The Jewish Encyclopedia, 1903, p. 437.* For IKG membership in 2003 see *Stichworte zur Geschichte der IKG Wien: Press Conference: The Existence of Jewish Communities in Austria is in Danger*, May 8th 2003 (IKG 2003).

[3] Take here for instance the following publications from the 1910s and 1920s: *Juedisches Archiv: Zeitschrift fuer juedisches Museal und Buchwesen, Geschichte, Volkskunde und Famlieinforschung; Archiv fuer juedische Famlienforschung* (under the auspices of the Jewish Museum in Vienna); *Allgemeine Juedische Zeitung: Blaetter fuer Ueberlieferungsgetreues Judentum zugleich Juedisches Archiv.*

Vienna.[4] Before discoveries in the last six years, it was assumed, although not known, that archival records having survived WWII had been deposited at the Central Archives of the History of the Jewish People (CAHJP), in Jerusalem, in the 50s and 60s totaling about 350 linear meters (ca 1200 linear feet). It now appears that units of records were torn apart rather randomly after WWII and documents were deposited unsupervised in numerous locations unknown just a few years later. No inventories were created. Document disposal was not documented and weeding occurred unsupervised whenever records were considered deteriorated or irrelevant. Records and artifacts disappeared from offices and unsupervised depositories.

Currently, we know little besides hearsay how over one million pages ended up in an abandoned building and elsewhere: disintegrating, scattered, unordered, and incomplete. Over the last seven years, several astounding discoveries of records have filled gaps in existing IKG holdings, for example records from the NS-period, pre-1938 registry material and post-1945 documents originating, for instance, in the general secretary or dealing with real estate issues (including post-1945 restitution documentation) and the Victims Welfare Act (1947). Keep in mind that the IKG records recently discovered in Vienna and those deposited in Israel represent probably the largest European Jewish community archives still in existence. It is also the most extent collection from the NS period. Most other collections were never as large or were destroyed during the Holocaust, including much of the Central Jewish Archives of Germany.[5]



NS related card catalogs

Facets of Records

Before 1938, the IKG produced a rather unusual mix of records: there are *institutional* records as the byproduct of daily institutional activities ---supervision of all prayer houses or of financial transactions for instance, and there are *individual* type records in terms of traditional registry records, membership lists and voting records in particular.

However, during the NS period IKG's functions changed and therefore its records. The NS closed down the IKG in March 1938 and reopened it two months later as an NS approved, centralized, large corporate body under public law. The IKG had become an NS entity of sorts that the regime used to administer, organize and ultimately 'dispose' of Jewish assets, associations, and individuals. Records document IKG's involvement in these different tasks including social welfare, emigration and deportation of some of the over 200.000 Jews. The IKG was eventually dissolved and replaced by a 'Council of Elders of Jews' which was an association and no longer a corporate body under public law.

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[4] In contrast to Germany where a central Jewish archives was founded in 1905, there was no move to establish a central archives for Austria. Perhaps there was no perceived strong need to do so as the IKG represented over 90% of Austria's Jewish population. Since WWII, the IKG Vienna has not operated an archives physically or functionally, and records are scattered across localities and continents. Many IKG historical records were deposited at the CAHJP (Central Archives of the History of Jewish People) during the 1950s - 1970s. Since the late 1990s, IKG ongoing administrative records are stored at a depot. Contemporary and most historical registry records are at IKG's registry department. A few documents and plans were deposited at Vienna's public Jewish Museum in 1993.

[5] Honigmann, Peter, Die Akten des Exils: Betrachtungen zu den mehr als hundertjährigen Bemühungen um die Inventarisierung von Quellen zur Geschichte der Juden in Deutschland,Jüdisches Archivwesen. *Kolloquium aus Anlass des 100. Jahrestags der Gründung des Gesamtarchivs der deutschen Juden* (2005); Archive und Archivwesen. *Encyclopaedia Judaica.* Bd. 3. Berlin 1929, Sp.236–295; Zivier, Ezechiel, Eine archivalische Informationsreise, *Monatsschrift für Geschichte und Wissenschaft des Judentums,* 44(1905), S. 209–254

Its tasks were to manage the few buildings and institutions left and to care for a couple of thousand Jews remaining in Vienna until the end of the war.

And in this, records clearly reflect a dichotomy at work within the NS regime: it had an absolute need to keep track of and account for individuals in a process, whose ultimate outcome, however, was to dehumanize, depersonalize and eventually destroy each one of them. See here for instance the numerous card indices and deportation lists, propaganda posters to elicit more funds from Jewish aid organizations, or records about retraining tens of thousands of Jews for emigration in professions such as agriculture, a career as butler, or lamp shade production.

The legacy of the NS regime has been long lasting in all aspects *and* in the aspect of records: the newly established Jewish Community after June 1945 was a religious organization with typical responsibilities for a now, very small Jewish population. But it was also responsible for returning and newly settled Jews, for Holocaust survivors abroad as well as for justice, compensation and restitution issues. Records, again, reflect this in terms of vast real estate restitution files, for example, and various types of holocaust victims and survivor files. They differ from NS propaganda and official records because documents are *internal* representations of events from 38-45 and thereafter.[6]

Beginning of processing, 06/02, author and USHMM staff

Record Creator – Record Group System

First, as we have seen, the Holocaust had torn apart what otherwise would have been *one* continuous institution and its continuous archives. There were basically three separate legal entities that functioned as the 'IKG': before March 38, as NS organization carrying out NS programs from 1938-1945, and as IKG since May 1945 caring for a miniscule community with very different needs.

These entities are obviously related and legal heirs to each other but were of quite different focus, size, identity, organizational structures and tasks as well as taskmasters. To reflect this institutional discontinuity we used an archival record group system organizing records by institutional rupture and time period -- before, during and after NS rule.

This rupture also meant that the newly discovered records were of little functional use/value normally associated with institutional records. The Holocaust had not only destroyed an organic historical community but also its functional relationship to its records. In its destructiveness, however, the Holocaust had forged an unintentional and special relationship between the IKG and its historical records. Records in Vienna and Israel not only trace the mechanics of a genocidal regime but are frequently the only traces left of IKG institutions, activities, events, functions, and people. And they are valued for that.

This brings me to my second point: the regime and its repercussions continues to create new uses or meaning for these records. In our case, Holocaust records are beginning to be perceived as symbols.[7]

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[6]For IKG's institutional history see chapter 1, Zur Entwicklung der IKG Wien und der juedischen Organisationen, in: Peter Boehmer (editor), Susanne Belovari, Lothar Hoelbling, Peter Melichar, Ingo Zechner, *Das Vermoegen der Israelitischen Kultusgemeinde Wien und der juedischen Organisationen 1938 - 1975,* Internal Interim Report, 3rd version (Feb. 2004).

[7] See here the important article by James O'Toole, 'The Symbolic Significance of Archives,' *The American Archivist,* v. 56 (Spring '93) p. 234-55 in which he surveys how symbolic meaning can become ascribed over time.

Emerging Symbolic Significance for Holocaust Related Records

In supporting our work and plans to found an international research institute and collective archives, the IKG repeatedly referred to symbolic value and use of records. At its most basic, symbolic here means records acquired frames of reference larger than themselves – however vague that may sound at this point. Discussing iconic Holocaust photographs, Cornelia Brink writes that images have a reality as symbol based on "the significance attached to them by individuals or groups." Such records are understood as condensing "complex phenomena and as representing history in exemplary form."[8]

It is not that Holocaust related records have always carried symbolic meanings for affected communities or the public at large. Yizkor or memorial books, deportation lists, emigration cards, photographs etc were previously used to impart knowledge, to assist in indictments, in gaining restitution, to enable research ... All of these are administrative, legal and research functions common to institutional records.

That this was the indeed case, that Holocaust related (IKG) records were once considered to have usual institutional valences, can be seen in distinct appraisal decisions taken over the years. In the 1970s, an IKG historian, archivist, and orthodox Jew, processed IKG Holocaust papers deposited in Jerusalem. He routinely discarded individual financial receipts as long as financial balance sheets existed for that year - just as the professional literature advises and just as any good professional archivist would still do today.[9] By 2002, working with similar financial receipts in Vienna, I never even considered appraising and weeding. The question of appraisal did not come up. It was self-understood that every slip of paper would be kept. Given the genocide, paper traces become precious and increasingly representative. Fragments are turning iconic, representing more than their limited content.

So what has changed in the last few decades to produce that shift? Or, more importantly: how do we as archivists detect a shift in record values and in our case an increasingly symbolic function or use – when no-one expresses this explicitly and when the professional archival literature, even journals specializing on the Holocaust, are not discussing it? As I have come to understand it, the ascribing of symbolic values to Holocaust records has emerged slowly for Jews and non-Jews alike. And it is a global phenomenon.

For instance:
(A) As Holocaust historian, I was asked by a Holocaust survivor to locate any slip of paper containing signatures of each parent lost --- such material traces have come to represent individual lives and reassure relatives that those gone, had once lived.

(B) At the IKG we would then discuss our moral obligation to return such symbolically perceived letters or objects to relatives of Holocaust victims – even considering this runs counter our professional obligation for preserving collections and provenance. We ultimately did not return them, but that is a different issue.

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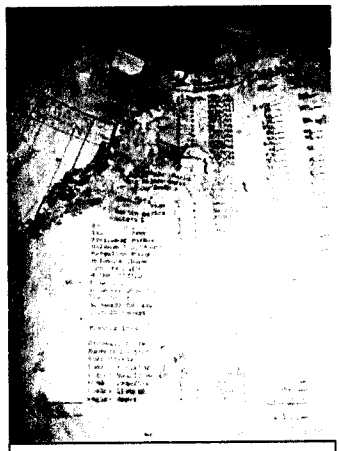
[8] Brink, Cornelia, *Secular Icons: Looking at Photographs from Nazi Concentration Camps,* p. 8 (online version), History and Memory, 12, 1 (2000), pp. 135-150.

[9] In hindsight this was unfortunate. Processing NS related documents demonstrated in Vienna, what Ezechiel Zivier had argued *already* in *1905*: individual financial receipts are among the most carefully kept records. They offer rare information about cultural, social, political and economic interactions – just think of cuneiform in this context. I also found that NS receipts include information about individual Holocaust victims who left no other archival traces.



Name lists from NS period

(C) Notice also people's reactions, perhaps your own, to images of Holocaust records. Reactions, impact, and emotional responses go far beyond what you'd expect from the content depicted. The records and images are viewed, understood and treated as standing in for the larger context of genocide.

(D) But it is also the particular uses of and display techniques for photographs, objects, and records in museums, books, and elsewhere that contributed to these items becoming icons, de-contextualized objects standing in for something larger. A larger story about which more and more was published and discussed over the years so that people presume to know what's being evoked or commemorated and assume that an individual item is equal to the task at hand. The original task of conveying specific knowledge pales in comparison.

(E) And with Holocaust survivors having become the 'bearers of history" and the generation dying, functions of testimony, commemoration and evocation are taken to be a duty and are fastened onto objects, records -- which, after all, are the historical legacies of their experiences.[10]

Whatever other reasons, local and international there might be, there is little discussion of this shift in the literature and there is none concerning archival records. I have located only a few historians tracing such a shift toward symbolic or iconic meanings when discussing Holocaust oral interviews, biographies or photographs. At the 2006 Society of American Archivist Conference, Rosemary Horowitz, an associate professor of English, was the first to talk about this shift for Yizkor books. She traced how Holocaust Yizkor books once valued for informing survivors about each other and their disappeared communities are turning into testimonials. These are not so much valued for what they can tell about a community but for keeping a bygone community symbolically before our eyes. Ms Horowitz suggested that this redefinition will effect collection development and archival treatment of books now seen as artifacts.[11]

Indeed, the new symbolic understanding of Holocaust records affects archival work, in general, and in more aspects than Ms Horowitz was able to discuss. For myself, it has informed appraisal, particular access tools and displays, preservation decisions, discussion about returning items as well as the archivist's interaction with record creator and users.

Let me summarize my observations until now:

- First, in the case of the IKG, catastrophic *external* factors transformed both record creator and, in the long term, record values.
- Second, the growing symbolic significance of Holocaust related records appears to be a global phenomenon.
- Third, transformations in a record creator can affect functions and values of records, of course. Therefore, these changes might be interrelated.
- And fourth, symbolic significance of records as well as changes in records creator affect archival work in many if not all aspects.

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[10] Rothberg, Michael and Jared Stark, *After the Witness: A Report from the Twentieth Anniversary Conference of the Fortunoff Video Archive for Holocaust Testimonies at Yale*, History and Memory, 15, 1 (2003), pp. 85-96; Braitermann, Zachary, *Against Holocaust-Sublime: Naïve Reference and the Generation of Memory*, History and Memory, 12, 2 (2001), pp. 7-28.

[11] Horowitz, Rosemary's presentation during the session, *Yizkor Books, Weblogs and Ethnic Cleansing: Grassroots Documentation and New Technologies*, DC 2006: Joint Annual Meeting of NAGARA, COSA, and SAA.

General examples relevant for university and research archives

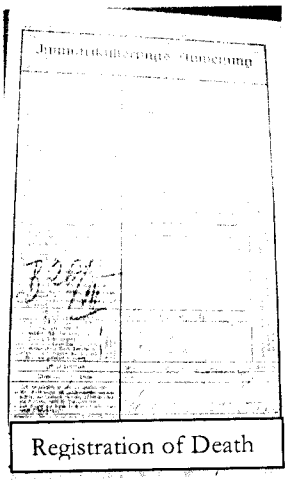
But how is this relevant for university and research archives except for specialized Holocaust archives? Let me introduce two examples to show how this probably applies to many of our institutions and not necessarily within the context of a genocide.

Registry Records

Example number one concerns registry records.

Most of us know that the Genealogical Society of Utah, GSU, microfilms or scans registry records available in many of our archives. It then makes these accessible through its family genealogical archives. Many of our institutions, including the IKG, collaborate with the GSU in exchange for free microfilm or digital copies.

What many might not know is that the GSU is part of the Church of Jesus Christ of Latter Day Saints, the Mormons. And for the church, registry records have symbolic, that means here religious value.

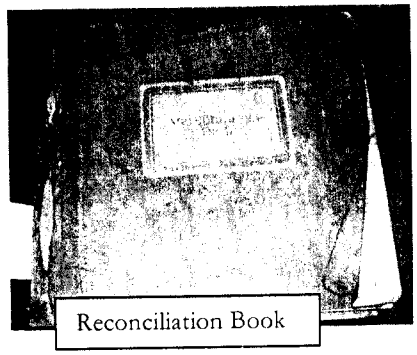


Registration of Death

For the Mormons, data recorded in these records stand in for individuals. In a process more complex than I can describe here, data is extracted and baptized in temples. Baptism carried out over this data offers salvation to the souls, souls who are indestructible, souls who continue to mature after death and who are therefore able to accept or reject baptism even if they had died as an immature child. Baptism is supposed to happen only for direct ancestors of living members of the church and their friends. In reality, however, that policy is stated and interpreted rather generously to include almost every one.[12]

For Jewish organizations, baptism or Christian conversion via archival records and surrogates – while not believed in – is offensive. It smacks of forced conversion so hauntingly familiar in Jewish history and is particularly offensive when it concerns Holocaust victims who were killed precisely because they were Jews. Indicatively, Jewish opposition to this practice in the early 1990s centered on baptism of Holocaust victims via their registry records --- indicating again that these records, even their data, had come to represent the victims.

Jewish organizations signed an agreement with the LDS in 1995 removing formerly baptized Holocaust victims from the International Genealogical Index and prohibiting future random baptism. That was the condition under which the IKG permitted the GSU to microfilm its registry material for instance. As it turns out, though, recent information indicates that the LDS is not keeping its commitment.[13] While wanting to make their registry records globally available, archivists better consider the symbolic value and use of registry records by the LDS (going beyond 'normal' uses of records) -- before they decide to collaborate with them. Baptism via data is likely to be



Reconciliation Book

[12] It should not be overlooked that particular members, saints in LDS, can receive revelations, i.e. truths, that are not necessarily codified or binding for other members.

[13] Mokotoff, Gary: *The Mormon/Jewish Controversy: What Really Happened*, reprinted from the summer 1995 issue of AVOTAYNU, its online version and updated in summer 2006, http://www.avotaynu.com/mormon.htm (viewed September 08, 2006). Mokotoff was then president of the Association of Jewish Genealogical Societies. See also *The LDS Agreement, The Issue of The Mormon Baptisms of Jewish Holocaust Victims And Other Jewish Dead,* http://www.jewishgen.org/InfoFiles/ldsagree.html (viewed September 08, 2006). This site contains articles, correspondence, agreements from 1995-2006.

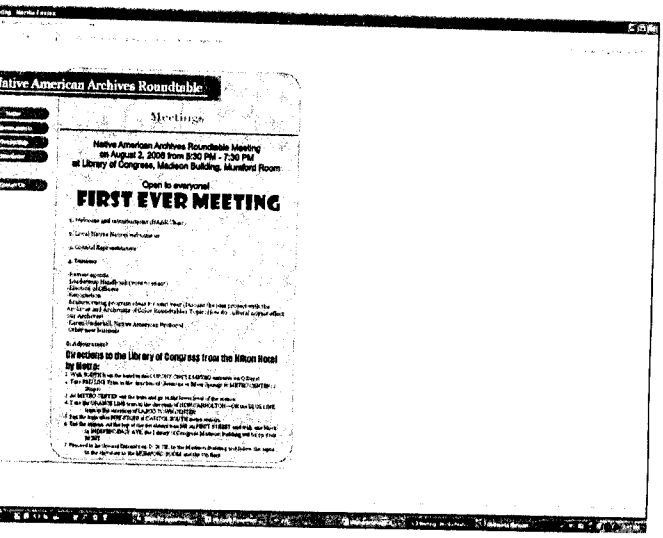
offensive to many groups and individuals, atheists and agnostics included. The Armenian and the Russian Orthodox Churches have also protested, for example, and Jewish individuals are now calling on archives to insist on their copyright and withdraw record copies from the GSU.

Ethnographic Records

Example number two concerns ethnographic records.

Many of our archives hold ethnographic field notes, research notes by faculty and outstanding researchers, recordings, images, and even artifacts.

Over the last 15 years, indigenous peoples across the globe managed to redefine record creators and the symbolic significance of museum objects and increasingly archival records. The record creator is not so much the researcher any longer as the indigenous collaborator involved in creating the records. Along with this, the relative power over such records is beginning to shift. Indigenous demands force archivists to consider the following questions. Who determines what is to happen with such objects and records? What is symbolic, sacred, or secret and what public access is permissible for such items or information? Which records should be returned? Which staff can work with such records at archival and other institutions? And when should items be allowed to decay 'naturally?



Australian indigenous peoples, for instance, presented a protocol for libraries, archives and information services in 2000 outlining what they consider appropriate access, description, and return of records, as well as appropriate staff handling such objects. In the US, the development began with a legal victory by Native Americans. Through the 1990 Native American Graves Protection and Repatriation Act, burial, sacred and cultural patrimony objects in museums have to be returned upon request. Currently, Native Americans are developing a protocol similar to the Australians for archival records and practice – a draft is already available.[14]

It behooves us all to think carefully about these issues and how we will get involved, react and readdress our practices. How will we handle such implicit donor agreements in comparison to agreements we usually feel comfortable signing – particularly against the backdrop of historical changes and internal politics within indigenous communities? Should we -- and how would we -- insist on universal access and our informed freedom to carry out our work unrestrictedly, and related issues? These radical redefinitions of record creator and symbolic values, and all that these entail, will affect all areas of our archival work.

This not only raises possibilities for collaborative approaches toward records and record keeping. We will also have to ponder benefits and costs of giving up uniform archival practices – because other ethnic and religious groups are sure to follow.

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[14] *Protocols for Native American Archival Material,* http://www2.nau.edu/libnap-p/, draft 7/18/06; for Australia, see *Aboriginal and Torres Strait Islander Protocols for Libraries, Archives and Information Services,* www.cdu.edu.au/library/protocol.html (last modified June 29, 2000); Native American Graves Protection and Repatriation Act 1990; *WIPO, Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore, Sixth Session, Geneva March 15-19, 2004: Traditional Cultural Expressions/Expressions of Folklore Legal and Policy Options,* Document prepared by the Secretariat, Dec 1, 2003; *UNESCO, Convention for the Safeguarding of the Intangible Cultural Heritage,* Paris, October 17, 2003; Brown, Michael F., Cultural Records in Questions, Information and Its Moral Dilemmas, *CRM (Cultural Resource Management)* 21(6): 18-20.

Photo Credits:

Jewish Kindergarten, XX. District, Othmargasse 46 and *Turkish Synagogue* in *IKG Taetigkeitsbericht 1933-1936*
Beginning Processing, 06/02 and *Name lists from NS Period* by USHMM
Registry record images, card catalog by Karl Nessmann/Susanne Belovari
IKG portal from its webpage, http://www.ikg-wien.at/
Native American Archivists Roundtable Meeting from its webpage,
http://www.archivists.org/saagroups/nat-amer/index_files/Page516.htm (as viewed on September 18, 2006)
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mgr Anna Domalanus
Adam Mickiewicz University Archive

WATER IN THE ARCHIVES

The experience of the Adam Mickiewicz University Record Office

We are constantly hearing news of all kinds of disasters happening in many parts of the world. We learn about fires, floods, gales and earthquakes, and the suffering they bring to people; there is much less talk about how they affect archives. One can hardly hear, even on the local news, an account of a pipe bursting somewhere and causing extensive damage. A triviality, one might say. But on 8 October 2004 nobody at the Adam Mickiewicz University Record Office thought so when informed about a breakdown of a water pipe running through one of its repositories. Immediate steps were taken to organise the most efficient rescue action possible.

First of all, a check had to be made of how many files had been flooded or wetted. On the basis of the water level visible outside the storerooms - about 100 cm - it was assumed that some 250-300 running metres of documents had been flooded. Those preliminary estimates turned out to be too optimistic, however; in a few rooms the water reached an unexpected level of 220 cm, up to the highest shelves.

1. Scene of disaster

When a fire brigade had pumped out some of the water and made all the inundated places accessible, the extent of the damage turned out to surpass earlier expectations, not only in terms of the volume of materials flooded, but also the state of rooms and documents. The fast-flowing water had thrown many boxes

with documents from the shelves, there was hardly any passage between the racks, and loose sheets of paper floated on the water surface - a real archivist's nightmare. Still, the measures taken between the first scene-of-disaster inspection and the start of direct salvage of the records after the water had been pumped out allowed the staff to take care of the whole - 600 running metres of various kinds of documents.

2. Flooded files

The salvage operation

The Record Office staff has never been trained to respond to a situation like that, but knowledge gained during the studies and systematically expanded at a variety of meetings and conferences and on a self-study basis helped them to prepare and carry out the salvage operation efficiently. Included in the action co-ordinated by one of the Office employees were the various departments of University Administration, particularly Maintenance and Procurement. Advice was offered by conservation specialists from the University Library and the State Archives. If the staff met with a refusal of assistance from external institutions, the University Chancellor intervened in person.

The fire brigade foresaw the pumping to have been completed by 14:00, hence blue-collar workers had been arranged to turn up at that time to

3. Evacuation

evacuate the flooded documents from the second-level cellars. Space had been arranged for in Poznań's largest industrial cold store for the refrigeration of the documents. Additional cars had been hired to make the transport as fast as possible. Extra equipment and protective clothes had been purchased as well as materials that might prove useful.

4. Evacuation

At 15:45 the records started to be removed from the cellars, packed in plastic bags, and loaded onto lorries. The cars carried them to the cold store where, under the supervision of some of the Office staff, they were placed in special containers safeguarded with plastic wraps, labelled, and transported to the place of refrigeration.

Even though the operation went very smoothly, it took almost until midnight. The Maintenance Department provided hot beverages and refreshments. The Procurement Department immediately supplied replacements whenever notified about things running short - bags, gloves or any other objects necessary for efficient action to continue. The cars of the Transport Department took some of the employees home. An Office worker living outside Poznań had to spend the night at a hall of residence.

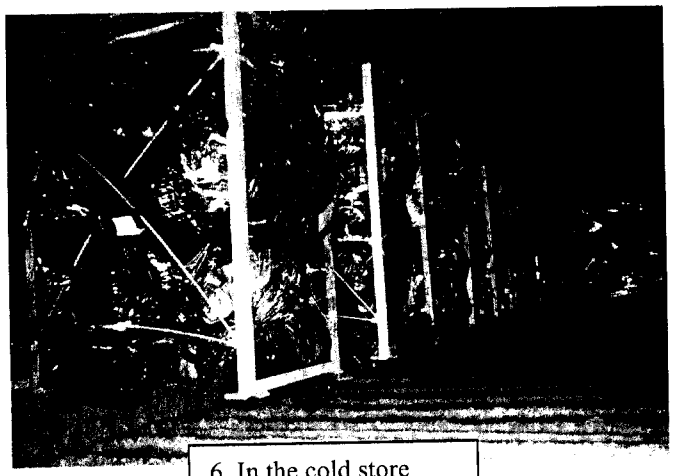
5. Beverage

Over the next few days the state of materials which had remained in the drying rooms was checked and some were also qualified for refrigeration. As to others that were

only slightly wet, the Office staff decided to dry them on their own in rooms given them for temporary use.

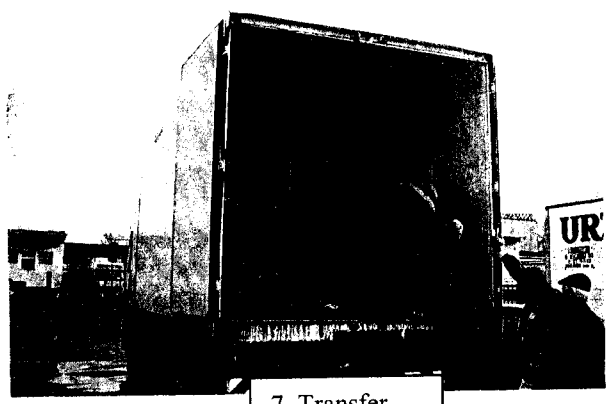
Drying and disinfection

The next step was to find a way of properly drying all the records, which was no simple matter. There are several large libraries in Poland equipped with the right facilities but of small capacity, usually 1 m^3. With the help of the Wrocław University Record Office and the State Archives in Poznań, a firm was contacted that dealt, among other things, with disinfection and occasional drying of archival and library materials on a large scale. The firm had gained experience when salvaging the resources of record offices and libraries during the 1996-1998 floods in Poland. After a contract had been signed, refrigerated trucks transferred 27 tonnes of frozen documents to Wrocław, where the drying and disinfection took place under the supervision of AMU archivists commuting to the city on a regular basis.

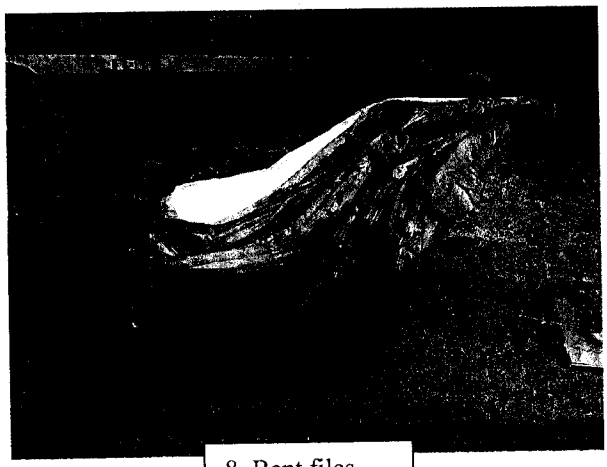


6. In the cold store

Unfortunately, it was impossible to employ the typical lyophilisation (freeze drying) procedure. Owing to the state of some of the salvaged documents (bent, twisted), it was necessary to



7. Transfer



8. Bent files

defrost them partly to a temperature at which they could be delicately smoothed and arranged without damaging the paper. Specialists in paper conservation consulted by the Office staff assured them that such a departure from the accepted procedure was unlikely to do harm to the documents on condition they were placed in the drying chamber soon enough.

The drying and disinfection work took more than four months. The AMU Record Office monitored the state of the documents and each step of the procedure. This made it possible to anticipate the scope and sequence of the next measures to be taken.

Sorting

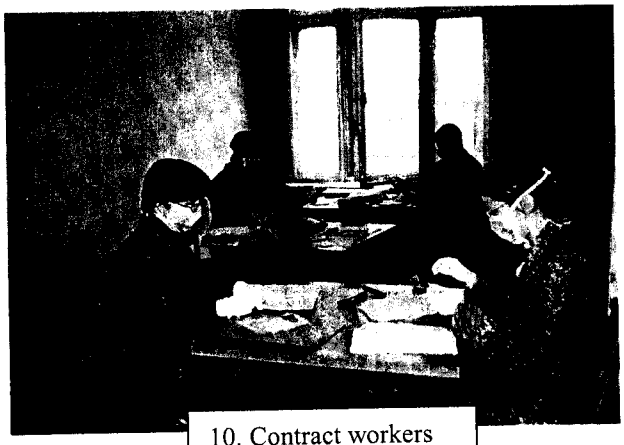
The documents returned to the Record Office at last and tedious work started on their arrangement, conservation, and retrieval of data.

Naturally, the dried and disinfected materials did not return to their former place in the deep cellars, which continued to be damp despite the air dryers still working. They were deposited in other rooms made available to the Office specially for that purpose.

9. Files ready to be sorted

The damaged documentation covered the years 1920-2002. It included student records, doctoral and post-doctoral procedures, payroll data, materials concerning

the University's foreign contacts, research works, photos, floppy disks, and CD records. To start with, the sequence of document sorting was established since some of them had to be made immediately accessible. Some of the difficulties encountered in the process were expected, but some were new.



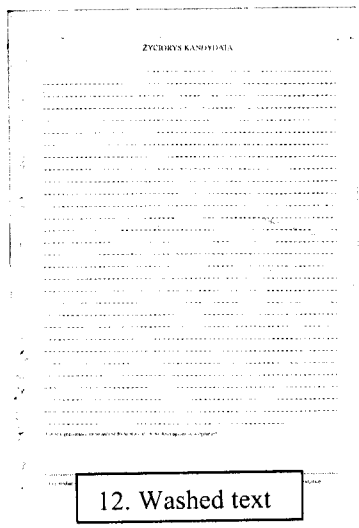
10. Contract workers

Since the Record Office staff is not large - four qualified workers - and it was necessary to ensure the continuity of regular work, six people were engaged on one-year contracts to deal specifically with tasks involving the flooded documents. They were history graduates specialising in archives, well prepared for the work and enthusiastic about it, even though during recruitment talks they had been fully informed about the scope of their job, the state of the documents, and the difficulties they would meet.

The first stage was to divide all documents provisionally, as far as was possible, into sections and faculties in accordance with the structure of the records. Folders that were preserved as integral wholes were sorted by catalogue number. Student records were the first to be dealt with, because deans' offices need them most frequently, and also because of the provisions of the Social Security Act in force. Next came the documentation concerning academic titles and degrees, for similar reasons. The longest to await their turn were records of a purely administrative nature: financial and payroll documents, various letters, etc.

11. Sorting documents

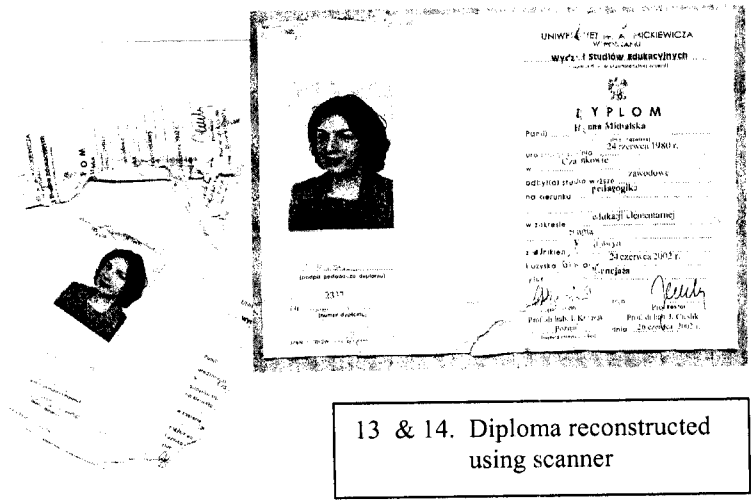
The papers were segregated, transferred to new folders, and described. It often posed tremendous difficulties in cases when a folder stayed whole, but the documents became totally illegible with the text washed out completely. There were also problems with photos in folders as well as CD records and floppies. The latter were removed and put away for separate treatment.



12. Washed text

As has been mentioned, the documents were in a variety of states. Some only needed a change of the folder or envelope and were not seriously damaged themselves; but they were in minority. Most were badly damaged in various ways. Some sheets were completely washed of any text whatsoever, primarily printouts from ink-jet printers and handwritten papers including, interestingly enough, texts written in pencil or ball-point pen. What surprised us was the fact that some documents written in ink remained legible - despite immersion in water the ink had not been washed out. They, however, constituted a small part of the archives, mostly from before 1945.

During sorting, completely illegible sheets were put aside and thrown away if their absence was sure to cause no loss of highly important information. Very few were left for attempts at reading with the help of a special apparatus emitting ultraviolet light. Talks on this matter are being conducted with the Criminology Department in the Law Faculty of our University, which is in possession of such a facility.



13 & 14. Diploma reconstructed using scanner

There were many documents torn into parts or damaged. To ensure their use without further injury to the

already brittle paper, individual parts of pages were assembled on the plate of a scanner and scanned. It turned out that this method also helped to improve legibility of some fragments of text, but since it is highly labour- and time-consuming, it is now only employed when the documents to be made available are in the above-mentioned condition.

The data from the sorted personal records are then fed into the student database, which allows their physical use and the handling of the weakened paper to be minimised.

Among the flooded materials there were also quite a number of master's and doctoral theses. Here the procedure was easier: after a preliminary assessment of the state of all the documents, some of them were qualified for immediate weeding as giving no hope of successful conservation or reconstruction. The rest were set aside for salvage. Unfortunately, even after drying and disinfection some of the theses turned out to be impossible to restore for use: in some all the pages had congealed into a hard, compact block, others had lost the beginnings and ends, still others had fallen apart into smaller fragments, pages had gone missing in some, or it was impossible to identify the author, title or year. In such cases the documents were also classified for weeding.

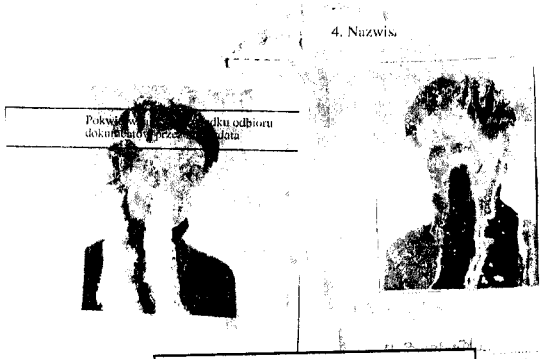
15. Compact block

Financial and payroll records present a different type of challenge for the archivists: the reconstruction of the contents of folders, broken into individual pages, requires tremendous work, but since they are long-storage materials essential under the pension regulations in force, they will have to be sorted. At present they have been divided into fairly large groups in which the sought document may be found when

needed. In their case meticulous sorting is a much slower process.

A new experience in the operation of the University Record Office has been the conservation of water-damaged photographs. They are not many, but it has been decided to try and salvage them at home, because in the opinion of specialists the cost of such measures undertaken by qualified laboratories would be disproportionate to the value of the photos without guaranteeing the desired effect. In this situation work has started on a group of photos we hoped to save. The photos, one should note, are only black and white. Colour pictures, which involve a different technique, are beyond repair. If they were pressed against a page, some of the emulsion and pigments were transferred to that page and only an empty card remained where the photo had been. A few black-and-white photos developed with the same technique suffered a similar fate while creating an even greater problem, because they caused individual pages to glue.

16. Black and white photos



17. Transferred colours

Another novelty for the archivists has been the recovery of data from flooded electronic media - floppy disks and CD records that used to be in some of the student files. They largely contain master's and licentiate dissertations. As in the case of traditional documents, those too are in various states of repair as a result of the action of water and the temperature at drying. Floppy disks are in decidedly the worse condition - the soft plastic and metal parts were more susceptible to damage than the hard plastic and metallic layers of CDs. There is work in progress on saving this

collection, but with varying success. There is no attempt to read the disks if they are bent or rusty, because this might damage the computer. It turns out, however, that even those apparently well-preserved are unreadable, and this is no question of incompatibility with a program or system - the drive does not 'see' them. The same goes for CDs. Seemingly undamaged, they are impossible to read. Interestingly enough, however, a greater role is played here by the system involved: some records unreadable on one computer are perfectly easy to open and copy on another. There have been cases of CDs that seemed to have a damaged carrying layer but were still readable.

18. Damaged CDs

Present status

A year after the dried records were returned to the Office, 90% of them have been sorted and made accessible. Work is still in progress on the restoration of the rest to a state making them usable. The Record Office staff consists at present of four qualified archivists, who have to complete the task while carrying on regular activities. It should be emphasised that the materials still to be sorted are those most labour- and time-consuming. It is hard to foresee the conclusion of the work with any accuracy, but it is certain that the archives are not going to be restored to their initial state, i.e. from before the flooding.

It was clear even at the stage of planning the salvage operation that some materials were not going to be fit for drying. And indeed, it has turned out that a part of the flooded archives - thankfully very small - is beyond repair. During the sorting, some of the most damaged materials that are also insignificant or possible to replace with others are eliminated as well. Such cases are limited to a minimum, but it is no

use keeping remnants that are no longer of any informative value. A few characteristic copies have been left as exhibits for use during training and classes with students.

Assessment of the measures taken

The question that is bound to occur is whether the disaster was possible to anticipate and avert. Of course, any water-carrying installations are a potential threat, which was pointed out when the repositories were being located in the cellars. The ill-fated pipe was put through special tests a few days before the accident and passed them successfully, so the event seemed hardly probable.

As has been mentioned, the Record Office staff has never been trained to deal with disasters. Still, when comparing the salvage operation with the instructions given in "Guidelines on disaster prevention and control in archives", one can state that it did not depart in any significant way from the steps recommended.

Taking into consideration all the elements of the measures taken, it should be emphasised that they were optimal in the given conditions and well organised. It does not seem that earlier training could have improved the operation significantly. This, however, is due to the professionalism and high qualifications of the Record Office staff, who initiated, organised and co-ordinated all the actions.

As to the records first frozen and then dried and disinfected, the costs of those operations were very high. One may wonder whether it might not have been better to make a more rigorous preliminary selection and give up attempts at preserving a part of the documentation, thus reducing the anticipated expenses. Of course, theoretically speaking, this is what should have been done, but in this particular case the kind of archival material did not permit abandoning efforts to save the entire body of records except those completely unfit for restoration because of their physical condition.

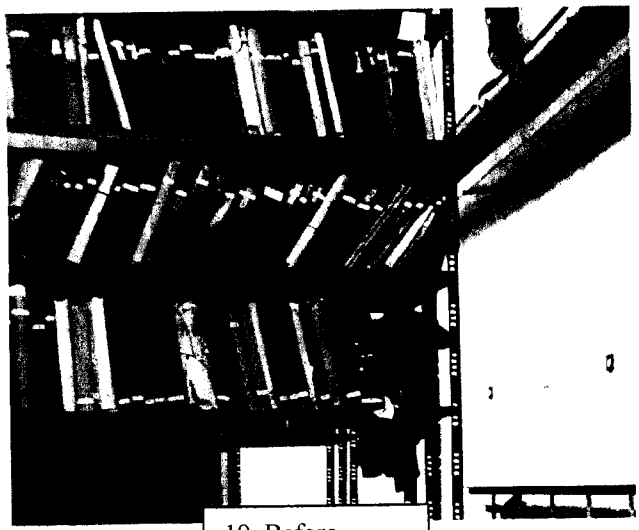
Results and conclusions

Thanks to the efficient salvage operation as well as drying and sorting work, a vast majority of the documentation has been saved. Only about 8% of materials have been lost irretrievably, and they were not records of great historic merit.

Despite the lack of prior training, the salvage operation and further measures were organised and performed efficiently and have brought very good effects. This does not mean, however, that we see no use for courses in the handling of similar events. On the contrary, taking a course like that might have helped, if possible at all in such a situation, to avoid unnecessary agitation and doubts as to the correctness of the decisions taken.

Summing up

Strange as it may be, the disaster has brought about some advantageous effects. The Office staff have gained, and are still gaining, new experiences. The scale of the accident has made the University authorities

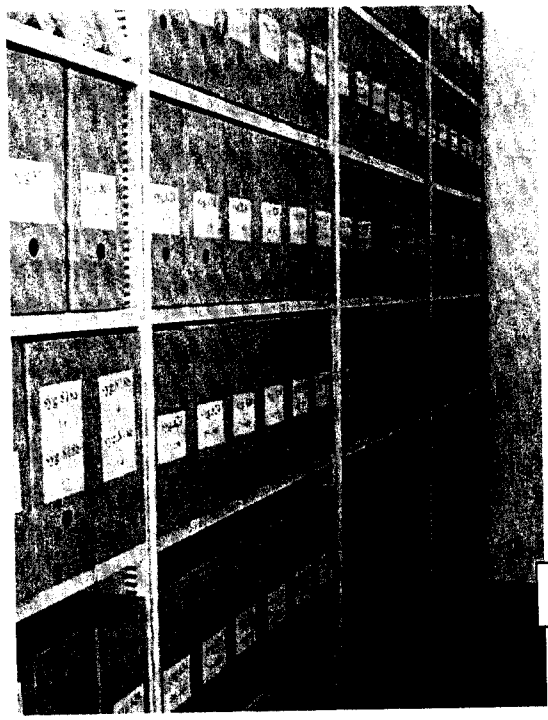


19. Before...

20. ...and

realise very clearly that the earlier suggestions about the impropriety of locating archival repositories in cellars were not exaggerated. Paradoxically enough, the disaster has allowed the transfer of the archives to much better rooms, an improvement in the working conditions of the

Record Office, and modernisation of its equipment (new computers, a scanner, a copier). It has been possible to employ another permanent, full-time worker. It is only a pity that it has taken such an appalling ordeal for the staff and archives to achieve all this.



21. ... after.

Photos 1, 2, 3, 4, 19 – Maciej Meczynski 2004; rest – AMU Archives staff.

Archiving the Icelandic Web

Kristinn Sigurðsson

ICA / SUV SEMINAR 2006
Reykjavik, Iceland
September 16

A brief history of web archiving

- In 1996 Internet Archive began their efforts
- Nordic National Libraries soon followed
  - Laws regarding electronic legal deposit have followed
  - 2003 Iceland extended its legal deposit laws to cover the internet
- IIPC

Technical challenges

- The size of the Web
  - IA has collected over 55 billion pages since 1996
  - Iceland has collected over 150 million pages since October 2004
- "Spider" software is used to "crawl" the web
  - Given a list of seeds
  - Downloads documents
  - Extracts links of other documents
  - Downloads newly discovered documents etc.
- It is possible to limit the scope of individual collections

Traps

- Using automated crawling can cause the software to get stuck in "traps"
  - Automatically generated pages that can result in crawling infinitely without discovering any real content
  - Example: A calendar that extends infinitely into the future (and/or past)
- Failing to extract links may also cause us to miss relevant content

Collection frequency

- The web is constantly changing
  - To capture changes, domains must be crawled repeatedly at intervals
  - Or an incremental crawling strategy needs to be utilized
    - Incremental crawling adds many complications and does not scale well
- The frequency of crawling depends on the nature of the collection

The Icelandic Strategy

- Iceland employs three different crawl types to capture and preserve its part of the World Wide Web
  - Large scale crawls – A snapshot of the entire .is domain, performed every 4 months
  - Focused crawl of select sites – 40 sites of particular interest were selected and are crawled once a week
  - Topical crawls – When special events (such as elections) occur, sites of particular interest in relation to the event are selected and they are crawled regularly (at least once a week)

.is snapshot

- We have conducted 6 snapshot crawls of the .is domain.
  - The crawl covers roughly 15,000 domains
  - Each snapshot captures roughly
    - 25 million web pages
    - 1260 GB of uncompressed data
  - A snapshot crawl requires approx. 2 weeks

Weekly crawls

- Selection of sites / selection policy
  - Frequency of change
  - Relevance of content
- 40 domains are currently selected
  - Most are either news sites or belong to organizations affiliated with political parties
- Each crawl
  - Runs for 24 hours
  - Collects ~650,000 web pages
  - Covers about 25 GB of data
    - Of which only about 2,5 GB are saved, the remainder is discarded as duplicates

Topical crawls

- Very commonly used in large countries
  - US Library of Congress uses them extensively
- First such crawl in Iceland related to the 2006 local elections
  - Covered ~100 domains (the list of domains was modified several times)
  - A total of 15 collections were made
  - Starting two months prior to the elections and ending two weeks after them
- Each iteration captured about 1.3 million documents and roughly 5,3 GB of "new data" or about 55-60 GB of total data

Preserving institutional webs

- Institutions and companies with large internal and/or external webs often encounter difficulties in preserving the information published on them
- Universities
  - Students and teachers produce great amount of web pages
  - Often transitory
- Focused web crawling can be used to achieve this without requiring massive amount of effort
- Defining the scope is (usually) easy
  - Limit by domain
- Frequency of crawls can take into account the volatility of the web in question

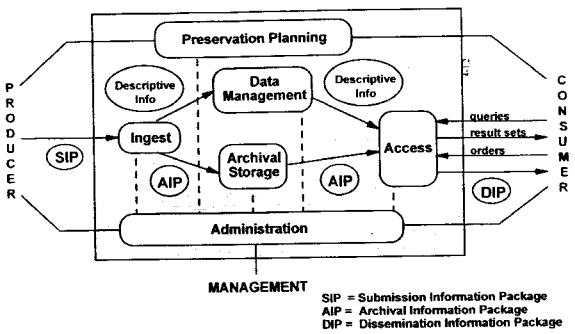
Storage

- ARC files
  - New standard WARC is being considered by ISO
- Stored on file systems
- Disk arrays
- Large scale storage solution is needed for long term preservation
  - Trusted Digital Repository

Trusted digital repository

- Definition
  - Manager/owner must:
    - Be responsible for the archive
    - Ensure data integrity
    - Be financially responsible and ensure future operating costs
    - Design and implement all systems/services in accordance with accepted standards
    - Employ a monitoring system that ensures that data is not lost
    - Be trusted to store the data
    - Make possible third party security inspections

OAIS (Open Archival Information System)



Main issues

- Knowledge
- Ensure startup and operating funds
- Recruitment
- Technology

Access

- NutchWAX / WERA
  - NutchWAX extends the Nutch web search engine to index web archives
  - WERA serves web pages from ARC files, including the rewriting of URLs
  - Demo: http://nwa.nb.no/wera/index.php
- Scaling is a problem
  - But only for archives larger then 10 million documents

Document formats

- Document formats change with time
  - Large number of document formats
    - About 10-15 account for the majority of data
    - Many formats are proprietary
  - Document contents can be complex
    - Spreadsheets
    - Documents may embed other documents!

Observed document formats

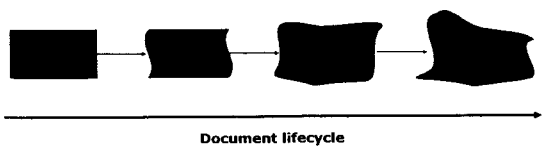
HTML text documents	69,2%
JPEG images	20,5%
GIF images	5,2%
PDF	0,8%
Text	0,8%
PNG images	0,8%
DNS records	0,53%
CSS	0,29%
MS-Word	0,28%
XML	0,19%
Javascript /Flash/Binary (software)	0,4
Excel	0,08%

Future rendering

- Migration
  - Convert to new formats
- Emulation
  - Create software to render old formats
- Standard Format
  - Convert all documents to a standard form
- Format repository

Migration

- Documents are converted to newer formats
- Can lead to the contents being distorted



Thank you for your time

- Any questions?

Links

Justifying Our Existence

By D. Claudia Thompson
ICA/SUV Conference
Reykjavik, Iceland
September 15, 2006

The focus of this conference is to explore the many ways that college and university archivists can support, and be supported by, our colleagues on campus. And, indeed, I intend to touch on those issues in this talk. But I need to start by acknowledging that in the real world things are not always so collegial. The relationships between the archives and other departments do not always run smoothly. Sometimes there is friction. Occasionally, there is real hostility. The history of the archives at the University of Wyoming, where I work, can be described as colorful. The downside of this is that our relations with our colleagues have sometimes been stormy and our staff has been subjected to unusual stress. The upside is that we have become articulate in our defense and flexible in the face of challenge, and that I have been furnished with much material to share at archival conferences. So in keeping with our meeting in Iceland, the land of the sagas, I promise you a tale of desperate struggle, daring deception, and heroic triumph in the face of seemingly insurmountable odds.

But first a word about how we got to be in the position we were in. Academic archives in the United States follow any one of three models. Some are caretakers of the records of their institutions. Some are caretakers of personal papers, historical manuscripts, and/or rare books, in which case they are frequently a subunit of the library. Perhaps the most common model of all is for the archives to be a schizophrenic mix of both these functions, charged with maintaining a research repository of primary historical

documents while at the same time functioning as a records center for obsolete files generated by the university. It is still most common for the archives to operate under the library's umbrella. If you want to find an American academic archive, it is nearly always effective to go to the library's web page and look for the link to Special Collections. You can even find the American Heritage Center (AHC), my repository, in that way, although we are a separate department from the library. People are just used to navigating that way, so we don't fight it.

The AHC is one of a relative handful of academic historical repositories that are separate departments, and therein lies the root of my story. Special collections that are units of the library are administered by the library and depend for their funding on the funding of the library. If the university trustees believe that it is necessary to have a library on campus (and most still do), the library gets funded and the archives get its slice. The archives often doesn't get a large slice, but it gets something, and it comes regularly. If, however, the archives is a separate department, the trustees have to see the need for a historical repository over and above, and apart from, the library. Since university trustees don't tend to be history Ph.D's, that can require some explaining.

It may be worth recounting how the AHC got to be a separate department. We didn't start out that way. We started out like everyone else as a collection of personal papers and manuscripts acquired and administered by the university librarian. In about 1945 a staff person was hired to deal exclusively with this material. This woman, who later became state archivist of Wyoming, put the special collections on an archival basis and stopped treating them like library material. In 1959 a historian was hired to curate the special collections unit. This is where our history departs from the norm. This historian,

Justifying Our Existence

Gene Gressley, proved to be a world-class collector with world-wide ambitions. He first designated his unit as the Western History Research Center. But Gene Gressley was a historian who grasped the significance of twentieth century history before many of his peers. He started to solicit papers from the living. In order to succeed in this, he turned flattery and ego-stroking into a fine art. And it worked. Gene's contacts were honored to think of themselves as the stuff of history, and the archives was inundated with papers. With the cooperation and assistance of the university's president, Gene expanded his reach beyond the borders of Wyoming. Special collections at the university library became the American Heritage Center, and Gene achieved independence, becoming a director answerable only to the president. As long as the personal relationship between the director and the president endured, the American Heritage Center had access to generous funding and continued to expand until it filled two floors of the library (to which it no longer answered) and two barely lighted and entirely unheated warehouses. And then, of course, the president retired.

It's not my purpose here to recount the details of Gene's subsequent course. His success in getting his program funded naturally raised jealousies, and his neglect of the materials after he acquired them raised justifiable concerns. Gene was a historian and a collector. He was never an archivist. He had never heard of the principles of appraisal. When he solicited from the great and powerful, he never ventured to suggest that every single item in that person's possession might not be transformed into enduring historical gold by its association with the fame of its owner. As a result, the two warehouses were stuffed with furniture, clothing, insurance forms, junk mail, income tax records, blank

stationary, and occasional body parts, as well as priceless historical documents. And the funding was starting to dry up.

It's now time to fast-forward to the year 2000. Gene Gressley has been gone as director for fifteen years. The American Heritage Center still survives. A number of reforms have been instituted. The warehouses have been emptied, the contents moved to a new building, which boasts heat, light, and compact shelving. The collections have been sorted out, properly accessioned (for the most part), re-boxed and shelved systematically. The staff actually knows where everything is. A reference staff has been hired and a reference room now maintains regular hours. It is actually possible for researchers to have access to the thousands of collections in the Center's custody. But significant questions still remain, and the vice president for Academic Affairs has just been given the charge of asking them.[1] Why is the American Heritage Center administratively independent of the library? And why does it continue to collect the papers of living men and women, many of whom never set foot in Wyoming? Inherent in that second question is the implication that we are wasting our time and the state's resources by soliciting the papers of nationally prominent figures with no local connections. The board of trustees has heard that we possess the papers of many people in the entertainment industry. They wonder if we are really serving the citizens of Wyoming or just acting as a warehouse for large egos in Hollywood.

One reason the American Heritage Center had survived was that it was just too big to wish away. We had 6 or 7 thousand collections comprising 80,000 cubic feet; and since Gene never asked for a deed of gift, our ownership of those collections was highly

[1] Memo, Thomas Buchanan, Vice President for Academic Affairs to Rick Ewig, Interim Director, American Heritage Center, Ocober 3, 2000.

questionable. The university couldn't dispose of our holdings because it didn't necessarily own them. But, ultimately, being a giant embarrassment to your parent institution is not the best way to ensure your existence. Having been in that position, I would highly recommend avoiding it. Fortunately, we were not just a giant embarrassment. The staff believed that the Center was one of the university's greatest assets. We believed that we needed to remain independent of the library in order to be administered according to our needs and not as an afterthought to the needs of a circulating collection of books. We now had the opportunity, and the need, to convey that belief to our resource allocators.

The vice president convened a committee of outside experts composed of both archivists and librarians to listen to the arguments we and the director of the libraries had to put forward. The library director thought it would be more efficient if we returned to the traditional role of a Wyoming special collections unit under his administration. The committee was inclined to agree with him. The fact was, we were on the defensive in the debate. The case was ours to prove, and we understood that.

So, why do we collect the papers of 20th century men and women, many of them alive and kicking and thus not figures of "history" as most laymen understand it? Well, the year 2000 was an excellent one in which to start that conversation. After that year the 20th century became, unarguably, the past. Every single thing that had occurred during that century was now history. If the original documents of that time were going to survive, they had to be archived. The American Heritage Center was in a particularly favorable position to do so. By the time the University of Wyoming started its special collections, in the 1930s, older institutions were already filled with 18th and 19th century

documents, including the documents related to our own western regional history. The Beinecke Library at Yale, on the East coast, holds the premier collection of early western manuscripts. But eastern repositories had little room left to cope with more modern collections, which tend to the massive anyway. The AHC had room, and it contains one of the best collections of 20th century materials in the United States; rivaled, perhaps, by Boston College, where Howard Gottlieb, like Gene Gressley, saw an opportunity that was being widely missed. Because these two men were collecting from the creators, rather than the inheritors, of significant documents, they saved a good deal that might have been discarded in the flood of wastepaper that the last hundred years generated.

But why did we clog our storage space with the papers of non-Wyoming figures and, especially, with the papers of mere entertainers? Why did we solicit and accept the papers of people like Jack Benny, William Boyd (who played Hopalong Cassidy), and Carl Stalling (who wrote music for Looney Tunes cartoons)? We did that because the 20th century was a national, not a regional, century. Radical advances in communications and transportation created a country in which events which transpired on one coast affected thought and behavior on the other coast immediately. Everyone listened to the same radio programs and saw the same television shows. Everyone was encouraged to pull together to help win the great wars that affected the whole world. Everyone was a part of vast social movements and cultural shifts. Huge numbers also engaged in physical movement. Much of the population of Wyoming was born elsewhere, a fact which remains true today. In the face of this, how could we confine our collections locally and hope to represent the people of the state? Regional history could not be usefully separated from its national context.

Justifying Our Existence

Archives have always collected culture, because culture defines a people. Culture grows from who we are, and it teaches us what we should be. Like it or not, children learn how to act from the culture that surrounds them. In order to understand the past, we have to understand how people conceived of themselves and their world. In order to do that, we have to understand their culture. Popular culture is as ambient as the air we breathe. It is the subject of our conversations and the substance of our memories. It is the thing we share with our neighbors that makes us a community. But modern popular culture is being reinvented all the time. When I was growing up, popular culture was all about cowboys; while I'm sure I would understand my nephew better if I knew more about teenage mutant Ninja turtles. So we need to keep records to remind us why our parents, wherever they lived, always laughed at Jack Benny; to remind us that cowboys used to be heroes not symbols of irresponsible recklessness. And if we listen to the music of Mozart to get a flavor of the 18th century, we should listen to the music of Carl Stalling. Millions and millions hummed the tunes that accompanied the antics of Bugs Bunny.

The best reason of all to document the entertainment industry is that researchers want it. Ultimately the justification for the existence of any research repository is that patrons want to see the documents we have. We, as archivists, need to be attuned to the important trends of the recent past. The importance of the entertainment industry in defining the 20th century has been borne out by interest on the part of patrons. A second topic which is proving its importance is land management. We may need to know popular culture to understand the past, but we need to know ecology to understand the future. What were the land use practices of the 20th century, and what effect are they having on

the world today? Even more than entertainment, this is not a subject that is susceptible to regional isolation. The mining that occurred on a Rocky Mountain peak may have consequences to the water a thousand miles downstream. The suburban popularity of a shopping mall concentrates gasoline emissions in a way that affects the air we all breathe. Researchers are clamoring for data to answer questions that weren't even conceived when the records were generated. That is what archives are for: to answer the questions we didn't know we would need to ask.[2]

But why couldn't such a collecting policy continue under the library's administration? The answer, of course, is that it can. As I pointed out earlier, many universities combine their manuscripts collections and their libraries under a single administration. That fact notwithstanding, the two entities have very different needs and concerns when it comes to serving their patrons. Manuscript collections are much more complicated than books and require more sophisticated reasoning from their readers. We tried to show that by explaining how our reference services work.. Gene Gressley was criticized for not doing enough to make his collections available to historical researchers. Stung by the justice of that criticism, we had been working in the years since to remove the stigma in every way we could. Of course, we set up a reading room and welcomed scholars from all over the world, but that didn't do enough to make our case with the taxpayers of Wyoming.

So our reference staff set out to create local researchers. They arranged instruction for undergraduate students of the university to explain how to access and how to use primary resources in research. In the process they formed ties and gained friends among

[2] Many of these arguments were presented in Memo, D.C. Thompson, Processing Manager, American Heritage Center to Tom Buchanan, Vice President for Academic Affairs, May 18, 2000.

the faculties of History, American Studies, Education, Music, Family and Consumer Sciences, and Pharmacy. Those initiatives continue, and the list continues to expand. The AHC staff also got involved in History Day, a competition for middle and high school students, who create a history paper, documentary, performance, or exhibit based on primary sources. Soon we had twelve to fifteen year olds bussing in with their teachers to get a taste of the kind of historical research that could win them a trip to the nation's capital if they placed well in the competition.[3]

Our decision to reach out to the young most fortunately dovetailed with a national trend to encourage the use of original documents in the education of school children. Much of this is being driven by the internet, where children are exposed to a variety of undigested opinions. Original historical documents are an excellent way to develop in young minds the skills necessary to evaluate sources and choose between conflicting authorities. It's no longer a question of whether children can understand conflicting points of view. They are inevitably exposed to opposing ideas. They need critical thinking skills. We, as archivists, are uniquely poised to provide the necessary materials.

Finally, I promised in the beginning to talk about cooperation as well as conflict. The AHC and the library, after our own staffs had made their cases, were each invited to bring some of our friends on the faculty before the committee. We invited a history professor who had been one of our first supporters. Phil Roberts believed passionately in what we were doing, so he agreed to help make our case. You should also know that Phil was a courtroom lawyer before he was a history professor.

[3] See American Heritage Center, Reference Report, 2000.

Justifying Our Existence

Before Phil's appearance before the panel, he and I were talking and I remarked, in some bitterness, that I thought the AHC had demonstrated more innovation and more leadership than the library administration. Phil agreed with me. The next day Phil went in and reiterated the AHC's programs to bring source materials to numerous age groups and pointed out the significance of the AHC's holdings and the national recognition they had brought to the University of Wyoming. And then he advocated, soberly, that the library really should be put under the administration of the American Heritage Center! Phil claims that after the committee had deliberated and decided on its recommendations, one of the members came out of their closed session, saw him, and came over to condole: "Well, we almost went your way, but in the end we decided that the departments should stay separate." So we lost the opportunity to find out how a university library system would function as a subunit of the archives.[4]

The American Heritage Center is still a separate department, thanks to the assistance of our friends on the faculty, the willingness to be convinced displayed by the vice president (who, incidentally, is now the president of the university), and the frequent visits of students. The libraries, under a new administration, are now re-thinking their function in an environment where so much library material can be delivered on-line. And we're all facing forward to the 21st century. We can never stop justifying our existence. The challenges of the past are gone. We, archivists and historians, are more than ever relevant to the future, but we need to be willing to keep on asking how we can do our jobs better, how we can reach more people, how we can make critical thinking commonplace in the classroom, how we can collect documents that never take the form of paper. It is never time to rest on our laurels.

[4] Personal communication from Phil Roberts, August 3, 2006.