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Simultaneous Multiple Provenance, Co-creation, and Digital Repatriation:  
A Conceptual Investigation Using Archived Records Shared by the  
United Kingdom with the Gulf States

A dissertation submitted in partial satisfaction of the  
requirements for the degree of Doctor of Philosophy  
in Information Studies

by

Sakena A. S. H. A. Q. Alalawi

2022

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2022

## ABSTRACT OF THE DISSERTATION

Simultaneous Multiple Provenance, Co-creation, and Digital Repatriation:

A Conceptual Investigation Using Archived Records Shared by the

United Kingdom with the Gulf States

by

Sakena A. S. H. A. Q. Alalawi

Doctor of Philosophy in Information Studies

University of California, Los Angeles, 2022

Professor Anne J. Gilliland-Swetland, Chair

This dissertation examines the circumstances and descriptions of the collections of historical and cultural materials created and/or collected during the British presence in the Gulf region from the 16<sup>th</sup> to the 20<sup>th</sup> century. It presents the unique situation of physical Gulf-based records held by the British Library (BL) and The National Archives of the United Kingdom (TNA), and today shared in the form of digitized copies through partnerships with Qatar National Library (QNL) and the National Archives of the United Arab Emirates (NA UAE), respectively. A brief review of the history of the British presence in the Gulf indicates amicable relationships between the two regions and thus that categorization of the status of these records

as either displaced or colonial is not the best fit for their nature and current situation. This research sought, therefore, to identify the understandings underlying this digital sharing, determine a more accurate way to conceive the status of these records of the day-to-day transactions of the British in the Gulf region, and reconsider how that status, and specifically provenance, might be more fully represented in the descriptions of the records created by the institutions that are engaged in this digital sharing. For this reason, the term “transactional archives” is used, which most appropriately describes the intent behind the creation of these records.

An interpretivist inductive approach was used in multiple comparative case studies that sought to investigate the suitability or not of three archival approaches that have been proposed in recent years to expand and challenge classic understandings of provenance: digital repatriation, simultaneous multiple provenance, and co-creatorship. Holdings that have been digitally shared were identified at the BL and TNA and a sample of over 900 descriptions (a.k.a. finding aids) for these collections (as disseminated by each of the four institutions) was analyzed. Data collection comprised close readings of the finding aids and interviews with staff from the institutions involved to supplement and inform the findings of those close readings. Data analysis included within-case analysis and examination of cross-case patterns.

The dissertation argues that the current definition of digital repatriation fails to completely describe the nature of these partnerships and that instead “digital sharing” should be incorporated as an additional facet of digital repatriation. This would help to ensure that appropriate rights and protections are taken into account when digital sharing occurs across parties with different identities and perspectives but certain shared histories. With regard to the status and description of the holdings being shared, the research had hypothesized that the

traditional practice of the principle of provenance inadequately represents the origins, status, and symbolic value of these shared materials to the different nations involved and so it examined the applicability and extensibility of the concepts of simultaneous multiple provenance and co-creatorship within the context of the shared materials about the Gulf. The research findings show that one institution consistently adheres to the traditional practice of provenance and views other provenancial theories as intellectual interpretations. The remaining institutions inconsistently apply provenance according to varying interpretations, ranging from singular provenance to the possibility of co-creatorship. The dissertation offers several recommendations, including accepting and practicing an expanded conception of provenance to ensure that the Gulf's narratives and perspectives that are absent from the current descriptions are represented.

The dissertation of Sakena A. S. H. A. Q. Alalawi is approved.

Johanna R. Drucker

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University of California, Los Angeles

2022

## **DEDICATION**

I dedicate this dissertation to all those who believed in me, always present in my life, and brought me to this wonderful moment.



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## **BIOGRAPHICAL SKETCH**

### **EDUCATION**

Master of Science (MS) in Information Studies (IS) from The University of Texas at Austin (UTA), 2017

Master of Library and Information Sciences (MLIS) from Kuwait University (KU), 2010

Bachelor of Education (BA) in Library and information Sciences (LIS) from The Public Authority for Applied Education and Training (PAAET), 2004

## INTRODUCTION

This dissertation addresses the unique archival partnerships that have been developed in recent years between the United Kingdom and the Gulf states and specifically their ongoing process of digitally sharing historical and cultural materials that were created and/or collected during the British presence in the Gulf region from the 16<sup>th</sup> to the 20<sup>th</sup> century. During that time period, the British kept meticulous documentation and records about their day-to-day activities in the Gulf. Also, during this time, the Gulf states did not keep textual records, so today they are very interested in understanding what they may learn from these materials about their own past. It is also important to note that archival education programs are still very much in a nascent state in several of the Gulf states. There is a limited number of courses on archival studies offered (e.g., in Saudi Arabia), usually within the greater scope of library and information sciences. Only a few Gulf states offer special educational programs in archives and records management (e.g., Abu Dhabi and Oman). In addition, there is a recent increase in the number of institutions in the Gulf that are beginning to collect archives with only a few Gulf states that have well-established national archives (e.g., Saudi Arabia and Abu Dhabi).

Nonetheless, Qatar and the United Arab Emirates (UAE) have put in place partnership strategies to collaborate with British cultural heritage institutions (libraries and archives) to identify, digitize, and share archival records pertaining to the Gulf. Qatar National Library (QNL) has partnered with the British Library (BL) to begin the long process of digitizing and digitally sharing archival materials from the BL and adding them to the Qatar Digital Library (QDL) online portal. Likewise, the National Archives of the United Arab Emirates (NA UAE) has partnered with The National Archives of the United Kingdom (TNA) to begin the

digitization process and to add these digital surrogates to the Arabian Gulf Digital Archives (AGDA) of the NA UAE.

These partnerships have created online portals that allow free access to the materials and include descriptions (finding aids) in both English and Arabic, in order to reach out to a wider audience and anyone who wishes to learn more about the history of the Gulf region. The ultimate goal, as articulated by the Gulf cultural heritage institutions, is to enable the Gulf states to take ownership of their history and to encourage historians, scholars, and researchers around the world to locate, access, and write the history of the region.<sup>1</sup> The digitization of the original records, written mostly in English, provides benefits that the physical form cannot provide, including the ability to share the records with not only the Gulf people but also the entire world. It also offers opportunities for the Gulf states to recover aspects of their history and to recontextualize these archives from their own perspectives while respecting the relationship with the British.

Due to the predominantly amicable nature of the relationship between the Gulf states and the British both historically and today, categorizing the records as “transactional records” would seem to be the most appropriate way to contemplate these digitally shared—rather than repatriated—records. Transactional records reflect the original intent behind the creation of these records in the past as well as the continuing inter-nation and inter-institutional partnerships that led to the digital sharing of these records today. Digitization initiatives between different communities and nations for the purpose of repatriating and redressing cultural materials and

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<sup>1</sup> See Maryam Ahmad Al-Mutawa, “Qatar Digital Library: A New Phase of Digital Archives,” *Bibliothek Forschung und Praxis* 43, 3 (2019): 1; Arif Shaon, “Digital Preservation to Support Large-Scale Digital Repatriation Initiative of Qatar National Library,” (2019), available online at <https://www.dpconline.org/blog/large-scale-digital-repatriation-qnl> (accessed on 3/20/2020); and “About Us,” Arabian Gulf Digital Archives, 2020, available online at <https://www.agda.ac/en/about-us> (accessed on 20/3/2020).

records that were removed or collected through colonial, imperial and other settler and racist endeavors without consent or input from the negatively affected parties have been extensively critically theorized and participatory repatriation practices developed. However, digital sharing partnerships between the Gulf and British institutions present new and interesting cases to the field of archival science, surfacing different issues to those already raised in the context of digital repatriation regarding the adequacy and singularity of perspective of existing descriptions created by the institutions that hold the original records. These in turn raise questions about the role and nature of provenance in archival description and more generally how it is important to address metadata issues a priori when entering into a digital sharing agreement. The partnerships beg the question, therefore, as to whether understandings and operationalization of both provenance and archival description need to be made more definitive and also expansive in order to better support the interests and possibly even assertion of certain rights in records of the Gulf states and their citizens (i.e., through clarifying what is encompassed in digital sharing and through recognizing the existence of co-creatorship and simultaneous multiple provenance).

The traditional principle of provenance is originally defined as 1) “The origin or source of something.”<sup>2</sup> 2) “Information regarding the origins, custody, and ownership of an item or collection.”<sup>3</sup> And 3) “The relationship between records and the organizations or individuals that created, accumulated and/or maintained and used them in the conduct of personal or corporate activity.”<sup>4</sup> These definitions together mostly focus on the origin of the source, its ownership and

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<sup>2</sup> Society of American Archivists, “Provenance,” 1997, available online at <https://www2.archivists.org/glossary/terms/p/provenance> (accessed on 3/30/2020).

<sup>3</sup> Society of American Archivists, “Provenance.”

<sup>4</sup> *ISAD(G): General International Standard Archival Description*, 2<sup>nd</sup> ed. (Ottawa: International Council on Archives, 2000), 11, available online at [https://www.ica.org/sites/default/files/CBPS\\_2000\\_Guidelines\\_ISAD%28G%29\\_Second-edition\\_EN.pdf](https://www.ica.org/sites/default/files/CBPS_2000_Guidelines_ISAD%28G%29_Second-edition_EN.pdf) (accessed on 3/31/2020).

control, and how they are used when considering how the archives are arranged and described. The traditional application of provenance to the archival records does not take into consideration the possibility of co-creatorship and simultaneous multiple provenance.

To clarify, a co-creator can be understood as any party that was involved in the creation of a record that was not the actual author by whom or authority under whom that record was created. For example, many kinds of records are of a transactional nature (e.g., a contract or invoice) or mandate that another party complete and submit them to the authority (e.g., a tax return or birth registration) and thus involve multiple parties with a direct interest in how, why, and when a record is created, managed, and shared with others. In most circumstances, the traditional practice of provenance neither recognizes nor extends rights in the records to any co-creators but instead vests provenance in the author or authority *of record* and, by implication, the rights to create, manage and share the record; it does not allow for the multiple provenance to be presented simultaneously.

In archival practice, provenance is the primary descriptive access point to a collection, and that collection is often also held in archives that directly support the authority or institution that is the provenance of the collection (e.g., TNA). In the case of the shared digitized records relating to the Gulf, this limits the source of the materials to the creator only (e.g., the British) and excludes all those others who may have contributed to the records creation (e.g., the peoples and authorities of the Gulf). An expanded conceptualization of provenance, therefore, might more adequately acknowledge other rights and claims to those records and take into account the multiple sources that simultaneously contributed to the creation of the records.

Closely related, simultaneous multiple provenance refers to a body of records that has more than one provenance: records creators and all who have contributed to the creation of the



records. In this case, the subjects of the records are now viewed as the records agents. The scope and differentiation between these two concepts are discussed at greater length later in this chapter.

Another archival concept that is argued here is digital repatriation and its inability to fully describe the unique partnerships between the Gulf-based institutions and their respective British-based partners. Generally, the term digital repatriation refers to the practice in which cultural heritage objects that are physically located outside the countries or communities of their origin are returned to source communities in digital form, and the original materials are still retained by the country and institution that holds them. Digital repatriation, therefore, allows for the original materials to remain with the country that legally owns or claims them but also allows for the states and communities to which the materials pertain to access digital surrogates while granting them the rights to these records. In other words, “materials that belong to, originated in, or were created by recordings of particular communities but that were subsequently held elsewhere, are digitized and the digital copies returned to those communities.”<sup>5</sup> This can create controversy because repatriation should require the exchange of ownership and control of the physical materials, as further elaborated upon in the section on “Digital Repatriation.”

As this research demonstrates, this definition of digital repatriation falls short in its capacity to describe the partnerships, which include the creation of online portals to digitally share the materials and not necessarily physically repatriate them in any form. In this case, the proposed concept of “digital sharing” more closely defines the partnerships between the Gulf and the British but yet, on its own, fails to offer the understandings about rights and protections that have tended to fall under the umbrella of digital repatriation. Although digital sharing may give

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<sup>5</sup> Anne J. Gilliland, *Conceptualizing Twenty-First-Century Archives* (Chicago: Society of American Archivists, 2014), 207.

access to the materials, it may not necessarily give the source community the right to present their own representations of those materials, or to set conditions of access, or indeed of stewardship.

A better understanding of what digital sharing means in the context of digital repatriation opens the possibility of extending certain rights in the shared records to others who are co-creators or who extend their interests in the records. It is important to reiterate here that the materials were not created either by the British or by Gulf peoples and entities. Rather, they were created by the British *with* the Gulf peoples and entities. The sharing arrangements in question have been made on an amicable basis and through the contribution of digitization funding by the Gulf states. In the unlikely event that these currently amicable partnerships with the British-based institutions happen to fail or discontinue, however, it would be important that rights in these digitized materials, including continued access and certain management rights, be guaranteed. Furthermore, such an agreement might allow the co-creators (e.g., the Gulf peoples) to decide what materials they choose to digitize rather than the British institutions alone deciding how the materials must be digitized, described and made available online.

On the other hand, under the rights to the records typically protected by participatory models of digital repatriation, one or more of the Gulf states could potentially invoke their rights as co-creators and block the British from providing access to certain materials online - for instance, sensitive, confidential, and/or controversial materials that could possibly cause a conflict of interest or harm to that particular Gulf state, entity, and/or individual. Lastly, the rights to the records under digital repatriation guarantee equitable rights for the British and the Gulf archivists to work together to, for example, determine the confidentiality of recent records and decide whether or not to open access to these controversial records on the online portals.

Hence, the rights to the records for all the digitally shared records between the British and the Gulf are now protected under the definition of digital repatriation.

Previously studied cases have discussed the digital repatriation of archival records by settler-colonizers to Native American peoples, Australian indigenous peoples, or to countries such as Algeria or Korea that were colonized or subjugated. Generally speaking, many of the Gulf states were not officially colonized but were historically viewed as British protectorates, and their archival materials were not appropriated or held captive. Instead, the European powers, and more specifically the British, that were present in the Gulf mainly conducted trade, transacted other kinds of business, and offered protection to the Gulf rulers as a condition of their use of the region and its waterways. For this reason, the case of the Gulf presents unique opportunities to challenge and potentially expand widely accepted concepts of both digital repatriation and provenance. Existing studies on digital repatriation deal mainly with the issue of ensuring access by the original communities to appropriated or collected community materials. However, these studies have not yet adequately touched upon issues concerning the arrangement and description of shared materials such as these and how they are thought about conceptually. Description, in particular, is important because of the differing stances and interpretive lenses it brings to bear, and even encourages or facilitates for users of the collections being described.

There is also a great need to encourage Gulf citizens to take an interest in their own past. This can be achieved by educating Gulf information professionals to better understand these archival records in order to accurately write their history and pass this information to the next generations. As a Kuwaiti scholar focusing on archival studies, I am concerned with the arrangement and description of the primary historical sources. I take the position that collaboration and partnership with other nations are inevitable and indeed imperative for

ensuring access to some of the only extant documentary sources that might be able to increase understanding of the history of the Gulf, its people, and culture. However, the ways in which these digitally shared archives are described must take into account the needs, uses, and perspectives of the Gulf people and bring to the surface latent information about them that may not have been the original intent of the British record creators and may also not have been drawn out in the archives and library descriptions of the materials. Above all, the Gulf nations must be acknowledged as having co-creator interests and rights in these records and have the ability to assert intellectual control over them. Viewing Gulf peoples and organizations as co-creators logically leads to applying the expanded concepts co-creatorship and simultaneous multiple provenance to the digitally shared materials.

### **1. Statement of the Problem**

The process of arranging and describing archival materials is guided by the principle of provenance. This applies when a physical archival record moves from one country to another. The same can be said when records are digitally shared between two countries, as in the case of the British-based Gulf records. As already discussed, the practice of the traditional principle of provenance assumes that there is a single creator of the records and fails to take into consideration the possibility of a co-creator. Thus, there is a need to expand the current practice of provenance to take into consideration the possibility of co-creators and other types of contributors to these same records. With this in mind, the concept of co-creation, as discussed by Anne Gilliland and Sue McKemmish

posits that everyone who has contributed to a record's creative process or been directly affected by its action is co-creator of a record and that records have multiple provenances in and through time is thus elevated to a fundamental archival principle. The logic of this principle is that multiple parties—co-creators and their

successors—have agency in records and a related suite of rights in and through time.<sup>6</sup>

Nathan Sowry, a well-known archival scholar, supports this need to expand how the traditional principle of provenance is practiced and to shift away from singularity. He states, “this broadened provenance illustrates well recent trends in the archival profession that push for recognition of co-creatorship and pluralist provenance in a community or societal environment.”<sup>7</sup>

Without the Gulf peoples, the British could not have created the records in the first place. The Gulf-based cultural heritage institutions sought to initiate partnerships with their British partners to fund the digitization and digital sharing of these records, in order to better understand the Gulf’s history, past relationships with the British and other nations, and their political influences and economic impacts in the region. Therefore, this research argues that the concepts of simultaneous multiple provenance and co-creatorship more accurately apply because these expanded provenance principles recognize and emphasize the co-creatorship role of the Gulf peoples. This in turn offers a basis upon which to argue for co-ownership and intellectual control of the digitally shared archival records. These two expanded concepts potentially allow for the Gulf to describe the digitally shared materials in a way that opens up possibilities for a more accurate and multi-perspective representation of their history, culture and society.

Primarily, this dissertation argues that the existing application of the traditional principle of provenance is not only limited but also fails to accurately represent the co-creators and the multiple perspectives that are explicitly and implicitly present within the British archival records

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<sup>6</sup> Anne J. Gilliland and Sue McKemmish, “Rights in Records as a Platform for Participative Archiving,” in *Archival Education and Research: Selected Papers from the 2014 AERI Conference*, edited by Richard J. Cox, Alison Langmead and Eleanor Mattern (Sacramento, CA: Litwin Press, 2015), 370.

<sup>7</sup> Nathan Sowry, “Viewing Subject(s) as Creator(s): The Need to Reexamine and Redescribe Civil Rights Collections for Pluralist Provenance,” *Archival Issues* 35, 2 (2014): 105.

pertaining to the Gulf. In this circumstance, the application of the traditional principle of provenance allows for no possibilities for co-creators to provide their own perspectives and narratives when representing the digitally shared materials. In the case of the Gulf peoples, they must no longer be viewed and described as simply subjects but rather as co-creators of the records and must be recognized as equitable with the original creators - in this case, the British. Within this expanded practical approach, the subjects not only deserve credit as co-creators of the records but indeed have agency and a set of rights in the records because they are the very reason for which the records exist. They play an active and important role in the creation of the records and should not be viewed as passive players.

## **2. Research Questions**

The following research questions take into consideration the two expanded concepts of provenance—simultaneous multiple provenance and co-creatorship—because they are the foundation for the main arguments of the dissertation within the context of describing the records shared by the British with the Gulf states’ cultural heritage institutions.

**General Research Question A: The British: How did the British cultural heritage institutions [i.e., the BL and TNA] apply the principle of provenance when describing the records that pertain to the Gulf?**

A.1.0. Is the description [i.e., the finding aids] created with an assumption of singular provenance or does it in any way indicate multiple provenance/co-creatorship (i.e., by the Gulf peoples)?

A.1.1. How have the Gulf peoples and their organizations been represented in the finding aids?

A.1.2. Have the descriptions been updated at any point to reflect changing ideas about provenance in the archival field that might more directly recognize Gulf peoples and their organizations as co-creators?

A.2. Are there any differences between how the BL and TNA applied the principle of provenance in their descriptions of the Gulf records?

**General Research Question B: The Gulf: How did the Gulf-based cultural heritage institutions [i.e., QNL and NA UAE] describe the digitized materials shared by the British?**

B.1.0. Did they use and/or translate the original British descriptions? If so, then:

B.1.1. Was the English description from the British finding aids presented to the public?

B.1.2. Was any Arabic description a direct translation from the English description, or did it differ, and if so, in what ways?

B.1.3. If they presented the British description, did they add any commentary to it?

B.2. Did they create their own descriptions? If yes, then: how did they apply the principle of provenance?

B.2.1. Is the description [i.e., the finding aids] created with an assumption of singular provenance or does it in any way indicate multiple provenance/co-creatorship (i.e., by the Gulf peoples)?

B.3. How have the Gulf peoples and their organizations been represented in the finding aids?

B.4. Are there any differences between how QNL and the NA UAE applied the principle of provenance in their descriptions of the Gulf records?

Because of the unique situation of these shared digitized records, there is an overarching research question that also needs to be considered: How useful is the principle of provenance with regard to the arrangement and description of shared digitized records?

### 3. Definition of Core Concepts and Terms

This dissertation centers around the concepts of digital repatriation and digital sharing; simultaneous multiple provenance and co-creation; rights in records; and archival representation. The following explains the usage of these terminologies in this dissertation.

#### 3.1. Archives

The Society of American Archivists (SAA) provides three different definitions of *archives*. The first definition reads,

The non-current records' of an organization or institution preserved because of their continuing value; the term 'archival records' or 'archival materials' signifies any physical medium which is employed to transmit information, such as paper, photographs, audio or video tape, computer tapes or disks, etc.<sup>8</sup>

In the context of this dissertation, "archives" refers to the physical materials that are originally held in the British-based cultural heritage institutions and have recently been made available in digital form and shared with Gulf library and archival institutions. The second definition of archives is "the 'agency or program' responsible for selecting, preserving, and making available archival materials; also referred to as an 'archival agency.'"<sup>9</sup> This definition applies to TNA and the UAE. The last definition refers to "the 'building' or part of a building where such materials are located."<sup>10</sup> This definition applies to instances that mention the holding institutions in which the original archival records are held (the BL and TNA).

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<sup>8</sup> *A Glossary for Archivists, Manuscript Curators, and Records Managers*, Lewis J. Bellardo and Lynn Lady Bellardo, compositors, (Chicago: Society of American Archivists, 1992).

<sup>9</sup> *A Glossary for Archivists*.

<sup>10</sup> *A Glossary for Archivists*.



### 3.2. Digital Repatriation

Digital repatriation can potentially happen as a result of political actions between the archival institutions and the communities to which these archives pertain. For example, Gilliland offers several instances in which repatriation can be initiated.

Repatriation can occur as a result of redress, repatriations, and replevin actions, in response to approaches articulated in community or Indigenous protocols, as negotiated in peace treaties or through the work of tribunals, or in circumstances where a former colonial power holds archives containing the historical records of a now-independent nation.<sup>11</sup>

When digital repatriation is discussed, it must be noted that many conflicting definitions exist depending on the communities and contexts involved. These may or may not apply to other non-Western indigenous communities, such as in this case, the Gulf states. Digital repatriation can be difficult to negotiate because it needs recognition of existing ownership and control of the physical materials as well as mitigation of what are often unbalanced power relations in order to proceed. Many definitions contain limitations as they relate to the current advances in digital technologies, its intended representation, and its use *inter alia*. Furthermore, digital repatriation, depending on the context of the indigenous communities to which it refers, can either be interchangeable with terms such as digital return and virtual repatriation - or - it can be distinguished as different from such terms. Again, the reader must refer to the context in which digital repatriation is being discussed and whether the materials originated from cultural institutions, archives, museums, or libraries. Each institution may define digital repatriation slightly differently, which also extends to the definitions of digital return and virtual repatriation. Thus, for purposes of this dissertation, digital repatriation is considered to be the

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<sup>11</sup> Gilliland, *Conceptualizing Twenty-First-Century Archives*, 31.

umbrella term that includes digital return, virtual repatriation, and digital sharing, the latter being the most accurate term to describe the digitized materials on and of the Gulf.

### **3.2.1. Digital Sharing**

As noted already, the term digital repatriation does not accurately describe the digitized materials pertaining to the Gulf. The British institutions are not relinquishing physical and intellectual control or ownership of the materials but are rather sharing digital surrogates of the materials with the Gulf while retaining full control and ownership of the original materials. For this reason, this dissertation uses the term “digital sharing” as a facet of digital repatriation and the rights thereof to more completely relay the aforementioned relationship between the two British-based and two Gulf-based cultural heritage institutions. Digital sharing in these cases also includes free public online access to the digitized surrogates, whereas that is not always the case with digital repatriation.

### **3.3. Simultaneous Multiple Provenance**

Simultaneous multiple provenance is one expanded theory of the traditional principle of provenance that has been offered. It addresses how multiple entities and/or individuals can simultaneously play a provenancial role rather than a singular entity or individual. Building on Peter Scott’s introduction to the notion of simultaneous multiple provenance in 1966, Chris Hurley defined the following concept, “A theory of simultaneous multiple-provenance (allowing two or more creators to be identified at one and the same time) represents a more fundamental challenge to descriptive thinking that has been toyed with - both in theory and in application.”<sup>12</sup>

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<sup>12</sup> Chris Hurley, “Parallel Provenance: (If These are Your Records, Where Are Your Stories?) (1),” *Archives & Manuscripts* 33, 1 & 2 (2005): 39.

Although challenging, this expanded theory of provenance is more accurately applicable to the archival records pertaining to the Gulf and is used in conjunction with co-creatorship. It specifically emphasizes the need to move away from conceptualizing provenance as singular to acknowledging all the other parties involved in the creation of the record.

### **3.4. Co-creatorship**

The concept of *co-creatorship* expands upon the practice of the traditional principle of provenance. It focuses on the potential for two or more creators of an archival record, even including the primary subjects of the records as creators, since without them, the record often could not have come into being. It also carries implications for co-creator rights in records, which speaks to another emerging archival discourse about rights in records. According to Sowry, any contributions, even by archivists themselves, can be argued as being a form of co-creatorship, because records are “being shaped, molded, and manipulated by the archivist(s) as well as the user(s), [and] this pluralist approach to describe provenance is particularly limitless in its use in the archives.”<sup>13</sup> Recently, according to McKemmish, “within archival science itself, an expansion of the definition of records creator to include everyone who has contributed to a record’s creative process and has been affected by its action could support the enforcement of a broader spectrum of rights and obligations.”<sup>14</sup> Whereas the application of the traditional principle of provenance does not take into account the possibility of two or more creators, the concept of co-creatorship within the larger scope of provenance does, including the importance of the rights and ownership of the records. More specifically, McKemmish and Piggott best summarize the

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<sup>13</sup> Sowry, “Viewing Subject(s) as Creator(s),” 109.

<sup>14</sup> Sue McKemmish, et al., “Editor’s Introduction to Keeping Cultures Alive: Archives and Indigenous Human Rights,” *Archival Science* 12 (2012): 100.

notion of record creators within the context of both co-creation and simultaneous multiple provenance. They state,

By expanding the definition of record creators to include everyone who has contributed to a record's creative process or been directly affected by its action, notions of co-creation and parallel or simultaneous multiple provenance reposition 'records subjects' as 'records agents.' They support a broader spectrum of rights, responsibilities and obligations relating to the ownership, management, accessibility, and privacy of records in and through time.<sup>15</sup>

For the purpose of this dissertation, the term co-creatorship mainly refers to the primary subjects of the British archival records - in this case, the Gulf peoples.

### **3.5. Rights in Records**

As already noted, the concept of co-creatorship must be discussed in conjunction with *rights in records*. The notion of rights in records within archival science is attributed to Gilliland and McKemmish (2014), who developed a suite of rights “that acknowledge and respect the interests of the different agents who are involved or implicated in records and recordkeeping processes.”<sup>16</sup> This notion has been further extended by Gilliland and Carbone, and Carbone et al., who argue for the recognition of human rights in records.<sup>17</sup> The concept of rights in records is important because it reminds archivists to include all agents in any change and/or decision-making in the recordkeeping process. This is specifically noted by Gilliland and McKemmish, who state, “not all of those agents, however, are necessarily acknowledged in decisions made

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<sup>15</sup> Sue McKemmish and Michael Piggott, “Toward the Archival Multiverse: Challenging the Binary Opposition of the Personal and Corporate Archive in Modern Archival Theory and Practice,” *Archivaria* 76 (Fall 2013): 137.

<sup>16</sup> Gilliland and McKemmish, “Rights in Records as a Platform,” 355.

<sup>17</sup> Anne J. Gilliland and Kathy Carbone, “An Analysis of Warrant for Rights in Records for Refugees,” *International Journal for Human Rights* 24, 4 (2019): 483-508; Kathy Carbone, Anne J. Gilliland and María Montenegro, “Rights in and to Records and Recordkeeping: Fighting Bureaucratic Violence through a Human Rights-Centered Approach to the Creation, Management and Dissemination of Documentation,” *Education for Information* 37 (2021): 3-26.

about the management and accessibility of the records over time, nor are all agents' interests in the records addressed equitably across archival and other recordkeeping activities and services."<sup>18</sup> Applying the concept of rights in records necessitates that archivists revise how they approach appraisal, description and access. The goal of these rights is to provide archivists with a clearer set of guidance when discussing concepts such as human rights, conflict and social justice.<sup>19</sup> One such example is the application of these expanded rights in records in the initiative of the *Charter of Lifelong Rights in Childhood Recordkeeping in Out-of-Home Care* under the supervision of the chief investigator Sue McKemmish of Monash University. The Charter is "... a suite of rights in and to records for identity, memory and accountability purposes" and represents a good example of how McKemmish applies her argument of rights in records to this initiative.<sup>20</sup>

For the purpose of this dissertation, the focus is on the set of rights as it relates to description within the concept of rights in records. Gilliland has proposed a set of rights:

with a human and civil rights-oriented platform in mind that is based around a set of 'ethical acts,' and include the rights to:

- Have one's role vis-à-vis archival description or content acknowledged (e.g., creator/author, co-creator, community of origin), and to be consulted as the creator, co-creator, or subject (or their descendants).
- Describe or name oneself/self-identify in any archival description.
- Challenge or correct archival description content.
- Respond to or annotate any archival description or content, including annotation and delineation of relationships involving oneself or one's records.
- Request take-down of any archival description or content.
- Not to have descriptive information about oneself disseminated practices.
- Protect one's traditional cultural expressions through archival descriptive practices.<sup>21</sup>

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<sup>18</sup> Gilliland and McKemmish, "Rights in Records as a Platform," 356.

<sup>19</sup> Gilliland and McKemmish, "Rights in Records as a Platform," 359.

<sup>20</sup> For more information, visit <https://rights-records.it.monash.edu/research-development-agenda/rights-in-records-by-design/>

<sup>21</sup> Gilliland and McKemmish, "Rights in Records as a Platform," 370-371.

The main purpose of this set of rights is to inform archivists about the ways to respect and include plurality of the different agents' perspectives and recognize the rights and agencies of individuals and communities in the description of the records. The set of rights addresses many issues related to "what is being lost, who is being exposed and who submerged, rights of descendants in records, and what the implications might be for self-determination over identity and expression as a result of the current construction of archival description."<sup>22</sup> One future direction from this dissertation research, for example, might be the development of description guidelines that would allow the Gulf countries to better represent themselves, and shape how the image of their history is represented to the world.

Gilliland and McKemmish also discuss the impact of the suite of rights on existing archives. They list possibilities that may result from its implementation. Some of these possibilities include: 1) "Acknowledging both the creators and the co-creators/subjects of records when appraising, describing, and making accessible those materials;" 2) "Consulting, to the fullest extent possible, with the creators and co-creators/subjects of archival materials when appraising, arranging materials, developing descriptions, and making decisions about access and disclosure;" and 3) "Acknowledging and respecting the belief systems and traditional cultural expressions of the creators and co-creators/subjects of archival materials when developing archival descriptions and online access systems."<sup>23</sup>

Furthermore, when it comes to affected communities, there are some specific recommendations that could help maintain archives within their respective institutions. Two of these recommendations in particular might apply in the cases examined by this dissertation. They

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<sup>22</sup> Gilliland and McKemmish, "Rights in Records as a Platform," 371.

<sup>23</sup> Gilliland and McKemmish, "Rights in Records as a Platform," 374.

are: 1) “Rights in records need to be acknowledged in archival law and frameworks, and embedded in recordkeeping and archival practice;”<sup>24</sup> and 2)

Any future repository that takes physical, intellectual, or virtual control over the holdings or copies of another repository’s holdings would need to abide by the conditions concerning appraisal, description, and access that were agreed upon with the creator or donor and other key stakeholders (e.g. co-creators/subjects of the records) when the materials were first acquired; if the creator or donor is no longer alive, or else, after consultation with other stakeholders, provide a transparent justification as to why those conditions are going to be set aside, in total or in part.<sup>25</sup>

Gilliland and McKemmish apply simultaneous multiple provenance, as coined by Hurley, in their argument to insert the concept of rights in records into archival law. They also include the concept of co-creatorship when expanding upon the need to include every contributor to the creation process of the records as well as anyone who has been impacted by its creation, which importantly shifts those parties from being treated as “records subjects” to recognizing them as “records agents” with the various rights and responsibilities that such recognition implies.<sup>26</sup>

### **3.6. Archival Representation**

Archival representation refers to the processes of arranging and describing archival materials. Arrangement is defined in international standards as “the intellectual and physical processes and results of analyzing and organizing documents in accordance with archival

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<sup>24</sup> Gilliland and McKemmish, “Rights in Records as a Platform,” 375.

<sup>25</sup> Gilliland and McKemmish, “Rights in Records as a Platform,” 375.

<sup>26</sup> Gilliland and McKemmish, “Rights in Records as a Platform,” 368. A recent expansion of the suite of rights in records can be seen in Anne J. Gilliland and Kathy Carbone, “An Analysis of Warrant for Rights in Records for Refugees,” *International Journal for Human Rights* 24, 4 (2019): 483-508. This article discusses the complex situation of refugees in regards to accessing their records in a displaced land. The suite of rights initially developed by Gilliland and McKemmish and later expanded by Gilliland and Carbone offers a way for refugees to regain access and control over their current and archival records.

principle.”<sup>27</sup> The Society of American Archivists provides the following definition for description:

Archival description is the process of capturing, collating, analyzing, controlling, exchanging, and providing access to information about 1) the origin, context, and provenance of different sets of records, 2) their filing structure, 3) their form and content, 4) their relationship with other records, and 5) the ways in which they can be found and used.<sup>28</sup>

Description is a major function in the processing of archival material, and the products of this function are finding aids of various sorts which give administrators control over their holdings and enable users and archivists to find information about particular topics.<sup>29</sup>

Taken together, arrangement and description comprise the archival representation, in the context of this research, of the original physical materials in the UK and the digitized materials shared with the Gulf states. Although shared digitized materials may in some cases be integrated into other institutional holdings by the Gulf states in ways that do not adhere to standard British archival arrangement practices, this study mainly focuses on the description part of the process of representation when contemplating the need for an expanded concepts of simultaneous multiple provenance and co-creatorship. It assumes that the description of the records will surface how the British and the Gulf view the subjects of the records (i.e., those people and institutions who contribute to or are subject to the processes enacted by or documented in the records, rather than the topics covered by the records) as well as suggesting how these concepts of provenance might be represented.

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<sup>27</sup> *ISAD(G): General International Standard Archival Description*, 10.

<sup>28</sup> Fredric M. Miller, *Arranging and Describing Archives and Manuscripts*, (Chicago: SAA, 1990), 7.

<sup>29</sup> Bureau of Canadian Archivists, *Toward Descriptive Standards: Report and Recommendations of the Canadian Working Group on Archival Descriptive Standards*, (Ottawa, Canada: Bureau of Canadian Archivists, 1985), 9.



### 3.6.1. Finding Aids

Finding aids are tools created by archivists and special collections librarians in order to describe archival materials. They are written expressions prepared and compiled by archivists in order to guide both archival professionals and users to and through archival materials and their content. They often describe what is in a collection or other accumulation of records, how the materials are arranged, and give context for how, why, where, when, and by whom the records in the collection were created. They summarize the scope and the content of the collection, reveal information about organizations and individuals involved in the creation of the records, and provide an inventory of the contents. According to Gilliland, a finding aid has three key roles:

Firstly, it is a *tool that meets the needs of the archival materials being described* by authenticating and documenting them as archival collections. Secondly, it is a *collection management tool* for use by archivists. Thirdly, it is an *information discovery and retrieval tool* for making the evidence and information contained in archival collections available and comprehensible by archivists and users alike [emphasis in original].<sup>30</sup>

The term “finding aid” (FA) here refers to any inventory tool created to facilitate and guide archivists and users to archival materials and their content. The Gulf institutions may be using another term for “findings aid” but that term refers to tools that serve the same purpose, which is to describe the archival materials.

### 3.7. Cultural Heritage Institutions

The term *cultural heritage institution* refers to libraries, archives and museums (LAMs). These institutions are also known as memory institutions; they collect, preserve, and provide

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<sup>30</sup> Anne Gilliland-Swetland, “Popularizing the Finding Aid: Exploiting EDA to Enhance Online Discovery and Retrieval in Archival Information Systems by Divers User Groups,” *Journal of Internet Cataloging* 4, 3-4 (2001): 202.

access to cultural heritage materials, past and present. Although each type of institution shares a heritage role in society, each has its own curatorial traditions (theories) and processing practices that differ based on the nature of the materials in their custody and the societal role and institutional context of the repository. However, in the context of this dissertation, this term is used to refer to archives and libraries only, and specifically to two *national archives*: TNA and the NA UAE, and two *collecting archives*: the BL and QNL. National archives (also known as: institutional archives/repositories) receive records created by their respective governments and, depending upon mandate, courts and other official agencies. They function in support of those institutions' memory and accountability as well as public access and scholarship. Collecting archives (which include state libraries, manuscript repositories and academic special collections) purchase and collect materials thematically through external agreements that are created by outside entities such as individuals, families, and organizations, primarily in support of research and as documentation of cultural heritage and particular topics and experiences.

### **3.8. Gulf States**

The term *Gulf states*, also known as the Gulf Cooperation Council (GCC), refers to six states located on the Arabian Peninsula. They comprise Kuwait, Qatar, Saudi Arabia, Bahrain, Oman, and the United Arab Emirates (previously known as the Trucial States: Abu Dhabi, Dubai, Sharja, 'Ujman, Umm al-Qaywayn, Ras al-Khayma and Fujayra). This dissertation refers to the six Gulf states collectively and encompasses all the region and aforementioned countries from the 16<sup>th</sup> century to the present, before and after the individual states were created and given their current names.

#### 4. Significance of the Study

The originality of this study lies in its investigation of the digitally shared archival records by the UK with the Gulf, for a number of reasons beyond being the first archival study to look specifically at the digital repatriation of records about the Gulf that are held by institutions outside the region

In 2014 Gilliland drew attention to several areas where new demands of archival practices and research have emerged, including “digital reconstruction or reconstitution, digital repatriation, and co-creator rights in data and data management.”<sup>31</sup> Even though archival research is increasingly focused on the ethics, politics and practices of digital return and repatriation, important areas remain in which research has yet to be undertaken. This is best explained by Bell, Christen, and Turin who state how “most of the research on digital repatriation has focused on the *act* of giving back; less attention has been paid to *how* these materials are *circulated* and *accessed* once they are ‘home’; that is, *what* happens once digital materials are returned?”<sup>32</sup> In the case of the Gulf, there is awareness of how the British and the Gulf states have partnered to digitally share British holdings. However, there is a lack of research about how these digitized materials have been handled by the cultural heritage institutions in the Gulf, specifically, their arrangement and description, and what rights issues might have been raised or addressed in the process. This provides a unique opportunity to expand current archival understandings of these aspects.

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<sup>31</sup> Gilliland, *Conceptualizing Twenty-First-Century Archives*, 246.

<sup>32</sup> Joshua A. Bell, Kimberly Christen, and Mark Turin, “After the Return, Digital Repatriation and the Circulation of Indigenous Knowledge: Workshop Report,” *Museum Worlds: Advances in Research* 1 (2013): 197.

Furthermore, archival scholars have stressed the importance of redefining and expanding provenance and urged archivists to amend archival descriptions to incorporate simultaneous multiple provenance and co-creatorship. They argue that singular provenance perpetuates inaccurate and incomplete descriptions or misconceptions of the records and does not meet the need, use, or perspective of the co-creators/subjects of the records. This study addresses the importance and application of simultaneous multiple provenance and co-creatorship within archival representation in a non-Western case.

Additionally, this study is an initial attempt to articulate guidelines for adopting the expanded concepts of provenance and making recommendations for representing the shared digitized archival records with their intended community to whom the records pertain. As such, it may serve as a model for other countries records about whom, or whose records are held in repositories outside their own country around the world (most commonly because of colonial activity or the displacement of people and/or records), and who are making an attempt to repatriate and/or digitally share these records with source communities.

Since the Gulf states are planning to extend their partnership with other cultural heritage institutions worldwide,<sup>33</sup> then it is a timely moment to shed light on the issues related to singular and pluralistic provenance and their implications on records representation. The findings of this study, for example, might raise awareness in Qatar and Abu Dhabi with regard to possible rights in these records, and to reflect and potentially expand on their description practices while they advance on to further stages of their partnership with the British or establish new partnerships

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<sup>33</sup> Examples of cultural heritage institutions that hold archival records about the Gulf states are the French Diplomatic Archives, the Ottoman State Archives, and National Archives of India.

with other countries around the globe that hold records pertaining to the Gulf.<sup>34</sup> They might redescribe current records applying the expanded concepts of provenance and be better prepared to describe newly shared records. Also, they will be sensitized to less transparent considerations that this research surfaces, such as imperialistic misrepresentation of the Gulf records.

Last but not least, this study will strengthen and add to the currently very small corpus of intra-national archival comparative case studies.

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<sup>34</sup> As mentioned earlier, India, Turkey, the USA, France, Portugal, Iran and the Netherlands are some of the countries that house archival material pertaining to the Gulf.

## **CHAPTER I: HISTORICAL BACKGROUND OF THE STUDY**

This chapter first provides a brief history of the European presence in the Gulf states, paying specific attention to the amicable relationship between the British and the Gulf states that resulted in the creation by the British of a great number of records documenting their activities. It then justifies the need for a new type of archives in order to more fully define the status of these archives. Lastly, this chapter presents an overview of the digital materials shared by the UK with the Gulf.

### **1. A Brief History of the European Presence in the Gulf Region**

#### **1.1. The Age of Imperialism in the Gulf**

The Gulf region physically surrounds the Arabian or Persian Gulf including Iran. The era of Western imperialism in the Gulf region can be understood as the period from the initial entrance of Europeans in the Gulf to the final imperial exit when the British withdrew from the Gulf in 1971. According to Peterson, “The entry of European powers into the Indian Ocean and the Gulf, their dominance until at least the Second World War and the process of decolonization constitutes the ‘age of imperialism,’ a period that has also been called the Vasco da Gama epoch of Asian history.”<sup>35</sup> The Gulf’s unique location positioned it as one of the chief highways between East and West, which made it significantly important to European countries.

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<sup>35</sup> J.E. Peterson, “The Age of Imperialism and Its Impact on the Gulf,” in *The Emergence of the Gulf States: Studies in Modern History*, edited by J.E. Peterson, (London: Bloomsbury Academic, 2016), 127.

## 1.2. The Portuguese: The First Europeans in the Gulf

In the 16<sup>th</sup> century, the Portuguese set off to search for new opportunities for exploration and realized the strategic location of the Gulf. This in turn led to the establishment of Portuguese influence in the eastern waters via a trading route through the Gulf.<sup>36</sup> In the 17<sup>th</sup> and 18<sup>th</sup> centuries, the British, French and Dutch trading companies all sought their own trading routes in the region and pushed out the Portuguese. Eventually, the English and Dutch East India companies established their trading monopolies in the region and initially used the Gulf waters for primarily commercial purposes.<sup>37</sup> As Rabi and others have noted, “Consequently, the English merchants set up a trading route through the Gulf states to develop trade directly with Safavid Persia and India.”<sup>38</sup> At the start of the 18<sup>th</sup> century, the Portuguese were successfully driven out by the Dutch and the English, the two major trading nations in the Gulf at the time. They set up multiple factories at ports in countries bordering the Gulf. According to Ahmad Mustafa Abu-Hakima, “the Factory Records of the English company tell of packets and letters being conveyed from their Factory at Gombroon to Basra in Dutch ships. This friendship soon ended in hostilities early in the second half of the eighteenth century when England became the largest European trader in the Gulf.”<sup>39</sup> The end of the 19<sup>th</sup> century was marked by a period of intense European rivalry.

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<sup>36</sup> Ahmad Mustafa Abu-Hakima, *The Modern History of Kuwait 1750-1965*, (London: Luzac and Company Limited, 1983), 13-14.

<sup>37</sup> Uzi Rabi, “‘Britain’s ‘Special Position’ in the Gulf: Its Origins, Dynamics and Legacy,” *Middle Eastern Studies* 42, 3 (2006): 352.

<sup>38</sup> Rabi, “‘Britain’s ‘Special Position’ in the Gulf,” 352; Abu-Hakima, *The Modern History of Kuwait*, 13-14.

<sup>39</sup> Abu-Hakima, *The Modern History of Kuwait*, 13-14.

The Gulf states were the subject of other European intrusions, in particular by the French, with the formation of the French East India Company in 1664.<sup>40</sup> Although the French were late to the Gulf, they turned their attention to the region and created another layer of competition and conflict with the British's already established trading route through the Gulf to India.<sup>41</sup> However, Britain's long-established interests in the Gulf overwhelmed the interests of the other European powers and became the most influential power in the Gulf region. Peterson argues that "It became clear as time went on that British interests in the Gulf until the independence of India were much more 'Indian' interests than imperial concerns as seen from London."<sup>42</sup> As a result of the British's stronghold in the region, the British expanded their strategic role to include controlling sea lanes and protecting British ships from the threat of piracy and other interference by other regional and international powers.<sup>43</sup>

### **1.3. The British Activities in the Gulf**

The British benefited greatly from their strategic interests in the Gulf, primarily for two reasons. First, the Gulf was an ideal location for setting up factories and centers for distributing English-made goods brought by English ships to and from other countries along the Gulf. Secondly, the factories served as a point of contact between the East and West trading routes and allowed for a much safer and more practical route to and from India and other trading posts. The British set up their main trading posts in Basra (Iraq) and Aleppo (Syria), both of which supported safer passage through the desert routes away from Arab tribes that were easily

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<sup>40</sup> Abu-Hakima, *The Modern History of Kuwait*, 13-14.

<sup>41</sup> Peterson, "The Age of Imperialism and Its Impact," 137.

<sup>42</sup> Peterson, "The Age of Imperialism and Its Impact," 127-128.

<sup>43</sup> Peterson, "The Age of Imperialism and Its Impact," 127.



persuaded by bribes but still posed a threat if those bribes were not met. According to Abu-Hakima,

The route proved valuable not only for the Company's trade in the Arabian Gulf, but also for swift contact between Bombay, Surat and other places in India and the Court of Directors in London. It became increasingly important in the second half of the eighteenth century, before and after the Seven Years War (1756-1763) between England and France.<sup>44</sup>

It is important to note here that the British did not fully colonize the Gulf as part of its Empire. Rather, the Gulf came under colonial administration in the 17<sup>th</sup> century because of the British East India Company (EIC)'s reliance on the region for trade and access to India. Thus, the EIC's powerful influence on the British government resulted in the creation of what was known as the India Office with administrative powers over territory stretching from what is now Myanmar to Yemen and establishing posts along the Gulf shores. In the 19<sup>th</sup> century, the advancement of technology through the expansion of telegraph cables led to Britain's reliance on the Gulf as a key area for sea-based trade with India through direct communication lines with Bombay.<sup>45</sup> This British presence was termed the Persian Gulf Residency, and it included establishing several Gulf states as British protectorates. James Onley summarizes the nature of the British presence in the Gulf during this period, “. . . the rulers actively sought British intervention and protection. The involvement they sought was diplomatic (to arbitrate and guarantee peace settlements between rulers), naval (to enforce those settlements and defend their shaikhdoms and subjects from maritime attack), and military (to defend their domains from land

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<sup>44</sup> Abu-Hakima, *The Modern History of Kuwait*, 14-15.

<sup>45</sup> Mathew Teller, “Qatar’s Digital Library,” 2020, available online at <https://www.matthewteller.com/work/qatars-digital-library/> (accessed on 3/20/2020).

attack).”<sup>46</sup> It should be noted, however, that other historians of the Gulf have disputed how Onley and scholars with similar views have characterized the presence of the British and the protectorates and/or the Persian Gulf Residency. However, as the records sin question evidence, Britain certainly officially accepted many of the Gulf rulers’ requests for the protection of Oman, present-day United Arab Emirates, Bahrain, Kuwait, and Qatar while still honoring the sovereignty of the Gulf rulers. As Onley continues, the role of the British as protector, “. . . largely conformed to local expectations of a protector’s duties and rights, while ensuring the rulers honored their duties and commitments as protégés. This collaborative relationship was the reason for the success and longevity of the Pax Britannica in the Gulf.”<sup>47</sup>

The status of the Gulf states was as protectorates rather than colonies because it was at the invitation of the Gulf states that the British solidified their presence and commitments to protection. The Gulf rulers requested British involvement in other ways as well. Onley describes how, “In the late nineteenth and early twentieth centuries, the British assumed control of the rulers’ foreign affairs, incorporating the Gulf shaikhdoms and Oman into the British Indian Empire, isolating Eastern Arabia from the outside world.”<sup>48</sup> A number of treaties, such as the General Treaty of 1820, redefined the British’s dominance and placed limitations on the Gulf states. In exchange for more stability in the region, the Gulf states benefited from increased trade and reaffirmed the rulers’ stronghold and protection of their territories.

A key treaty, the Perpetual Maritime Truce of 1853, allowed for Arab states to surrender their rights to wage war in exchange for British protection that guaranteed the continuation of the

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<sup>46</sup> James Onley, “Britain and the Gulf Shaikhdoms, 1820-1971: The Politics of Protection,” *Center for International and Regional Studies, Georgetown University*, 2009, 1, available online at [https://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=2825942](https://papers.ssrn.com/sol3/papers.cfm?abstract_id=2825942) (accessed on 3/20/2020).

<sup>47</sup> Onley, “Britain and the Gulf Shaikhdoms,” 1.

<sup>48</sup> Onley, “Britain and the Gulf Shaikhdoms,” 1.

ruling families' authority. This strategic relationship in the Gulf led to the strengthening of the British Government in India after the Indian Rebellion in 1857, which took over the EIC's control in India and led to the security and ongoing stability in the Gulf. Thus, the British Government became the strongest power to retain protection over many of the Gulf states and complete control over the newly established British Empire in India, extending their powers of protection and foreign relations to other Arab shaikhdoms through bilateral treaties.<sup>49</sup>

The success of the Pax Britannica and the strong influence and dependency of the Gulf regions on Britain for protection raise a strong possibility for the British's influence over the control of information in the region at the time. After the British were given control over the foreign affairs of the Eastern Arabian Gulf states, it can be assumed that the trading posts, mail, and other avenues of information such as the day-to-day transactions were handled by the British Indian Empire. Certainly, the British created meticulous records to document and keep track of all their transactions and involvements in the region. Since many of these transactional records were created by the activities of the India Office, a British colonial administrative department set up in London to oversee the EIC and the pre-1947 government of British India, it can be argued that there were also other historical relations similar to the Persian Gulf Residency which might be viewed by some outside the Gulf as a colonial situation.

The British continued to retain their influence over trade and foreign affairs well after the First and Second World Wars until the 1950s-60s when the Gulf began to challenge Britain's role in the region - especially the exploitation of Gulf oil, the establishment of airfields, and Britain's strong hold on Asian colonies. Eventually, the British left the region but for reasons

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<sup>49</sup> Louis Allday, "The British in the Gulf: An Overview," Qatar Digital Library, 2014, available online at <https://www.qdl.qa/en/british-gulf-overview> (accessed on 3/21/2020).

other than Gulf pressure, which upset the Gulf rulers.<sup>50</sup> In addition to providing protection, the British also controlled the infrastructure of the local post offices and with that, controlled the information coming and going into the region. According to Onley,

The British ... played a significant role in the establishment of modern state infrastructures. All local post offices were operated by the Indian Postal Service (1860s–1947) and later by Royal Mail (1948–60s). Mail posted from Kuwait, Bahrain, Qatar, the Trucial States, and Oman during this time used British stamps portraying the British monarch.<sup>51</sup>

There is a very strong likelihood that the control of the post offices could have become a source for the records, which were transported to the UK and located in their cultural heritage institutions. According to Matthew Teller of Qatar Digital Library, the records were kept by the India Office administrators for over 300 years and then transferred to London after the abolition of the India Office in 1947. These records (including letters, diaries, financial receipts, maps, etc.) now remain in the British Library and are considered “. . . the most important collection of primary source material on Gulf history in the world.”<sup>52</sup>

Over the next few decades, the British offered their military protection to Gulf rulers until the mid-20<sup>th</sup> century when they began to loosen their autonomy in the region.<sup>53</sup> Although Kuwait relied heavily on British protection, and the British in turn relied heavily on Kuwaiti oil and investment, in 1961, Kuwait was the first to attain independence. While the British still retained some interests in Kuwait and still offered some military protection, Kuwait took over

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<sup>50</sup> Onley, “Britain and the Gulf Shaikhdoms,” 1.

<sup>51</sup> Onley, “Britain and the Gulf Shaikhdoms,” 14.

<sup>52</sup> Teller, “Qatar’s Digital Library.”

<sup>53</sup> Onley, “Britain and the Gulf Shaikhdoms,” 19.

management of its own foreign affairs, thus not undermining “British hegemony in the Gulf therefore.”<sup>54</sup>

#### **1.4. The English East India Company**

The English East India Company (EIC) began its initial operations in 1620 in Fort St. George at Madras, India as a commercial operation, but later transformed over the next century into a more political and state-like company.<sup>55</sup> The EIC then grew into one of the largest entities within the UK with extensive influence within the British government and control over British affairs. Louis Allday describes it as “one of the largest and most powerful commercial entities to have ever existed” with political influence backed up by its own army and navy.<sup>56</sup> At this time, the Dutch East India company was established and competed with the English-based EIC over a long period of time. Their initial competition at the start of the 17<sup>th</sup> century over trade evolved into a battle over the control of commodities and production well into the mid-18<sup>th</sup> century, often leading to naval and military interventions. This re-shifted the British military’s focus to building up its maritime supremacy.<sup>57</sup> The need for a stronger military presence in the region was primarily to protect the interests of the EIC and to protect its trading routes to and from India.

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<sup>54</sup> Onley, “Britain and the Gulf Shaikhdoms,” 20.

<sup>55</sup> Peterson, “The Age of Imperialism and Its Impact,” 136; Rabi, “‘Britain’s ‘Special Position’ in the Gulf,” 352-353.

<sup>56</sup> Qatar Digital Library; Allday, “The British in the Gulf.”

<sup>57</sup> Peterson, “The Age of Imperialism and Its Impact,” 136; Rabi, “‘Britain’s ‘Special Position’ in the Gulf,” 352-353.

## 1.5. The Ottomans

Another pivotal force in the Age of Imperialism were the Ottomans in the late 19<sup>th</sup> century, who were becoming a real influence and threat in the Gulf region. Peterson states that,

Britain's interests in the Gulf at this time centered strongly on protecting the lines of communication between India and London, a concern that raised London's suspicions of the intentions of European rivals as well as Istanbul. The Ottoman response was to seek to extend its control over the Arab littoral of the Gulf, including Kuwait, the eastern dominions of the Al Sa'ud realm, and Qatar—and incidentally posing a secondary threat to Britain as a rival maritime power.<sup>58</sup>

During the First World War, Ottoman power began to decline. The Ottoman empire increasingly lost large territories to the British, who then created a “British Lake” and assured their political and commercial influence in the Gulf.<sup>59</sup> After the demise of the Ottomans' influence in the Gulf, the British re-emerged as a clear force in the region. However, during the preceding latter half of the 19<sup>th</sup> century, the British had become a target of multi-faceted threats from the weakened Ottoman empire attempting to reassert their authority in eastern Arabia, as well as from the Russians, who were expanding toward India and the Gulf.

## 1.6. A Shift in the British's Interests in the Gulf: From Trade to Oil

At the start of the 20<sup>th</sup> century, other threats started coming from France and Germany, but the British had well-established protections for the EIC over the trade routes through the Gulf, protecting their strategic interests, Indian merchants, and trade,<sup>60</sup> and these later evolved into offering other protections. The British's influence in the Gulf remained steady, with a primary focus on its trade routes to India as part of the British Empire, until India's

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<sup>58</sup> Peterson, “The Age of Imperialism and Its Impact,” 138.

<sup>59</sup> Peterson, “The Age of Imperialism and Its Impact,” 138.

<sup>60</sup> Peterson, “The Age of Imperialism and Its Impact,” 139.

independence in 1947. The British Government then continued its relationship with the Gulf directly through London instead of through the EIC. In the 1930s, large deposits of oil were discovered, which significantly led to a geo-strategic shift in the role of the Gulf vis-à-vis the British. The British began to shift their strategies and influence from trade to oil by setting up agreements with only British-approved companies.

As the wealth of the Gulf states increased from the revenues of the oil industry in the 1950s, the British began to encourage Gulf rulers to make investments in Britain. However, their presence in the region began to create conflict and criticism, and the idea of Arab nationalism became increasingly popular. This then led to a looser British autonomy in the region and resulted in the independence of the first Gulf state, Kuwait, in 1961 and Britain's official exit from the region in 1971 when the British finally left the region after the last Gulf states received their independence. Nevertheless, Britain's "political, economic, and military links" with and influence over "the Gulf States remain strong."<sup>61</sup> The Gulf states' military control and protection powers were fully regained and under their complete control, but continued relations with Britain remain mostly amicable until this day.

In summary then, the Age of Imperialism was predominantly shaped and influenced by the British and the British East India Trading Company, which on many occasions pushed out their competitors (the Portuguese, Dutch, French, Germans, and Russians) and maintained their power and status quo in the region for many centuries. As a result, these other countries' archives about the Gulf states pale in comparison to those of the British. Archives about the Gulf states

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<sup>61</sup> Qatar Digital Library; Allday, "The British in the Gulf."

are mostly located in India (26%) and the UK (24%); and combined, they make up over half of the Gulf states' total archival record.<sup>62</sup>

The ongoing close relationships between the British and the Gulf states led to the current partnership agreement between the UK and QNL and the NA UAE, the two leading institutions that have been working on digitizing and sharing the Gulf records since the late 2010s.

Underlying this agreement is the fact that the Gulf countries have not historically created and archived their own textual records. In their attempts to understand and write their history, they have requested digital copies of British records in order to fill in the gaps in their own history and to make them widely accessible to their own populations and the world.

## **2. Archival Implications of the Amicable Relationship Between the Gulf States and the British**

The nature of the amicable relationship between the Gulf and British raises several questions that have important archival dimensions in terms of how we view the status and representation of the records that were created. For example, were the Gulf states colonized in the traditional sense similar to India and other Middle Eastern colonies that were formally recognized under the British Empire, or did they maintain their sovereignty throughout the time period in which the British were present in the Gulf? It is known that the British entered into formal treaties and agreements with Gulf rulers regarding trade and protection, but did those treaties compromise the Gulf's ability to control their states? Did the Gulf rulers maintain full control and sovereignty over their governments, or were they shared with the British? Were the

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<sup>62</sup> Shaon, "Digital Preservation to Support Large-Scale." According to Qatar National Historical Research and Partnerships directorate, historical records pertaining to the Gulf can be found in archives around the world. These include India 26%, UK 24%, Turkey 11%, USA 9%, France 8%, Portugal 7%, Iran 6%, Netherlands 4%, Russia 2%, Bulgaria, 1% Italy 1% and Germany 1%.



Gulf peoples considered citizens of the British empire or did they retain their native citizenship? How are we to understand the status of the Gulf-British relationship, and how would that relationship be inscribed and described in the records kept by the British at that time? Can they be considered colonial archives if these Gulf states were not formally colonized by the British, and by extension, would/should the current digital sharing initiatives fall under a rubric of decolonization? Given that so many records created in and about the Gulf are held in England, could these under any conception be considered displaced? Which if either status more accurately fits the Gulf's archives: displaced or colonial? Obviously, these archival concepts need to first be defined in order to find the best way to articulate and understand the Gulf's archival situation.

### **3. The Scattered Archives of the Gulf**

Many nations around the world have some parts of their records scattered at some point in history. These materials document their tangible historical and cultural heritage but are often located far from their source community or location of creation. Possible circumstances for why this may occur are due to political and geographical changes, wars, plundering, migration, conquests and colonization. There are also, however, cases such as those previously described, where key records about a nation or community were documented and kept by outside influences that directly dealt and conducted business with that country or community. As Moe and Onley note,

The absence of standardized documentation on . . . the Gulf makes it difficult to identify information gaps in archival collections. Much of what has been published in Gulf Studies, . . . is limited in scope and predominantly based on foreign records generated through the Western imperial presence in the region.<sup>63</sup>

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<sup>63</sup> Tammi Moe and James Onley, "The Qatar Unified Imaging Project (QUIP): Revealing Qatar's Past," *Journal of Arabian Studies* 2, 3 (2013): 278.

The case of the Gulf's archival records ties into its pivotal place in history in comparison to other nations and people's with scattered archives. While maybe not a unique case, it is probably one of the largest and most under examined. As already noted, much of the historical documentation about the Gulf is held in the cultural institutions of Portugal, Turkey, the UK, and India. Other primary sources about the Gulf are housed in archives of countries that had some type of historical connection with the Gulf.

Qatar and the UAE have now partnered with two British-based cultural heritage institutions to share these archives in the form of digitized materials. At the time of this research, this is the most salient partnership between the Gulf and the UK that has been actively working to share these records and thus is the focus of the study. Future partnerships between the other nations that hold archival materials pertaining to the Gulf are in the works and/or pending negotiations at this point.

### **3.1. Displaced Archives**

James Lowry discusses the various layers of cultural and political implications that define displaced archives in his edited volume titled *Displaced Archives* and briefly introduces the concept, which “. . . is concerned with *displacements*: those removals that are arguably not illicit *thefts* [emphasis in original] but somehow legitimised or defensible by virtue of the fact of their being removed by states, regimes or exiled groups rather than individuals.”<sup>64</sup> However, the concept of *displaced archives*, which Lowry emphasizes, is too complex to define because the

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<sup>64</sup> James Lowry, “Introduction,” in *Displaced Archives*, edited by James Lowry (London: Routledge, 2017), 3.

topic has only recently become a focus of research in archival studies.<sup>65</sup> Displaced archives may informally refer to archives that are not located in the countries of the indigenous peoples to which the archives pertain. Instead, they are located outside of their native countries - hence the word displaced. Displaced archives are more readily identified when considered through the lens of why the archives are located outside of their source communities.

There could be many reasons. One reason, according to Vincent Hiribarren, is that “displaced archives are a common legacy of colonialism.”<sup>66</sup> And thus were either kept in or were removed to the colonizing country during or at the end of the colonial period. Although displaced archives may be a result of colonialism, there may also be other reasons for why these archives were not located in their original source communities. Winn provides a few possibilities for why archives may be displaced, quoting Elena Danielson’s 2010 definition of displaced archives: “. . . archival materials that have been lost, seized, requisitioned, confiscated, purchased under duress, or otherwise gone astray.”<sup>67</sup> In other words, displaced archives are any archives located outside of the source countries to which they belong, regardless of how they ended up there.

Another aspect of displaced archives describes the relationship between the holding institutions and the source community. Lowry asserts that displaced archives are “. . . any records that have been removed from the context of their creation and where the ownership of the records is *disputed*” [italics added].<sup>68</sup> Thus, the term displaced archives does not adequately

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<sup>65</sup> James Lowry, “‘Displaced Archives’: Proposing a Research Agenda,” *Archival Science* 19 (2019): 349. Lowry continues to expand upon displaced archives in his upcoming volume titled *Disputed Archival Heritage (pending publication in 09/2022)* that discusses force, violence and loss as it relates to displacement of archives.

<sup>66</sup> Vincent Hiribarren, “Hiding the European Colonial Past? A Comparison of Archival Policies,” in *Displaced Archives*, edited by James Lowry (London: Routledge, 2017), 74.

<sup>67</sup> Samantha Winn R., “Ethics of Access in Displaced Archives,” *Provenance, Journal of the Society of Georgia Archivists* 33, 1 (2015): 7.

<sup>68</sup> Lowry, “‘Displaced Archives’: Proposing,” 350.

fit the context of the Gulf states' archival records and its amicable partnership with the UK-based cultural heritage institutions from which they are shared. The Gulf states' goals to date have simply been to obtain and make widely available the archival records that were recorded and gathered by the British during their time in the Gulf region. These archives were not originally directly written or gathered by the Gulf people thus, they were not displaced.

### **3.2. Colonial Archives**

Another category of archives that may not be located within their source community is *colonial archives*. Although it may be assumed that this concept may refer to archives of colonies located in the lands of the colonizers, this may not always be the case. Rather, as Hiribarren argues, “. . . a taxonomic issue is raised by the term ‘colonial archives’ as this term covers a range of records and archival materials. These could include private files created by the local elite ruling with the colonisers, or documents dealing with the colonies but produced in the metropole.”<sup>69</sup> As such, the term colonial archives is not, at least on its surface, applicable to the archival records of the Gulf because the Gulf states were not formally recognized as colonies under any colonizer, including the British Empire. Instead, they continually maintained their sovereignty and culture throughout history as protectorates, even during heavy British presence in the region.

### **3.3. The Need for a New Category for the British-based Gulf Archives**

In sum then, three key points related to the Gulf's archival records in the UK must be borne in mind when contemplating their status: 1) the Gulf states were not formally recognized

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<sup>69</sup> Hiribarren, “Hiding the European Colonial,” 74.

as part of the British Empire; 2) the Gulf states today want to prioritize the time period in which the British were present in the Gulf because primary source and historical records documenting that period were not created by the states themselves; and 3) the Gulf states’ primary focus is on worldwide open access to their history through the digital surrogates because there is little local expertise and human resources to maintain the physical materials. (See Table 1)

| <b>Table 1: Three Key Distinctions Describing the Gulf’s Archival Records in the UK</b> |
|---|
| The Gulf states were not formally recognized as part of the British Empire              |
| Lack of indigenous historical records created during the British presence in the region |
| A primary focus on worldwide access through shared digitized surrogates                 |

For these reasons, a new definition for the nature and status of these archives is required. I propose the term *transactional archives* because it accurately describes the purpose for why the British were documenting and retaining records about the Gulf region during their welcomed presence in the Gulf and their transnational, non-colonial relationship. Transactional records encompass the dispositive (e.g., contracts, agreements) and probative (e.g., minutes, registrations, ledgers) bureaucratic and diplomatic records that involve one or more entities or parties (e.g., a British and Gulf official) in their creation. By contrast, in situations where there might not be agreement or amicable relations between the parties, for example, be the case where one state, entity or person was subjugated to the other, the use of the term “transactional records” has a connotation of equitable power between the different parties involved in a transaction and

might therefore be considered to be an inaccurate description of the relationship underlying the creation and management of the resulting records. However, in this case, the use of the term “transactional records” is appropriate.

This is supported by Terry Cook, who argues that “behind the record always lies the need to record, to bear evidence, to hold and be held accountable, to create and maintain memory.”<sup>70</sup> This supports the argument for why we need a new definition because it explains the purpose of why the records were created. It covers the trade and protection agreements that were created through the diplomatic relationships with the Gulf states versus other British-controlled colonies such as India, as well as the mutual agreement to use its land and waters to conduct their trade and business. It also covers the strategic relationship between the British and the Gulf in terms of the voluntary control of the post offices, trade routes, manufacturing factories, and other border-related transactions under the treaties created by the Gulf rulers and the British.

| <b>Table 2: Types of Records Covered Under the Definition of Transactional Archives</b> |   |
|---|---|
| <b>Diplomatic Records</b>   | Any records pertaining to the official British representatives in the relationship and treaties formation with Gulf rulers  |
| <b>Trade Records</b>  | Records specifically having to do with transactions centering around trade agreements, business transactions, use of the region’s borders and waterways, and other trade-related materials                    |
| <b>British Military Records</b>   | Records by official UK representatives, specifically regarding protection agreements created and/or modified that describes British military presence and events involving the British military in the direct |

<sup>70</sup> Terry Cook, “Electronic Records, Paper Minds: The Revolution in Information Management and Archives in the Post-Custodial and Post-Modernist Era,” *Archives and Social Studies: A Journal of Interdisciplinary Research* 1 (2007): 403.

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|--|---|
|  | protection of Gulf rulers and their state, citizens and other Gulf interests  |
| <b>Strategic Relationships Records</b> | Protection Treaties<br>Records specifically describing the protection treaties between the British and the Gulf ruling families during the British's peak presence in the Gulf    |
| <b>Postal Communication Records</b>    | Records having to do with the postal service under British control; any relaying of information through the post office in relation to official UK business and its Gulf partners |

In addition to the transactional records, other British collections about the Gulf region include other archives such as documentation of lifeways, personalities, events, places, and cultural heritage. The Gulf was often documented and recorded by the British authorities and deputies with the Gulf rulers and authorities in great detail in the course of conducting their business functions and activities. These records also provide historical information that might have otherwise been lost. Such records are valuable to scholars and others seeking to recover insights into the past and cultural traditions of the region and its peoples, especially when disseminated digitally. I argue in this dissertation that these records were written by the British *with* the Gulf peoples, who, while not necessarily the creators of record, are nevertheless essential co-creators as well as subjects of these records.

#### **4. Reasons for the Inaccessibility of Archival Records about the Gulf**

Accessing extant historical materials pertaining to the Gulf posed a great challenge before the advent of advanced digital technologies. As already noted, the physical records are held primarily in England, and only scholars and other interested researchers who lived nearby or had the resources to travel and request access to the materials were in a position to write in an

informed way about the Gulf's history. As a result, comparatively little has been written about that particular area of the world. James Onley, Director of Historical Research and Partnership at QNL states: "The Gulf region is the least written about part of the Middle East."<sup>71</sup> Onley highlights the main reasons for why the Gulf's archives were inaccessible before digital technology made it much easier. He notes, "[p]art of the reason for this is that archival records on . . . the Gulf are dispersed around the world and are difficult and costly to access."<sup>72</sup>

Another reason for the lack of accessibility has to do with how the records are kept in the scattered nations outside of the Gulf. Onley states that, "much of the materials on the Gulf has not seen the light of day since its creation over a century ago because it is uncatalogued and therefore difficult to access. Other material, though accessible, has been little used, such as the East India Company's logs from the early 17<sup>th</sup> to mid-19<sup>th</sup> centuries, which chronicle the incorporation of the Gulf into the global economy."<sup>73</sup> Unprocessed collections of records relating to the Gulf's records add to the accessibility problem. For this reason, digital sharing must also be extended to other collections, not only British records, and the Gulf has continuously and increasingly sought out these scattered primary source materials.

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<sup>71</sup> "Qatar Digital Library's Progress Highlighted in Lecture at QNL," *Peninsula: Qatar's Daily News*. January 14, 2019, <https://www.thepeninsulaqatar.com/article/14/01/2019/Qatar-Digital-Library's-progress-highlighted-in-lecture-at-QNL> (accessed on 3/20/2020).

<sup>72</sup> "Qatar Digital Library's Progress Highlighted."

<sup>73</sup> "Qatar Digital Library's Progress Highlighted."



## 5. Overview of the Digitally Shared Materials

### 5.1. Qatar Digital Library (QDL)

The British Library- Qatar Digital Library partnership has digitized hundreds of thousands of documents from the India Office Records (IOR) holdings, which are housed in the BL in London, including “archives, maps, manuscripts, postcards, illustrations and photographs.”<sup>74</sup> These records came from multiple sources. Some were purchased from private collectors, and others were donated. Additionally, others were generated by the British in the course of conducting their business in the Gulf, according to Richard Gibby, the head of the BL-QDL partnership.<sup>75</sup> More specifically, over 400,000 pages originated from the mid-1800s through 1951 when the “British had colonial administration over the Gulf.”<sup>76</sup> Gibby expands upon this statement by listing the primary Gulf states whence most of the materials originate. These include Qatar, Bahrain, Kuwait, and the UAE. Iraq and other Middle Eastern countries as well as India are also mentioned but to a lesser extent. The IOR include:

The archives of the British East India Company (1600–1858), the Board of Control or Board of Commissioners for the Affairs of India (1784–1858) and the India Office (1858–1947). They include letter books, files and compilations from the British Political Residencies in the Gulf, including the residency at Bushire (1763–1948) and the agency at Bahrain (1899–1951).<sup>77</sup>

A significant portion of the digitized records from the IOR document the business transactions of the British Empire from 1600 to 1858 and make up a large part of the BL- QDL

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<sup>74</sup> Nadine El-Sayed, “Digitizing 1,000 Years of Gulf History,” *Nature Middle East*, November 11, 2014, <https://www.natureasia.com/en/nmiddleeast/article/10.1038/nmiddleeast.2014.264> (accessed on 3/30/2020).

<sup>75</sup> El-Sayed, “Digitizing 1,000 Years of Gulf History.”

<sup>76</sup> El-Sayed, “Digitizing 1,000 Years of Gulf History.”

<sup>77</sup> Richard Davies, “British Library Qatar Foundation Partnership,” *Alexandria: The Journal of National and International Library and Information Issues* 28, 1 (2018), 7-8.

partnership.<sup>78</sup> An example of an online accessible primary source in QDL is the India Office Records from 1763 to 1951, which include the “correspondences of the British government in the Gulf, either between British employees themselves regarding incidents between employees and Gulf rulers, or of documentation records. In both cases the India Office Records allow citizens in the Gulf to have a further understanding of the historical events from a *British perspective*” [italics added].<sup>79</sup>

According to Gibby, these papers detail the day-to-day lives of the Gulf peoples and the British 200 years ago, as well as their culture and other historical events.<sup>80</sup> Some of the British Library’s records are also from the British administrative posts in Kuwait and Oman (Muscat) during the British presence in the Gulf.<sup>81</sup> As technology advanced during the years the British were in the Gulf, they began to further improve their communication by laying telegraph cables along the seabed, directly connecting London to Bombay. Hence, over the span of 300 years, the administrators were capable of collecting and controlling “government papers, diplomatic dispatches, letters, diaries, financial receipts, maps, sketches, photographs, notes, and more – [which] were eventually transferred to London after the abolition of the India Office in 1947.”<sup>82</sup> Matthew Teller further goes on to say, “there they remain, millions of documents occupying nine miles of shelving within the British Library – the most important collection of primary source material on Gulf history in the world.”<sup>83</sup> Currently, QDL offers open online access to a majority

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<sup>78</sup> Al-Mutawa, “Qatar Digital Library,” 7.

<sup>79</sup> Al-Mutawa, “Qatar Digital Library,” 4.

<sup>80</sup> El-Sayed, “Digitizing 1,000 Years of Gulf History.”

<sup>81</sup> Teller, “Qatar’s Digital Library.”

<sup>82</sup> Teller, “Qatar’s Digital Library.”

<sup>83</sup> Teller, “Qatar’s Digital Library.”

of these digitized materials that are considered primary sources. The materials now allow a novel opportunity for Gulf peoples and researchers to deepen their studies on the Gulf region with collections of unrevealed information.<sup>84</sup>

## 5.2. Arabian Gulf Digital Archives (AGDA)

The second partnership between the UK and the Gulf has resulted in the establishment of the Arabian Gulf Digital Archive (AGDA), sponsored by the National Archives of the United Arab Emirates (NA UAE). Although QDL and the AGDA both offer free access to their archival records, AGDA differs from QDL in that its primary source materials come from TNA and not the BL. The digitized collection mainly refers to the time period between the 1820s to the 2000s.<sup>85</sup> These documents include materials from highly sensitive sources at the time and access was formerly restricted to officials such as British representatives and were based on British policy that came out of the different Whitehall departments, so their online opening was an exciting and even surprising discovery. The AGDA is especially significant for its records that document both the British perspective and that of the local Arab perspective in the Gulf. As Gerald Power cites,

Although mostly generated by the British state, the AGDA's records do not reveal solely British perspectives. Much of the material is deeply concerned with recording and analysing Arab (and other); it includes detailed reports of discussions and correspondence with leading local figures, as well as facsimiles of Arabic documents from governmental and media sources.<sup>86</sup>

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<sup>84</sup> Al-Mutawa, "Qatar Digital Library," 4.

<sup>85</sup> Gerald Power, "The Arabian Gulf Digital Archives: A Major New Resource for Gulf Analysts," *The Euro-Gulf Information Center*, 2019, available online at <https://www.egic.info/arabian-gulf-digital-archive> (accessed on 3/20/2020).

<sup>86</sup> Power, "The Arabian Gulf Digital Archives."

AGDA is also unique in that it offers free access to primary sources that contain information about events and characters that played a historical role in shaping and defining the Gulf region. For example, there are materials that were previously not seen by the general public but explain the history and culture of the Gulf at that time.

Materials found in AGDA include “letters, memos, transcripts, photos and official correspondence from leaders and governments that shaped the events of their time.”<sup>87</sup> These materials document the writings of British officials who wrote about the events and the Gulf peoples they met from their perspective. These materials “provide a unique contemporary resource but, as with all historical documents, must be understood in the context of their times.”<sup>88</sup> A specific example of the richness of AGDA holdings comes from Dr. Abdulla Mohammad Al Raisi, Director-General of the NA UAE, who succinctly summarizes the significant importance of these materials. He highlights,

the bilingual online portal contains a treasure trove of hundreds of thousands of priceless records, spanning two centuries, documenting events and personalities that have shaped the region. The majority are text records and come from British Foreign Office files about the Arabian Gulf but photographs and video footage from the UAE are also available.<sup>89</sup>

Although these two digital repositories provide accessibility to digitally shared materials by the UK, there remains a great demand for these materials to be represented in ways that accurately reflect the needs, use, and perspectives of the Gulf peoples. The principle of provenance usually guides the process of representation, but its traditional practice has significant limitations in the context of the shared digitized records.

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<sup>87</sup> “About Us,” Arabian Gulf Digital Archives.

<sup>88</sup> “About Us,” Arabian Gulf Digital Archives.

<sup>89</sup> Samir Salama, “Treasure Trove of UAE: Free Gulf Archives Now Online,” *Gulf News*. June 27, 2019, <https://gulfnews.com/uae/treasure-trove-of-uae-free-gulf-archives-now-online-1.64851345> (accessed on 3/30/2019).

## CHAPTER II: LITERATURE REVIEW

This chapter explores literature relevant to this dissertation research, in order to provide a context for this study. It first examines professional literature about digital repatriation and digital return, its benefits and limitations, and then addresses how to define the digitization and dissemination of archival records pertaining to the Gulf that are owned by and held at the British-based cultural heritage institutions. Next, it reviews archival literature about the principle of provenance: the traditional definition of provenance, its limitations, and most recent efforts to redefine and expand it to incorporate concepts such as multiple provenance and co-creation. Finally, this chapter ends with a review of literature about archival representation. It focuses on the arrangement and description of the digitally shared archival records within the context of the expanded concepts of provenance.

### 1. Digital Repatriation

A conceptual debate arises from the Gulf's recent efforts in gathering the vast collection of archives from various countries. Although the Gulf states began to collect copies of scattered archives, starting from the UK, the original materials are still outside of their countries and remain out of their full control, stirring up confusion and ambiguity in the true definition of repatriation. This is due to the fact that, unlike its originally intended definition, these Gulf states were only receiving digital surrogates and not the original physical materials. This then created a subcategory of repatriation, which can be referred to as "digital repatriation," since the originals were not returned to the countries to which the records pertain but rather retained by the creators of records. A new look into repatriation, specifically as it applies to digital repatriation, is now warranted in the context of the Gulf to better understand how it relates to their unique situation.

Before the Gulf's interest in the return of their records, repatriation was largely defined in the context of, and most often referred to the records of and about the indigenous peoples of Australia and North America. In the Arab world, however, there are only a few case studies regarding repatriation written by non-Arab scholars about colonial archival records. Noted anthropologist Susan Slyomovics writes extensively about contestation around repatriation of archival records from former North African colonies that were controlled by the French.<sup>90</sup> One of Slyomovics' articles specifically discusses the importance of truth commissions when analyzing archives from Morocco because there is a known history of hidden archives that these truth commissions are seeking to reveal. More specifically, the oppressive regime of the French in Morocco actively hid archives to selectively write a more favorable history of their presence, in order to shape their narrative in Morocco. Morocco's archives and history are negatively affected by the French's overbearing influence over their archives and resulted in the need for truth commissions to uncover and reveal these hidden archives.<sup>91</sup>

Another notable example from the Arab world comes from Sarah Abrevaya Stein, who writes about the forced repatriation of Algerian archives by the French. She writes, "the French were preparing to seize and 'repatriate' Algerian archives, asserting control—or trying to—over how Algerian history and the history of French colonialism could, in the future, be written, and by whom."<sup>92</sup> After the War of Algerian Independence, the French initiated the forced repatriation of certain archives that described Southern Algerian Jews as eligible for common status and classified Northern Algerian Jews and Muslim refugees as *indigène* (indigenous) without

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<sup>90</sup> See Susan Slyomovics, "Is Patrimoine 'Good to Think With'?" *The Journal of North African Studies* (2019): 1-8.

<sup>91</sup> Susan Slyomovics, "The Moroccan Equity and Reconciliation Commission: The Promises of a Human Rights Archive," *Arab Studies Journal* 24, 1 (2016): 10-41.

<sup>92</sup> Sarah Abrevaya Stein, "Black Holes, Dark Matter, and Buried Troves: Decolonization and the Multi-Sited Archives of Algerian Jewish History," *The American Historical Review* 120, 3 (2015): 912.

common status (French). This forced repatriation was initiated by the French in order to reshape their unequal classifications of Northern and Southern Algerians Jews under French colonization because the French officials in the postcolonial era did not want this unequal classification to be revealed. This is evidenced by Stein, who states, “The search for an authoritative southern Algerian Jewish civil register [forced repatriated archive] was nonetheless driven by the ambition of rewriting select chapters of a larger history of inequality, and also by the attempt to eradicate typological and legal distinctions that now seemed impossible, if not shameful.”<sup>93</sup> Thus, the French forced the repatriation of these archives to re-write how they viewed the Algerians under French colonization after Algeria’s independence from France.

Both these case studies on repatriation about the Arab world involve the repatriation of archival records from the time of French control over its North African colonies. However, the Gulf’s entrance into the archival world presents a different situation that possibly extends and certainly challenges the original definition and intention of repatriation because it does not necessarily fit within the scope of colonization. The original records, created by the British about the Gulf, are unique because the British in this case are not colonial masters. Rather, their presence in the Gulf was mostly due to trade routes, access to the waterways, protection treaties, and later, access to oil. In order to accurately represent the case of the British transactional archives shared with the Gulf, repatriation must shift its focus to a new facet of digital repatriation. I argue that digital repatriation as a concept and set of practices must now evolve to incorporate this new category of the digitally shared transactional, but not colonial, archival materials.

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<sup>93</sup> Stein, “Black Holes, Dark Matter,” 914.

Repatriation typically refers to the return of items such as historical artifacts, documents, letters, money and other original materials to the country of origin.<sup>94</sup> However, I would argue that the digital surrogates of the Gulf records should be defined differently, if only because the digitized copies and not the originals are being shared with the Gulf states. As such, digital repatriation must be redefined and viewed from the context of intangible return of knowledge rather than the physical return of objects. Katherine Carlton succinctly and perfectly exclaims this new transfer of virtual knowledge:

The term is problematic. Repatriation by definition suggests that something is being returned. It is therefore implied that, in the case of ‘digital repatriation,’ ownership of an object is changing hands when in fact nothing is actually being returned. While it may be incorrect to label the phenomenon as repatriation, it is true that a sort of transfer is taking place in the virtual space that would not have otherwise been possible. Rather than framing the event within the context of the repatriation of objects, it is perhaps more accurate to think of it as a repatriation of knowledge. Because digital surrogates and their accompanying contextual information are available to access on the web, knowledge that may otherwise be difficult to retrieve is available to source communities with relative ease.<sup>95</sup>

Carlton’s justification of why the term *repatriation* is not suitable when it is digital contends that possession of records in “digital repatriation” is not being transferred, even though some might misconstrue it for what Boast and Enote term as “lexicological positioning and categorical overkill.”<sup>96</sup> As such, this aforementioned assertion better represents the process and intention otherwise missed by the original definition of repatriation, which takes into account neither the digital technologies nor the digital representation of the materials and open access credited to

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<sup>94</sup> Robin Boast and Jim Enote, “Virtual Repatriation: It Is Neither Virtual nor Repatriation,” In *Heritage in the Context of Globalization: Europe and the Americas*, edited by Peter F. Biehl and Christopher Prescott, (New York: Springer, 2013): 108.

<sup>95</sup> Katherine Carlton, “Native American Material Heritage and the Digital Age: ‘Virtual Repatriation’ and its Implications for Community Knowledge Sharing,” University of Michigan, 2010, 12. Available online at <https://deepblue.lib.umich.edu/bitstream/handle/2027.42/77643/carltonk.pdf?sequence=1&isAllowed=y> (accessed on 3/3/2020).

<sup>96</sup> Boast and Enote, “Virtual Repatriation: It Is Neither,” 109.



digital repatriation. This explanation also fits within the case of the Gulf's archival records. It more accurately explains that the materials are digitally being shared with the Gulf, while the physical materials remain in the UK's Gulf collections. Thus, digital sharing challenges the application of "digital repatriation" when it comes to the British-Gulf partnerships. It creates a new issue in the *representation* of the digitally shared materials.

The pressing urgency for digital repatriation of the archives that pertain to the Gulf can be categorized into three main concerns: 1) to better understand the problems that originated during the age of imperialism; 2) to distinguish between the native perspective and the British perspective; and 3) to accurately describe the collections according to archival representation theory. The efforts to share the digitized surrogates must be effected, therefore, in a way that allows the Gulf to exercise intellectual control over the materials and not unintentionally enter into another treaty-like phase of British control through the power of representation.

### **1.1. Digital Repatriation and its Benefits**

There are also benefits that justify the continued use of the term *digital repatriation* in archival studies in general. The first benefit of digital repatriation, as explained by Byrne (2009) and Carlton (2010) is that of the very idea of gaining access to the cultural and historical records that were once located outside of the native country from which these records were sourced. Byrne states, "Its most significant value lies in its benefits for communities in enabling them to recover elements of their cultures and histories which have been recorded and deposited elsewhere, usually in a museum, archive or library but sometimes only in researchers' own

files.”<sup>97</sup> Digital repatriation also provides a way for technology to be used for digitally recontextualizing objects that would have otherwise been hidden and not known. Carlton states,

While many community members would perhaps prefer ownership or increased access to the physical object, digital collaboration projects allow for more than just access or ownership. Instead, community members become collaborators, helping to shape the way in which the object is both represented and understood in a cultural context.<sup>98</sup>

As a result, digital surrogates offer a new opportunity for future generations to learn about their history, culture and other aspects of their heritage that once were located outside their country and only accessible to researchers and those who were able to travel to the objects’ locations. Now, a wide range of digital surrogates can be shared online, and their contents passed down from generation to generation. This is a key benefit specifically for the Gulf states that want their digital archives to be shared worldwide to raise awareness of their history and culture and to open the possibility for others to contribute and contextualize these digital surrogates.

A second benefit, as mentioned by Christen and Anderson, is the use of digital surrogates to reinforce a native country’s ownership of its history and its ties to the physical space from which the original materials were taken. They specify, “digital surrogates can also be catalysts for remembering, renewing, and building anew. In this way, they are also part of communities of relation and systems of care. They open up digital and material spaces to Indigenous ways of knowing and caring for belongings.”<sup>99</sup> The natives now have a wealth of evidence that support their claims to their history, culture and physical space that are returned to them through the

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<sup>97</sup> Alex Byrne, “The Importance of Culture in Digital Ecosystems: Managing Indigenous Research Data,” Paper Presented at the International Conference on Management of Emergent EcoSystem, *MEDES*, France 27-30 October 2009, 4. Available online at <https://www.semanticscholar.org/paper/The-importance-of-culture-in-digital-ecosystems%3A-Byrne/6956655c7356e3af519f877c1a37db7f934e5afc> (accessed on 3/2/2020).

<sup>98</sup> Carlton, “Native American Material Heritage,” 14.

<sup>99</sup> Kimberly Christen and Jane Anderson, “Toward Slow Archives,” *Archival Science* 19 (2019): 112.

digital surrogates. They can use the digital archives to rebuild or reestablish their place in history and recollect their social memory more accurately.

A third benefit is mentioned by Chebotrarev in reference to the Bakhmeteff Archive. Chebotrarev specifically highlights the advantage of using modern technology to gather all the digital surrogates and compile them in one place rather than spending an enormous amount of time relocating and moving the original materials, which may not always be possible. This is supported by the text that states, “today’s technology permits us to reunite archival materials in a digital format rather than having to move the dispersed collections physically.”<sup>100</sup> The main argument here is that digital repatriation is an important substitution for native countries that cannot physically move the originals or do not have the personnel and expertise for the maintenance of the originals - as is the case for the Gulf.

A fourth benefit, introduced by Lyons, is the shift in focus from the original medium to the digitized content. Because everything is uniformly digitized, there is a greater possibility for archivists to begin moving these digital surrogates to repositories and expanding their use within the online realm.<sup>101</sup> This can potentially lead from simple online accessibility to the natives regaining control of their digital files. Moreover, because the focus has shifted to the content itself, the same digital surrogate can be accessed by multiple users at once without worrying about being limited to the actual physical object.

The final benefit of digital repatriation centers around the importance of relinquishing intellectual and physical control of the materials being repatriated. Lyons states, “part of the act of repatriation is *the willingness to let others determine the meaning and the interpretation of the*

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<sup>100</sup> Tanya Chebotrarev, “Repatriation of the Bakhmeteff Archives: Russian Dreams and American Reality,” *RMB: A Journal of Rare Books, Manuscripts, and Cultural Heritage* 6, 1 (2005): 47.

<sup>101</sup> Bertram Lyons, “Repatriation and Digital Cultural Heritage,” *Indian Folklife* 37 (2011): 17.

*materials themselves* [italics added]. Recipients may want to provide new life to these collections, new lenses for interpretation.”<sup>102</sup> In relation to the Gulf, if the British (and other nations that hold records pertaining to the Gulf) wish to retain the physical materials, they can still be supportive of the Gulf institutions creating new, additional or modified representations of the digital surrogates.

## 1.2. Digital Repatriation and its Limitations

Limitations exist in the definition of digital repatriation. First and foremost, the definition fails to mention how the digital surrogates relate to the original materials. It is well known amongst scholars in museum and archival studies that the digital surrogate does not replace or substitute for the physical object. Bell, Christen and Turin raise this concern by stating: “Digital surrogates are not always intended to replace, or be synonymous with, the physical materials that they may represent. Instead, digital (or digitized) cultural materials may also provide an alternative form of—and dynamic life for—certain physical objects.”<sup>103</sup> As a result, many assumptions could be made as to how the digital surrogates relate to the original materials. This is specifically noted by Christen, who argues:

Digital repatriation can be a contentious term if one makes too-quick assumptions about the relationship between the digital and material forms of cultural heritage material. While some may assume on first glance that the digital object—as a surrogate—is meant to *replace* [emphasis in original] the physical object, no one, standard definition, nor agreed-upon terminology, characterizes the multiple practices of collecting institutions, individuals, or local community groups surrounding the return of cultural and historical materials to indigenous communities in their digital form.<sup>104</sup>

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<sup>102</sup> Lyons, “Repatriation and Digital Cultural,” 18.

<sup>103</sup> Bell, Christen, and Turin, “After the Return, Digital Repatriation,” 196.

<sup>104</sup> Christen, “Opening Archives: Respectful,” 187.

Thus, it is not explicitly dictated how the digital surrogates are controlled because the original definition is limited to only the physically repatriated objects. This further justifies the need for a modified and more expanded definition that takes into consideration how the digital surrogates are viewed without necessarily tying it to the original physical objects, especially when it comes to the professionals needed to preserve and house the original objects. This may not always be feasible in the Gulf, and the digital surrogates may be sufficient to provide a wider circulation of knowledge and access.

Secondly, the technology of digitization and open access can no longer be considered as repatriation, as originally intended. Instead, Haidy Geismar suggests a complete overhaul of the term repatriation altogether. She suggests,

Repatriation relies on a singular artifact that can exist in a singular moment in time. *Digital return speaks to the possibility for multiplicity, yet dilutes the efficacy of repatriation* [italics added]. The decision in this working group and project to use the term “digital return” rather than “repatriation” signals the politics of translation, which speaks to those who hold the authority to replicate. We need to pay attention to the implicit power relations that permit digital returns and to the hierarchies that ‘keeping- while-giving’ establishes, in which objects may circulate but title, or ownership, remains centralized.<sup>105</sup>

Kimberly Withey further supports redefining digital repatriation as digital return, since it more closely identifies the digital surrogates as being *different* from the physical objects. She argues, “digital return can not offer the physical connection with materials, nor should it be seen as a substitute.”<sup>106</sup> However, this should not minimize the importance of collecting and co-creating archival records where none existed before. It can be better to have digital copies of the original

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<sup>105</sup> Haidy Geismar, “Defining the Digital,” *Museum Anthropology Review* 7, 1-2 (Spring-Fall 2013): 257.

<sup>106</sup> Kimberly Christen Withey, “Sovereignty, Repatriation, and the Archival Imagination: Indigenous Curation and Display Practices,” *Collections: A Journal for Museum and Archives Professionals* 11, 2 (2015): 122.

physical objects because they serve the need for the archival records. As Ruth Phillips, a museum studies scholar, notes,

while virtual repatriation does not and should not replace the need for physical repatriation, it nonetheless helps restore connections to collections that remain in museums, re-opening channels of knowledge that were closed off by the massive collecting projects of the first museum age and to which community members have a moral right.<sup>107</sup>

In the case of the Gulf, the digital sharing of the materials serves as the only opportunity to build an archival collection and regain the undocumented parts of their history. Without the digital surrogates, Gulf representatives would have to travel and purchase copies from each country that holds the scattered archival collections, which is time-consuming and a burdensome task to undertake.

A third limitation that Gilliland introduces is that of the physical location of the original materials. Gilliland notes,

a constant limitation in debates about repatriation is the physicality of the materials involved. Sometimes those materials are legitimately or perforce the records of two different countries, but they could only physically reside in one. Sometimes they have been removed or appropriated during wars or other conflicts or even by collectors and researchers from other countries.<sup>108</sup>

In the case of the Gulf, according to the traditional application of the principle of provenance, the British are the original creators of the records, despite the fact that the Gulf peoples are the primary subjects (agents) of the records. The ethos of digital repatriation as underscored by the concept of co-creatorship, is one of shared oversight over how such records are managed, represented, and disseminated. Although the Gulf peoples could certainly benefit from accessing the physical materials, they are currently lacking the education programs to train information

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<sup>107</sup> Withey, "Sovereignty, Repatriation, and the Archival," 122.

<sup>108</sup> Gilliland, *Conceptualizing Twenty-First-Century Archives*, 30.

professionals to maintain and preserve these high volumes of precious and fragile materials, especially given the Gulf's extreme environmental conditions. Instead, these records are better off remaining in their current in well-protected and climate-controlled institutions with professionals trained to preserve the records.

A fourth limitation to the original definition of digital repatriation, according to Gilliland, is that it fails to specify

what constitutes 'giving back,' what is given back, the degree of physical and intellectual control over either the original or the digitized materials that any of the parties involved may or should actually have (including the conditions under which they are preserved, copyright concerns, and the adequacy and perspectives of any descriptions that are also transferred or shared), and the accessibility and usability of repatriated materials by the community to which they were repatriated.<sup>109</sup>

The Gulf-based cultural heritage institutions are currently running into some problems with copyright concerns. Also, there may be sensitive materials and information that should not be made public but need to be digitally shared in a way that preserves the privacy of those who were mentioned in the records. Other issues could arise over the control of those sensitive materials and whether or not they could be made available unrestricted online. These issues could very well be minimized by more discussions with the British to clarify copyright status as well as access to these records.

A fifth limitation is that the original definition of digital repatriation fails to specify how digital surrogates are viewed in comparison to physical repatriation. Are they an extension of physical repatriation, or are they a new form of repatriation? Christen presents this argument when discussing how digital technologies affect repatriation practices, stating

the ease with which they can be copied, distributed, and revised; their ability to exist in multiple locations at once; and their ephemeral nature—makes them distinct cultural objects that provide scholars with a rich platform for engaging with varied

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<sup>109</sup> Gilliland, *Conceptualizing Twenty-First-Century Archives*, 31.

processes of cultural production and multiple routes for the circulation of knowledge.<sup>110</sup>

Thus, this limits how these digital surrogates are arranged because they exist in multiple locations. Likewise, the original definition mostly describes the practice of how the physical objects are arranged because there is only one original item of each artifact, which is easier to organize. As such, the original definition needs to be modified to take into consideration the use of technologies to make many digital copies or versions of the same artifact and locate them in different places.

Taking all the limitations into consideration, the use of the term “digital repatriation” seems to fall short in its ability to encompass the situation of the Gulf records and that the term “digital return” is somewhat more accurate and better incorporates the concerns relating to the description and arrangement of the materials. Withey argues that,

The notion of “digital return” that I advance here is something more than the digitization and exchange of materials, which is fairly commonplace and inexpensive. I use digital return instead as an umbrella term to include many types of return practices, but specifically as related to Indigenous cultural heritage materials found within collecting institutions.<sup>111</sup>

It is important to note here that her use of the term “digital return” also takes into consideration the use of digital repatriation but in a more exclusive way. She distinguishes this by saying, “I use the term repatriation consciously and purposefully to denote a set of political and cultural practices that go further than just digitizing materials and giving those digitized versions back to source communities.”<sup>112</sup> She explains how the new term “digital return” is an umbrella term that

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<sup>110</sup> Kimberly Christen, “Opening Archives: Respectful Repatriation,” *The American Archivist* 74 (Spring-Fall 2011): 187.

<sup>111</sup> Withey, “Sovereignty, Repatriation, and the Archival,” 126.

<sup>112</sup> Withey, “Sovereignty, Repatriation, and the Archival,” 126.



covers different kinds of return practices. In the Gulf's case, the type of return that is most accurately practiced is *digital sharing*, which essentially describes the strategic relationship between the British and the Gulf and the agreed partnership between the two regions' cultural heritage institutions. Other offshoot definitions (e.g., digital sharing, digital surrogate) fall under this umbrella term.

### **1.3. How Repatriation Fits Within the Context of Digitally Shared Materials**

Digital repatriation has not been substantively addressed by Gulf scholars, and only a few articles that could be found. Also, there is almost no discussion about the intellectual control or representation of the digital surrogates after they are being shared with the Gulf. Even within Western literature, most of the articles on digital repatriation focus on access and physical return rather than on how the materials are arranged and described after the return. Therefore, we must refer to how archives have been returned in North American and Australian to their indigenous cultures to get a better idea of how representation could possibly be initiated in the Gulf. Most of the literature discusses digital repatriation in the West as it pertains to Native American and Aboriginal peoples.

A crucial action centers around whose narrative supersedes another when representing the digitally returned materials. Hannah Alpert-Abrams argues that it is important to pay attention to three contexts within the framework of interpretation: archival space, systems of cataloguing, and points of access. In examining the description of the materials of the Cushing's Colonial Mexican Collection online, she reveals that the *Primeros Libros* are clearly described

through the lens of colonial missionaries and not the indigenous Mexican peoples.<sup>113</sup> Thus, when discussing the description of the archives, it is pivotal to be aware of whose perspective is used and in what context overall. Similarly, Withey argues that there needs to be a conscious shift towards viewing digitally returned materials through a native perspective. She questions the biased Western narratives that directly contradict the cultural and historical knowledge of the natives. Through a native narrative, indigenous peoples can regain archival sovereignty and control over how their archives are interpreted.<sup>114</sup>

Another approach, presented by Timothy B. Powell, focuses on the physical collection of the digitally returned materials, through the process of accessing large amounts of metadata online and opens these archives to both natives and the colonizers. A problem with that, however, is that it can shift the power of the narrative to the colonizers. According to Powell, “the metadata is colonized in the sense that the inherently collaborative effort, which Speck openly acknowledged, is reduced to the name of the white anthropologist who put the needle down on the wax cylinder.”<sup>115</sup> As a result, digitization led to a shift to an “item level” cataloguing rather than a “collection level” cataloguing.<sup>116</sup> The item level allows for easier retrieval of that specific item online and can lead to a better arrangement and description of the item in the greater context of representation. However, this is not always possible because it is time consuming and laborious.

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<sup>113</sup> Hannah Alpert-Abrams, “From Archival Network to Digital Archives: Digital Repatriation and the *Advertencias para los Confesores de los Naturales*,” Paper Presented at the Texas Digital Humanities Consortium: Huston, Texas. April 2014. 3-4, available at [https://www.halperta.com/pdf/txdhc\\_advertencias.pdf](https://www.halperta.com/pdf/txdhc_advertencias.pdf) (accessed on 3/30/2020).

<sup>114</sup> Withey, “Sovereignty, Repatriation, and the Archival,” 126-127.

<sup>115</sup> Timothy B. Powell, “Digital Knowledge Sharing, Forging Partnerships Between Scholars, Archives, and Indigenous Communities,” *Museum Anthropology Review* 10, 2 (Fall 2016): 79.

<sup>116</sup> Powell, “Digital Knowledge Sharing,” 79.

A third action, as suggested by Christen, is the inclusion of the natives' narratives in the application of descriptive standards. Her expansion of the standard Dublin Core metadata categories presented an opportunity for the tribes themselves to define their own categories and add their perspectives and access conditions. She further presents an example from Peter Toner's work on the Dublin Core's metadata schemes,

It is obvious that the fundamental categories of metadata schemes like Dublin Core are based on Western systems of knowledge management. As archives work increasingly with indigenous communities on the repatriation of digitized cultural heritage materials, with a clear aim of local knowledge management, we must expand the categories of metadata to include culturally-significant styles and types of knowledge.<sup>117</sup>

Such expansion of the metadata scheme being used can potentially improve the description and enrich the overall representation of the collection. There is also increasing demand by archival scholars to create a set of standards that grants the opportunity “for multiple voices, layered context, diverse forms of metadata, and the expansion of the archival record”<sup>118</sup> to be represented in the description in ways similar to that used in the Plateau Peoples' Web Portal Project in Washington state. This allows for the much needed and realistic shift in the practice where colonial narratives can be questioned but not entirely disregarded.<sup>119</sup>

A last but not least action, as noted by Christen and Anderson in the *slow archives* within the Mukurtu Content Management System (CMS), is the inclusion of native cultural contexts denoted by an extended method of description: the Traditional Knowledge (TK) Labels. These TK Labels, “work as social and educational markers of context, locality, and relationships. They

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<sup>117</sup> Christen, “Opening Archives: Respectful,” 193 (Citing Peter Toner, “History, Memory and Music: The Repatriation of Digital Audio to Yolngu Communities, or, Memory as Metadata,” in *Researchers, Communities, Institutions, Sound Recordings*, ed. Linda Barwick, Allan Marett, Jane Simpson, and Amanda Harris (Sydney, Aus.: University of Sydney, 2003), 14.).

<sup>118</sup> Christen, “Opening Archives: Respectful,” 198.

<sup>119</sup> Christen, “Opening Archives: Respectful,” 198.

ask viewers to pause and find out more about the attribution, access, use, and context of these belongings, materials, and knowledge they are engaging with through Mukurtu's interface."<sup>120</sup>

By including TK Labels to the digital surrogates, archivists are able not only to gain access to the collection, but also to have access to a greater wealth of information that puts these digital surrogates within the context of the natives' narratives and interpretations. A central advantage of the TK Labels is shifting the focus toward the indigenous communities' knowledge, access and contributions. More so, it defines the partnerships with the holding institutions and puts the community's control over their archives above that of the non-native's perspective.<sup>121</sup> TK Labels, as a central focus of slow archives, thus shifts the focus of archives to native communities.<sup>122</sup>

The aforementioned actions discussed by museum and archival scholars can be applied to the digital materials shared by the British with the Gulf. Although they are specifically discussing Western-based archival records, these actions could potentially also be used as a rudimentary guideline for the Gulf's unique situation and possibly other non-Western cases. Thus, a number of imperative actions can be learned and applied to the Gulf's digitally shared materials, which might include: 1) the consideration of the Gulf peoples' perspective in the archival description; 2) the opportunity for the Gulf peoples to add their own categories based on the broadened historical context of the archival record; and 3) the inclusion of TK Labels in the description of the digitized materials as a mechanisms for adding the Gulf's perspectives to the descriptions created by the British institutions.

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<sup>120</sup> Christen and Anderson, "Toward Slow Archives," 103.

<sup>121</sup> Christen and Anderson, "Toward Slow Archives," 105.

<sup>122</sup> Christen and Anderson, "Toward Slow Archives," 107.

Such actions that could be taken as part of digital repatriation and digital sharing expand considerably on more traditional guidelines for arrangement and description that are governed by several archival principles. The most important of these principles for the digitally shared materials is the principle of provenance, which covers the ways in which archival materials are arranged and described. However, are limitations to how the traditional principle of provenance is practiced that could be addressed by the kinds of expansion discussed above when applying it to the case of the digitally shared Gulf records.

## **2. The Principle of Provenance**

Beginning in Spain in the 18<sup>th</sup> century, and more particularly in 19<sup>th</sup> century France, Prussia and the Netherlands, archival scholars and practitioners developed theories and principles that became universally standardized and accepted amongst the archival community, especially when processing archived records. Amongst these principles is the principle of provenance. It is important to note the place and significance of the principle of provenance within the greater realm of archival science. From its inception until today, provenance has been applied and practiced in the arrangement and description of the archival records worldwide and is universally accepted as the primary organizing principle and access point for archival materials. Knowledge organization specialists Tognoli and Guimarães state,

The principle of provenance is one of the most important milestones in archival practice and theory, once its establishment fomented the scientific of archival discipline in the Nineteenth century. Since then, the organization of archival knowledge (classification and description) is based on provenance and context of a documental set.<sup>123</sup>

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<sup>123</sup> Natália Bolfarini Tognoli and José Augusto Chaves Guimarães, “Provenance,” in *Encyclopedia of Knowledge Organization*, edited by Birger Hjørland and Claudio Gnoli, available online at <https://www.isko.org/cyclo/provenance> (accessed on 4/10/2020).

Over the course of archival sciences and the introduction of the principle of provenance, there were many scholars that contributed to the definition of provenance. Paul Brunton and Tim Robinson (1993) offer their definition of provenance, stating that it “refers to the place of origin of the records, i.e., the organization, office or person that created, received or accumulated and used the records in the conduct of business or personal life.”<sup>124</sup> Their definition of provenance requires that records “created and/or received by a single individual or organization or office within that organization must be treated as a single collection and items should not be mixed either physically or intellectually with material of a different provenance.”<sup>125</sup> They clearly express the need to denote how collections are arranged under the principle of provenance, based on their creation and purpose.

As the field of archival science moved its way out of Europe and into other Western countries (e.g., North America and Australia), notable archival scholars started to emerge from outside Europe. For example, Waldo G. Leland, an American historian and archivist was deeply influenced by the European archival practices he encountered when inventorying records about colonial America held in European archives, instructing would-be American archivists in the early 20<sup>th</sup> century that “the archives should be classified according to their origin; they should reflect the processes by which they came into existence.”<sup>126</sup>

When discussing the classification of the origin of the records, it is important to note how the records are arranged collectively according to the principle of provenance. This falls under

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<sup>124</sup> Paul Brunton and Tim Robinson, “Arrangement and Description,” in *Keeping Archives*, edited by Judith Ellis, ed., 2<sup>nd</sup> ed, (Port Melbourne, Victoria, Canada: D. W. Thorpe, in association with the Australian Society of Archivists, 1993): 225.

<sup>125</sup> Brunton and Robinson, “Arrangement and Description,” 225.

<sup>126</sup> Waldo Gifford Leland, *Archival Principles: Selections from the Writings of Waldo Gifford Leland*, (Washington: National Archives and Records Service, 1955): 9-10.

the term *fonds*. Fonds refers to the collection of archives as a whole, no matter its content and format, rather than identifying the individual items located in that collection within the scope of arrangement and description.<sup>127</sup> Additionally, the principle of *respect des fonds* is closely associated with provenance that guides the arrangement and description of archives collectively according to their original order. Gilliland succinctly sums this up as, “the principle stated that records should be grouped according to the nature of the institution that accumulated them.”<sup>128</sup> Given the original order of the records, provenance then contains two strictures according to which records should be arranged and described: “records of the same provenance should not be mixed with those of a different provenance, and the archivists should maintain the original order in which the records were created and kept.”<sup>129</sup> It then follows that provenance and *respect des fonds* are both used together to maintain the integrity of the evidence found in the value of the archives.

Gilliland notes that the benefit of *respect des fonds* is self-evident. This principle incorporates both the physical and intellectual access to records created and received by the same entity who arranged and described them, and the records are viewed as a whole, without limitations to its “form, medium, or volume.”<sup>130</sup> Within the context of *respect des fonds*, the principle of provenance solidifies this method by guaranteeing that the records are as closely maintained as possible to how they were created originally.<sup>131</sup>

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<sup>127</sup> *ISAD(G): General International Standard Archival Description*, 10.

<sup>128</sup> Anne J. Gilliland-Swetland, *Enduring Paradigm, New Opportunities: The Value of the Archival Perspective in the Digital Environment*. (Washington D.C.: Council on Library and Information Resources, 2000), 12, available online at <https://clir.wordpress.com/wp-content/uploads/sites/6/pub89.pdf> (accessed on 4/10/2020).

<sup>129</sup> Gilliland-Swetland, *Enduring Paradigm, New Opportunities*, 12.

<sup>130</sup> Gilliland-Swetland, *Enduring Paradigm, New Opportunities*, 12.

<sup>131</sup> Gilliland-Swetland, *Enduring Paradigm, New Opportunities*, 12.

It is worth mentioning here that the principle of provenance places the value of context above that of content and structure. This leads to archivists favoring context over content when arranging and describing the materials with which they are entrusted. Within the context, the function of records creators must be understood; and if the function is not understood within the principle of provenance, then context can never be created. If context is never articulated or elucidated, or is one-sided, then much of the meaning and evidential value of the records goes unacknowledged or unrecognized. Most importantly, the principle of provenance emphasizes the context of records creation because this determines the significance of the archival fonds. For this reason, the arrangement and description are highly dependent on the archival records' unique purpose and function and take precedence over content and structure. Pederson notes that

Although archives have a secondary *research* or *informational* [emphasis in original] value for the types of information they record about people, events, places, and activities at particular times, the value of that information—expressed as its accuracy, integrity, and reliability—can only be established if one understands its provenance or lineage, i.e., the *context* [italics added] from which it came.<sup>132</sup>

Thus, archival context supersedes content because the context shapes the way the content is perceived and opens up a much better understanding overall. Bastian agrees, “understanding the context and structure of the records brings a rich, expanded content into focus.”<sup>133</sup> The context lends a voice through these records by better defining how records of a community are kept and challenges archivists to broaden the ways in which they understand these archives as a whole.

A benefit of using the principle of provenance is mentioned by Heather MacNeil, who primarily focuses on how provenance is observed. The goal of provenance as an umbrella

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<sup>132</sup> Ann Pederson, “Unlocking Hidden Treasures Through Description: Comments on Archival Voyages of Discovery,” *Archivaria* 37 (Spring 1994): 52.

<sup>133</sup> Jeannette Allis Bastian, *Owning Memory: How a Caribbean Community Lost its Archivists and Found its History*. (London: Library Unlimited, 2003): 3.



principle “captures and communicates knowledge about the broad administrative and documentary contexts of records creation within an organization as a whole as one moves further away from the original circumstances of creation.”<sup>134</sup> If this notion of provenance is maintained and practiced in the description, then archivists can better “preserve, perpetuate, and authenticate meaning over time so that it is available and comprehensible to all users-present and potential.”<sup>135</sup> Here we see a broad application of provenance that allows archivists to relay information on the creation and the circumstances for which the records were created in a standardized and navigable system.

Another benefit is the accessibility to a wider audience, as noted in the works of Schellenberg, who Tom Nesmith observed. Nesmith saw how Schellenberg “accepted provenance as the only means of protecting the integrity of the information in records and as an essential means of initiating the research process,” but “wanted to focus the intellectual energies of archivists on overcoming its limits as a means of access to information.”<sup>136</sup> Jane Zhang specifically mentions these two scholars because they viewed provenance as the only principle that protects the records and its information as well as provides a way for archivists to find better ways to access the information.<sup>137</sup> Wider access to the records benefits scholars who are looking to begin their research process and need to access valid and trustworthy records protected by this principle.

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<sup>134</sup> Heather MacNeil, “Metadata Strategies and Archival Description: Comparing Apples to Oranges,” *Archivaria* 39 (1995): 30.

<sup>135</sup> MacNeil, “Metadata Strategies and Archival Description,” 30.

<sup>136</sup> Jane Zhang, “Archival Representation in the Digital Age,” *Journal of Archival Organization* 10, 1 (2012): 51.

<sup>137</sup> Zhang, “Archival Representation in the Digital Age,” 51.

However, as the next section discusses, the traditional practice of the principle of provenance is thus limited in its focus on the singularity of the source of the records and fails to take into account the pluralistic and multiplistic possibilities of the context within which records are created and exist, as well as inequitable power to create or participate in the creation and later description of those records. These have become increasingly prominent critiques of traditional conceptualizations of provenance and have led to calls for expanded understandings and reparative description. One of the circumstances where these limitations of provenance as concept and as practice are particularly evident (which opens the possibility to multiple provenance and co-creatorship) is when addressing the modern technologies that make digital repatriation, digital returns, and digital sharing a reality.

## **2.1. Limitations**

Although French archival scholar Michel Duchein argued in 1983 that, “criticisms of the principle [of provenance] bear only, indeed, on its applications and not on the principle itself. It is reasonable to think that it will never again be fundamentally questioned and that it constitutes a definitive fact of archival sentience,”<sup>138</sup> concerns have increasingly arisen since then with its application and limitations.

The first limitation, as discussed by Bearman and Lytle in 1986, has to do with the ability to retrieve information within an organization in terms of context. The principle of provenance provides an avenue for archivists to contribute to information management through how information is created, used, and discarded on an organizational level. However, this avenue is limited in retrieval of information. Bearman and Lytle note, “Despite the insights provided by

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<sup>138</sup> Michel Duchein, “Theoretical Principles and Practical Problems of Respect des Fonds in Archival Science,” *Archivaria* 16 (Summer 1983): 66.

provenance, however, archivists have not exploited its potential for retrieval in traditional archival applications, and have not even attempted its wider application to the management of all information within their organizations.”<sup>139</sup> They continue, “. . . it became apparent that problems with traditional provenance-based arrangement and description as a tool for retrieval were widely perceived, but that neither the sources of the problems nor solutions had emerged.”<sup>140</sup> The limitation in retrieving information can potentially lead to the difficulty of accessing the records.

A second limitation to the principle of provenance is proposed by Zhang, who noted a problem in records creation. Records creation is a much debated facet of archival science, especially in regards to the origin of records. In his classic 1922 volume, Hilary Jenkinson, a world-renowned British archival theorist, proposed an ideal situation in terms of establishing provenance, but it cannot be realistically applied, according to Zhang. Jenkinson suggests, “the Archives resulting from the work of an Administration which was an organic whole, complete in itself, capable of dealing independently, without any added or external authority, with every side of any business which could normally be presented to it.”<sup>141</sup> Zhang adds, this “is far from reality. Instead, modern records are often created, accumulated, and used by a variety of agencies, and consequently series of records frequently change custody from one organization to another.”<sup>142</sup>

A third limitation has to do with the singularity with which provenance is practiced. Australian archival thinker Peter Scott noted this limitation and suggested that “An obvious solution to . . . [the] . . . problems is to abandon the record group as the primary category of

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<sup>139</sup> David A. Bearman and Richard H. Lytle, “The Power of the Principle of Provenance,” *Archivaria* 21 (Winter 1985-86): 14.

<sup>140</sup> Bearman and Lytle, “The Power of the Principle of Provenance,” 15.

<sup>141</sup> Hilary Jenkinson, *A Manual of Archive Administration* (London: P. Lund, Humphries, 1965): 101; cited in Zhang, “Archival Representation in the Digital Age,” 50.

<sup>142</sup> Zhang, “Archival Representation in the Digital Age,” 50.

classification and to base the physical arrangement of archives on the record series as an independent element not bound to the administrative context.”<sup>143</sup> This led to Dutch archival scholar Peter Horsman’s suggestion,

I suggest a rehabilitation of the ‘record group’ – whatever name we may attach to it, including archief or fonds – as a custodial construct, nothing less and little more. Such a record group would basically be the result of a series of record-keeping activities and archival interventions (including appraisal and destruction decisions) – an archival construct with meanings as such in reflecting archival decision making, but no longer the kind of holy grail that archivists have seen as the final goal of their quest.<sup>144</sup>

Terry Cook, a prominent Canadian archival theorist, also criticized the limitation of singularity, instead adopting a novel approach to the archival fonds itself. Horsman summarizes this approach:

Cook’s fonds is not primarily a physical thing anymore, to construct or reconstruct by (physical) arrangement, but a set of relationships between records, between records and records creators, between records and business processes: a multiple and dynamic series of interconnected relationships between records and their context.<sup>145</sup>

Thus, Cook abandons this singularity limitation of provenance and modifies the concept to include multiplicity and the ongoing changes in the relationship of the records and their creators. He further elaborates on this argument by noting how the narratives in records are viewed. Cook points out, “there is not one narrative in a series or collection of records, but many narratives, many stories, serving many purposes for many audiences, across time and space.”<sup>146</sup> For this reason, Cook advocates replacing the traditional single creator approach with multiple narratives.

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<sup>143</sup> Peter Scott, “The Record Group Concept: A Case for Abandonment,” *American Archivist* 29, 4 (1966): 497.

<sup>144</sup> Peter Horsman, “The Last Dance of the Phoenix, or the De-discovery of the Archival Fonds,” *Archivaria* 56 (Fall 2002): 22.

<sup>145</sup> Horsman, “The Last Dance of the Phoenix,” 16.

<sup>146</sup> Terry Cook, “Fashionable Nonsense or Professional Rebirth: Postmodernism and the Practice of Archives,” *Archivaria* 51 (Spring 2001): 26.

Sowry supports Cook’s approach by also noting how perspectives are viewed within the traditional principle of provenance. He goes on to state, “this type of single provenance description does a disservice to the multitude of other individuals—with their own perspectives, stories and biases—involved in the creation and life cycle of each record.”<sup>147</sup> This then lends strong evidence for a shift to a modern practice of provenance.

A fourth limitation in regards to provenance is the limiting of an archival collection’s source to a single entity, even though multiple sources can exist at the same time. Within the traditional principle of provenance, a preference for a single creator still takes precedence, even though it is known that multiple creators within the fonds exist. This is summed up by Jennifer Douglas, who notes,

In archival descriptions, the importance of creatorship is evident in the weight given to the administrative history or biographical sketch and in the choice of title and primary access point for the fonds, which typically correspond to the name of a single creator. And while it is recognized that documents within a fonds may be authored by individuals other than the named creator, in interpreting, organizing and representing records for future use, the archivist—in accordance with the principle of provenance—tends to embrace a view that emphasizes the primary role and perspective of a single, named creator.<sup>148</sup>

Again, expanded and modernized concepts of provenance are offered by many archival scholars that takes into consideration the multiplicity and co-creatorship of the records.

The International Council on Archives (ICA) still promotes the traditional practice of provenance, in this case, limiting the creation of an archival collection to just one entity and failing to take into consideration the possibility of having multiple provenance for the same fond. Here, provenance is defined by the ICA as “the agency, institution, organization or individual

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<sup>147</sup> Sowry, “Viewing Subject(s) as Creator(s),” 105.

<sup>148</sup> Jennifer Douglas, “A Call to Rethink Archival Creation: Exploring Types of Creation in Personal Archives,” *Archival Science* 18 (2018): 29-30.

that created, accumulated and maintained records/archives in the conduct of its business prior to their transfer to a records center/archives.”<sup>149</sup> Evidence for this limitation is provided by Gilliland, who uses *records continuum theory* to argue that, no matter where the records physically are, “records, record-keeping processes and record-keeping agents exist, often simultaneously, across multiple dimensions in time and space and each can be simultaneously situated within multiple communities.”<sup>150</sup> Thus, the application of the traditional principle of provenance that reduces the records to a single entity is no longer valid, and likely never was. For this reason, there are many archival scholars who are actively working to expand the definition and application of provenance to include the multiple existences of records and their many possible sources.

This can also be applied to the relationship amongst materials in the collection of records - between the context and its records - and how there could exist multiple and dynamic sources. Gilliland lends more evidence to this by stating, “records can have multiple simultaneous and parallel provenances and multiple parties can be seen to be co-creators of or to be co-present in those records and thus should have rights in their management and disposition.”<sup>151</sup> Thus, provenance must also apply to how multiple sources of records are created, co-created, managed and maintained.

A fifth limitation, and one that is closely tied to the aforementioned notion of the limitation of singularity, is that the acknowledged provenance is accorded any rights to

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<sup>149</sup> *Dictionary of Archival Terminology: English and French with Equivalents in Dutch, German, Italian, Russian and Spanish*, edited by Peter Walne and Gruyter Saur, second, revised edition. (New York: International Council on Archives, 1988), available online at <https://www.degruyter.com/view/title/23953> (accessed on 4/10/2020).

<sup>150</sup> Anne J. Gilliland, “Networking Records in Their Diaspora: A Reconceptualization of ‘Displaced Records’ in a Postnational World,” in *Displaced Records*, edited by James Lowry (London: Routledge, 2017): 183.

<sup>151</sup> Gilliland, “Networking Records in Their Diaspora,” 183-184.

determine the management and use/users of the records to the extent that juridical requirements permit, even when multiple creatorship exists. Gilliland again raises this issue of multiplicity, in relation to rights by arguing,

Fundamental to traditional archival principles upholding the singular provenance and belonging of records, however, is an unchallenged construct of singular agency in records that substantially limits what rights additional parties should or might have in decisions relating to all aspects of record-keeping thus limiting the ability of archival practices to shift into a postnational paradigm.<sup>152</sup>

She is challenging the traditional application of provenance to include the rights in records of any and all co-creators.

A sixth limitation is the lack of participation by a wider community with regards to the space in which the records exist - whether in a single entity or across multiple sources - specifically taking the source communities' perspective when arranging and describing the records. Gilliland and McKemmish both argue for this participation and a wider application of provenance by suggesting that

archives need to develop along more participatory lines, becoming a negotiated space in which different communities share stewardship and recognising that the records they hold or to which they provide access are created by, for and with multiple communities, according to and respectful of community values, practices, beliefs and needs.<sup>153</sup>

Duff and Harris add to this need to redefine provenance, arguing for the removal of the limitation of singularity and instead shifting toward a new holistic approach to understanding the context in which the records are generated by multiple sources:

We need to investigate differences with a desire for inclusivity, rather than exclusivity. Acknowledging one type of provenance, one act of creation, or one method of describing, will fail to capture the rich complexities of the records in our care. We need to move the debate beyond discussions of what provenance really is by problematizing the word 'provenance' and the concepts archived in it, and by

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<sup>152</sup> Gilliland, "Networking Records in Their Diaspora," 184.

<sup>153</sup> Gilliland, "Networking Records in Their Diaspora," 184.

accepting that the real ways have been and always will be many provenances, multiple voices, hundreds of relationships, multiple layers of context, all needing to be documented.<sup>154</sup>

The practice of the traditional principle of provenance thus fails to take into consideration the possibility that many creators across multiple sources might simultaneously have a valid claim to ownership and rights in records beyond the respectable and obvious confines of the acknowledged source. Dutch archival scholar Eric Ketelaar also recognizes that an archival record may exist within a pluralistic perspective and “has therefore many creators and, consequently, many who may claim the record’s authorship and ownership.”<sup>155</sup> Overall, this sixth limitation is arguing for a shift from a singular approach to a more pluralistic and multiplistic approach that includes the existence and recognition of multiple sources, narratives and entities that all claim a stake to an archival record. Such a pluralistic approach incorporates, “multiple and plural perspectives on the record and its context, supports participatory management models, and enables people and communities—once considered the subjects of the records—to add their perspectives and stories.”<sup>156</sup>

## **2.2. Redefining and Expanding the Principle of Provenance**

The aforementioned limitations of provenance and the evolving concepts and suggestions for their application, provided by well-known and notable archival scholars from around the world, call for an expansion of the current practice of the traditional principle of provenance.

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<sup>154</sup> Wendy M. Duff and Verne Harris, “Stories and Names: Archival Description as Narrating Records and Constructing Meanings,” *Archival Science* 2 (2002): 274.

<sup>155</sup> Eric Ketelaar, “Sharing: Collected Memories in Communities of Records,” *Archives and Manuscripts* 33, 1 (2005): 50.

<sup>156</sup> Frank Upward, Sue McKemmish and Barbara Reed, “Archivists and Changing Social and Information Spaces: A Continuum Approach to Recordkeeping and Archiving in Online Cultures,” *Archivaria* 72 (Fall 2011): 231.



These archival scholars have coined and termed different types of provenance that better fit and include different cases of the process of the creation, complexity and origin of how the records came to be, as well as the location of records in relation to their source material(s). This in turn has expanded how provenance is practiced, especially in the arrangement and description of archival records – and more specifically in cases of digital and digitized materials.

Gilliland sheds light on how provenance has evolved to include many different practices and applications. She states, “several expanded conceptualizations of provenance have been proposed to address the multiple parties and simultaneity that are increasingly characteristic of the creation of records and archival materials.”<sup>157</sup> This is supported by the existence of multiple sources of archival records, the validated claim to these records by the source community and not necessarily only the original creators of the records, and the importance of lending a voice to all the participants of the records’ existence.

Another aspect in which provenance was expanded is the need to reflect on the perspective of those who have rights in records in the archival description. Douglas comes to this very conclusion when she argues that, “it is clear that the traditional view of a single creator has been reimagined in a variety of ways: archives have complex histories that affect how they accumulate and are arranged, re-arranged, interpreted and communicated over time.”<sup>158</sup> She is specifically noting the outdated notion of singularity and instead suggesting a shift to a more pluralistic and multiplistic practice of provenance, especially after the introduction of digital and digitized materials that may have two or more creators and/or entities and may also come under the control of two or more creators and/or entities.

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<sup>157</sup> Anne J. Gilliland, “Contemplating Co-creator Rights in Archival Description,” *Knowledge Organization* 39, 5 (2012): 342.

<sup>158</sup> Douglas, “A Call to Rethink Archival Creation,” 33.

### 2.2.1. Parallel and Simultaneous Multiple Provenance

Chris Hurley, a prominent Australian archival theorist termed *parallel provenance* and *simultaneous multiple provenance* in the description of the forms of creation. Hurley's description states, "parallel provenance denotes uncertainty, confusion, ambiguity, or unresolved contestation in existing descriptive practice."<sup>159</sup> The notion of parallel provenance can then be used to describe two records of the same provenance. Parallel provenance specifically centers around the notion of ambience, which is the point of view of an entity. There are situations in which archival records may be co-created or controlled by two or more entities with differing ambience. Hurley more specifically highlights the two possibilities in which two or more entities are credited with creating or controlling the provenance of records that take place in different ambience. He states, "two possibilities exist:

- Two (or more) entities having different ambience are involved in the same kind of action (e.g., creation)
- Two (or more) such entities are involved in different kinds of action (e.g., creation and control).<sup>160</sup>

Hurley basically sums up this notion by stating, "ambience is the context of provenance, just as provenance is the context of records."<sup>161</sup> This specifically applies to the archival description because it should center around the possibility that multiple points of view may arise. Overall, the novel principle of parallel provenance does not necessarily negate the standard accepted practice of provenance overall. Instead, Hurley reassures that, "parallel provenance provides an acceptable method for meeting this challenge without disturbing respect for provenance."<sup>162</sup>

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<sup>159</sup> Hurley, "Parallel Provenance," 10.

<sup>160</sup> Hurley, "Parallel Provenance," 39.

<sup>161</sup> Hurley, "Parallel Provenance," 39.

<sup>162</sup> Hurley, "Parallel Provenance," 40.

Simultaneous multiple provenance follows along this same line, but it particularly notes how multiple sources play a role in defining this principle versus a singular source.<sup>163</sup> As mentioned above in the ICA definition of provenance, the notion of production must be viewed in regards to the accumulation, maintenance and creation of the records. All these actions must be considered simultaneously, even though they may be considered to be different ways to produce documents. For this reason, Hurley postulates, “if accumulating, maintaining, using, and creating are different ways in which documents are ‘produced’ and any two of these actions can occur simultaneously, then by the ICA’s own definitions, simultaneous multiple provenance must be possible.”<sup>164</sup> Therefore, Hurley highlights how the traditional practice and application of provenance fails to take into consideration these different ways in which documents can be produced - especially those co-created by multiple creators and/or entities.<sup>165</sup>

If these principles are to be adopted, then Sowry suggests a solution to the limited descriptive practices associated with a single creation. He proposes, “archivists need to utilize broader descriptive practices that account for the possibility of multiple narratives, which, along with parallel and simultaneous multiple forms of creatorship, all are subsumed under the larger heading of pluralist provenance.”<sup>166</sup> It is important to note here that only relevant, significant co-creators who lend a better understanding of the materials should be considered as valid co-creators. Hurley explicitly mentions this condition because it reduces the risk of unregulated and unnecessary co-creators that may alter the original intention of the records. He states that “what is being asserted here is not that any old connection may be recognised as conferring provenance,

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<sup>163</sup> Hurley, “Parallel Provenance,” 39.

<sup>164</sup> Hurley, “Parallel Provenance,” 39.

<sup>165</sup> Hurley, “Parallel Provenance,” 39.

<sup>166</sup> Sowry, “Viewing Subject(s) as Creator(s),” 108.

but only those that are necessary to a full understanding of the acts or circumstances that make the associated documents meaningful as records.”<sup>167</sup>

In terms of how simultaneous multiple provenance relates to the archival records pertaining to the Gulf: the two British-based cultural heritage institutions, in partnership with the participating Gulf states’ institutions, must take into consideration the process of simultaneously determining the intellectual control of these archival records. In other words, their various points of view in regards to the control of these archives should both be represented in the archival description within the greater context of provenance.

### **2.2.2. Societal Provenance**

Another concept that expanded the practice and application of provenance is *societal provenance*, credited to Tom Nesmith, who further builds upon the work of Trevor Livelton. His definition of provenance states that, “the provenance of a given record or body of records consists of the social and technical processes of the records’ inscription, transmission, contextualization and interpretation which account for its existence, characteristics, and continuing history.”<sup>168</sup> This type of provenance is significant for a specific purpose – ‘societal conditions’—which influence and play a huge role in almost every aspect of archival records. Nesmith explicitly points this out stating, “document creation, use and archiving have social origins. People make and archive records in social settings for social purposes. They do so with a concept of how their social setting works, where they fit into it, and might change it.”<sup>169</sup> It is then

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<sup>167</sup> Hurley, “Parallel Provenance,” 39.

<sup>168</sup> Tom Nesmith, “Still Fuzzy, But More Accurate: Some Thoughts on the ‘Ghosts’ of Archival Theory,” *Archivaria* 47 (Spring 1999): 146.

<sup>169</sup> Tom Nesmith, “The Concept of Societal Provenance and Records on Nineteenth-century Aboriginal-European Relations in Western Canada: Implications for Archival Theory and Practice,” *Archival Science* 6, (2006): 352.

very important to remember not only the cultural basis for which records may be arranged and described but to also recognize the importance of how society shapes and influences these records as well.

Delving further into the nuances of societal provenance, Nesmith reminds archivists to take note: “Societal provenance is not just another layer of provenance information to add to other ones such as the title of the creator(s), functions, and organizational links and structures. The societal dimension infuses all the others.”<sup>170</sup> It is important to note that societal provenance is not mutually exclusive to other types of provenance. Rather, he suggests that “analysis of the societal origins or provenance of records should be incorporated into archival descriptive and other work, not left undone, as it usually is, or confined to specialized archival journals and conference papers.”<sup>171</sup> Thus, societal provenance must be incorporated and explicitly used in the practice and application of provenance in the arrangement and description of records for this reason.

Furthermore, societal provenance can play an explicit role in the arrangement and description of the archival records pertaining to the Gulf currently making their way from the UK. The “societal conditions” that Nesmith posited shaped the creation and history of the archival records and was heavily influenced by the British presence in the Gulf. The British were specifically creating and documenting the day-to-day occurrences in the Gulf as it related to the societal conditions in which they conducted their transactions and other activities. They also include the social settings and social purposes for why the archival records were created in the first place, as it relates to British affairs and their everyday interactions in the Gulf.

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<sup>170</sup> Nesmith, “The Concept of Societal Provenance,” 352.

<sup>171</sup> Nesmith, “The Concept of Societal Provenance,” 353.

Joel Wurl also advocated for the need to expand the original definition of provenance. He recognized that, within archival studies, many modern archival theorists began to argue for a wider expansion of provenance to include “the subjects as well as the literal producers of records.”<sup>172</sup> Wurl recognizes the strong desire to expand provenance and reassures archivists that it will not compromise the original principle of provenance. Instead, it will validate and lend it more credibility because it will explicitly include the subjects and producers of the records. He states, “the archival community faces an enormous challenge to ensure that the record of society truly represents the people who compose it.”<sup>173</sup> Like Nesmith’s notion of societal provenance, Wurl then suggests extending provenance should include ethnicity. Ethnicity as provenance allows the archivist to understand how ethnic communities are viewed as co-creators of the records, also noting ownership and possession of the records. In fact, Wurl argues that the idea of custody does not exactly fit within co-creatorship. Instead, “the framework of custodianship should be replaced by one of stewardship as archivists work to build effective documentation of ethnic communities.”<sup>174</sup> Wurl strongly believes that not only one ethnicity owns the records but rather multiple ethnic communities are responsible for creating and managing the records pertaining to them. The argument for co-creatorship is thus strengthened by Wurl’s statement because the records are not necessarily owned or created by only one creator or ethnicity but rather by more than one co-creator and/or ethnicity.

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<sup>172</sup> Joel Wurl, “Ethnicity as Provenance: In Searching of Values and Principles for Documenting the Immigrant Experience,” *Archival Issues* 29,1 (2005): 68.

<sup>173</sup> Wurl, “Ethnicity as Provenance: In Searching,” 73.

<sup>174</sup> Wurl, “Ethnicity as Provenance: In Searching,” 65.

### 2.2.3. Participant Model of Provenance

Australian archival scholar and legal expert Livia Iacovino introduces another model of provenance that mainly focuses on the archival records that may have two or more creators. Her term for this is *participant model of provenance*. Her approach to provenance has to do with “a participant relationship model which acknowledges all parties to a transaction as immediate parties with negotiated rights and responsibilities.”<sup>175</sup> She suggests that “expanding the definition of record creators to include everyone who has contributed to the record and has been affected by its action would support the enforcement of a broader spectrum of rights and obligations.”<sup>176</sup> Furthermore, she builds upon this redefinition of provenance (i.e., in the vein of co-creatorship) to include the participant model of provenance as part of the overall standard of practice, noting that, “archival and records standards would need to amend their definitions of creatorship.”<sup>177</sup>

This now leads to the concept of co-creatorship within provenance and how it plays a vital role in the arrangement and description of archival records. An increasing number of current archival scholars are starting to address co-creators of archival records who need to be recognized and defined within the original standard definition of provenance. Iacovino (2012), along with McKemmish, Russell, and Castan together reiterated this expanded definition and proposed that archival institutions and professionals should

adopt a participant model that involves repositioning record subjects as records agents—participants in the act of records creation (in a fully implemented participant model, every contributor, including the person who is the subject of the

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<sup>175</sup> Livia Iacovino, “Rethinking Archival, Ethical and Legal Frameworks for Records of Indigenous Australian Communities: A Participant Relationship Model of Rights and Responsibilities,” *Archival Science* 10 (2010): 353.

<sup>176</sup> Iacovino, “Rethinking Archival, Ethical and Legal,” 367.

<sup>177</sup> Iacovino, “Rethinking Archival, Ethical and Legal,” 367.

document, has legal and moral rights and responsibilities in relation to ownership, access and privacy).<sup>178</sup>

In summation, these archival scholars are promoting the expanded practice of provenance to include a participant model that incorporates every contribution to the record, even those that are affected by its actions, as records agents rather than records subjects.

#### **2.2.4. Co-creatorship**

The concept of co-creatorship is a relatively new approach to provenance that contains within it a subset of the many ways in which archives can be conceptualized. Co-creatorship, then, is a broad redefinition of provenance that specifically depends on how an archival record is conceptually constructed and who were involved in the process of creating the records - whether implicitly or explicitly. Archival scholars recognize co-creatorship and have contributed many theories as to what constitutes co-creatorship. There are a few notable archival scholars credited with co-creatorship, each contributing to the various interrelated concepts in which a record can be created. Gilliland best sums up this interrelation by stating, “co-creatorship and its associated matrix of relationships, rights and obligations can in turn be situated within a cluster of conceptually-related constructs emerging from recent archival theory-building and applied research that are challenging traditional archival description.”<sup>179</sup> Co-creatorship, then, expands upon provenance by including not only multiple sources or originators, but also explicitly including the rights and ownership status pertaining to all co-creators of the records.

Co-creatorship really began to take shape when Jeannette Bastian borrowed Tom Nesmith’s definition of societal provenance and built upon this notion of society and its peoples.

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<sup>178</sup> McKemmish, et al., “Editor’s Introduction to Keeping Cultures Alive,” 109.

<sup>179</sup> Gilliland, “Contemplating Co-creator Rights,” 342.



From this, she then coined the term *community of records* to include co-creator provenance. Her view is described as “a dynamic synergy between a community and its records, in which records enable access to a past that seems otherwise unreachable.”<sup>180</sup> She argues that a community and its records are so intertwined that one cannot be separated from the other. “The phrase ‘community of records’ refers to the community both as a records-creating entity and as a memory frame that contextualizes the records it recreates.”<sup>181</sup> The community in this sense is based on societal provenance and is then further elaborated by Bastian, who argues that, “the records of a community become the products of a multitiered process of creation that begins with the individual creator but can be fully realized only within the expanse of this creator’s entire society. The records of individuals become part of an entire community of records.”<sup>182</sup> Therefore, any subject and/or entity within a community that is discussed or contributes to the whole record in any form becomes a co-creator under this definition of community of records.<sup>183</sup> Bastian further asserts that, in a community of records, “all layers of society are participants in the making of records, and the entire community becomes the larger provenance of the records. Seen from this view, all segments of the society have equal value.”<sup>184</sup> This argument supports how even subjects and/or entities who are indirectly involved in the original creation of the records can be viewed as participants within a community of records. In the case of the archival records pertaining to the Gulf that are located in the UK, the Gulf is the primary subject of the material, around which the community of records has been formed.

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<sup>180</sup> Bastian, *Owning Memory: How a Caribbean*, 3.

<sup>181</sup> Bastian, *Owning Memory: How a Caribbean*, 3-4.

<sup>182</sup> Bastian, *Owning Memory: How a Caribbean*, 3.

<sup>183</sup> Bastian, *Owning Memory: How a Caribbean*, 5.

<sup>184</sup> Bastian, *Owning Memory: How a Caribbean*, 83.

Douglas also connects the community of records approach with Nesmith's societal provenance and expands both of them to note how records creators exist within a community and do not function alone. Rather, "within a 'community of records,' record creation is attributed not only to the literal inscriber of a record but also to the community and each of its members."<sup>185</sup> In other words, records are created within a community and rarely in isolation, taking into consideration society as a whole.<sup>186</sup> As is the case with the Gulf, the source material is about the day-to-day interactions with the Gulf people, as written by the British. Here, while the Gulf people are not actively documenting and creating the records themselves, because they are the primary subject of the materials, they are also co-creators. Douglas confirms this aspect of the community of records by stating, "in such an approach, even the subjects of records are viewed as co-creators."<sup>187</sup>

Sowry continues along these lines and builds upon the concept of co-creatorship validating the need to expand the definition of provenance in a way that incorporates a more *pluralistic* approach to creatorship, and reassuring archivists that it will not change or destroy the truthfulness or precision of collections. Instead, Sowry supports the need for expansion by suggesting that, "while pluralist provenance does widen the concept of creatorship, it does so in an effort to more accurately portray the perspectives of those involved, as well as to represent a broader and fuller account of the historical context, witnessed through multiple lenses."<sup>188</sup> Sowry continues on to support a multiple-perspectives approach to provenance by recognizing the

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<sup>185</sup> Jennifer Douglas, "Origins: Evolving Ideas about the Principle of Provenance," in *Current Archival Thinking*, edited by Heather MacNeil and Terry Eastwood (Santa Barbara, California: Libraries Unlimited, 2010): 34.

<sup>186</sup> Douglas, "Origins: Evolving Ideas about the Principle of Provenance," 34.

<sup>187</sup> Douglas, "Origins: Evolving Ideas about the Principle of Provenance," 34.

<sup>188</sup> Sowry, "Viewing Subject(s) as Creator(s)," 100.

significant “role of the subjects as active agents or creators in the archival records.”<sup>189</sup> Sowry points out the limitations of the original definition of provenance noting that it does not include the role of multiple co-creatorship of the records. He suggests that, “by broadening their understanding of creatorship and accepting that multiple perspectives and narratives exist, archivists can transform the subjects of these collections into creators(s).”<sup>190</sup> Sowry then proposes that a multiplistic approach is indeed a more valid approach in that it can be used to describe just about any archival record that discusses the issue of creatorship and the contributions made, in addition to the original record. These contributions can essentially be viewed as co-creatorship because they influence the archives. Thus, Sowry removes many limitations of the traditional definition.

Once the concept of creatorship is adopted, then equitable rights to the records by any valid co-creator can be extended.<sup>191</sup> It then naturally follows that these co-creators should have equitable rights and obligations in the records and, as Sue McKemmish argues in the greater context, “globally and locally, Indigenous, human rights and archival communities work together to embed Indigenous human rights in archival law, policy, culture and practice.”<sup>192</sup> This is a potentially positive outlook for the rights of any indigenous communities that did not actively create the original records but are a primary source of these records. It can then be argued that the Gulf peoples, as co-creators, should have certain rights with the British who recorded their day-to-day transactions, activities, and events with them.

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<sup>189</sup> Sowry, “Viewing Subject(s) as Creator(s),” 103.

<sup>190</sup> Sowry, “Viewing Subject(s) as Creator(s),” 105.

<sup>191</sup> McKemmish, et al., “Editor’s Introduction to Keeping Cultures Alive,” 100.

<sup>192</sup> McKemmish, et al., “Editor’s Introduction to Keeping Cultures Alive,” 100.

### 2.3. How the Expansion of Provenance More Accurately Represents the Case of the Gulf

Given the limitations that have been identified to the traditional conceptualization of provenance in contexts where there have been historical inequitable or oppressive power relationships, it can also be argued that limitations also extend to British records pertaining to the Gulf states created through other kinds of transactional relationships, and, by extension, to digital surrogates of those records. It is clear that the traditional practice of provenance fails to capture all possible contributors of the records and their creation. As Leesha Cowan notes, referring to Terry Cook's work,

Cook asserted that there needs to be a re-examination and clarification of provenance before the community can apply it appropriately. Cook found the archival fonds most problematic in the assumption that records and their creators have a one-to-one relationship, where there is one record and/or fonds, and one creator.<sup>193</sup>

Again, this reiterates the need to evolve from a singularity to a plurality in regards to how provenance is applied and practiced in modern archival science. More specifically, when the principle of provenance is applied to the Gulf's archival records, multiple creators' viewpoints need to be included in order to more accurately represent these records.

Digital repatriation has challenged the traditional understanding of provenance since the definition and application fail to embrace how multiplicity is viewed and practiced, especially when it comes to representing the shared digitized materials. In the case of the Gulf's records, the digital surrogates are found in one institution. While there are two sets of descriptions, one is in the Gulf-based institution and the other is in the British-based institution. Therefore, there is

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<sup>193</sup> Leesha M. Cowan, "Decolonizing Provenance: An Examination of Types of Provenance and their Role in Archiving Indigenous Records in Canada," (Master's Thesis, University of Manitoba/University of Winnipeg, 2018): 35, available online at <https://mspace.lib.umanitoba.ca/handle/1993/33429> (accessed on 4/1/2020).

an urgent need for the application of pluralistic provenance to accurately represent the digitally shared materials. Bearman and Lytle offer a summary of some important steps to take in reorganizing and restructuring the principle of provenance in order for archivists to begin initiating a new standard upon which a wider audience can concur. They suggest the following:

View provenance information as a provider of retrieval access points; emphasize form of material and function in retrieval systems; *establish provenance authority records; rigorously separate authorities from description or control of records* [italics added]; and integrate archival processes from records creation through records appraisal to records description.<sup>194</sup>

Another aspect that is proposed in the expansion of provenance has to do with how the records are shaped by multiple creators. With digital repatriation, there potentially exist multiple custodians, each claiming some aspects of ownership and control over the records, regardless of the original creators. For example, the primary subjects to which the archival records pertain may create a significant and equally important narrative to that of the primary records creator.

In the case of the archival records pertaining to the Gulf, most of their historical records were written by European powers (i.e., diplomats, representatives, trading companies, and other influential entities) whose presence in the Gulf mostly consisted of transactional business dealings. The British and their officials are the original creators of the records, while the Gulf peoples are the primary subjects of these records. As time progressed, these records were transferred to archives and libraries far from where they were created, but after many centuries, in some cases, these records are now slowly making their return in the form of shared digitized materials back to the Gulf, where they are viewed as precious sources documenting gaps in history of the Gulf states. The need for the Gulf's narrative is crucial to accurately contextualize the records and validate the perspectives of the co-creators. The expanded concepts of

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<sup>194</sup> Bearman and Lytle, "The Power of the Principle of Provenance," 26.

provenance therefore apply to the Gulf's unique archival records because the Gulf states were not formally recognized as part of the British Empire, and there is a lack of indigenous historical records created during the British presence in the region. Such an expansion ensures that how the archives are arranged and described will be in a way that more accurately represents all the co-creators and contributors and recognizes that they have rights and some measure of ownership in the digitally shared materials.

### 3. Arrangement and Description

The complexity of arrangement as an archival practice has increased with the introduction of digitized and digital materials. Arrangement originally was concerned only with the organization of physical materials within archival institutions and individuals. It is defined by the ICA as a system that provides "information on the internal structure, the order and/or system of classification of the unit of description."<sup>195</sup> Douglas adds that arrangement allows archivists to deal with records according to the principles of *provenance*, *respect des fonds*, and *original order* to maintain the records' context and organic order to document the transactions of their assembling office or the individual within the office's daily activities.<sup>196</sup> Description, on the other hand is

The creation of an accurate representation of a unit of description and its component parts, if any, by capturing, analyzing, organizing and recording information that serves to identify, manage, locate and explain archival materials and the context and records system which produced it. The term also describes the products of the process.<sup>197</sup>

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<sup>195</sup> *ISAD(G): General International Standard Archival Description*, 25.

<sup>196</sup> Jennifer Douglas, "Toward More Honest Description," *The American Archivist* 79,1 (2016).

<sup>197</sup> *ISAD(G): General International Standard Archival Description*, 10.

Description has, in turn, come to embody:

an account of the holdings to serving society's perpetual memory and providing evidence of the existence of the records; . . . revealing the intellectual order of physically disordered or meaninglessly ordered material; and finally . . . guiding any kind of user in his/her independent research through illuminating the contextual relationships and the inner history of the records.<sup>198</sup>

Description allows archivists to establish intellectual control over archival materials. Therefore, a solid archival description encompasses four central areas: (1) context: description emphasizes the context surrounding the collection; (2) function: description discusses the functions and activities of the creator(s); (3) structure: description communicates the relationships among archival records as well as the hierarchical organization of the collections; and (4) content: description talks about the type of documents and the kind of information these documents contain.<sup>199</sup>

The universally accepted purpose of description, as defined by ICA standards “is to identify and explain the context and content of archival material in order to promote their accessibility.”<sup>200</sup> Ease of accessibility is of key importance to the task of description. In order to easily access the records, there needs to be an agreed-upon standard by which archivists abide by for the description. Thus, the description of records follows specific principles that dictate the order of the records. As described in the ISAD(G): *General International Standard Archival Description* the order of description “proceeding from the general to the specific is the practical consequence of the principle of *respect des fonds*.”<sup>201</sup>

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<sup>198</sup> Luciana Duranti, “Origin and Development of the Concept of Archival Description,” *Archivaria* 35 (Spring 1993): 52.

<sup>199</sup> Sibyl Schaefer and Janet M. Bunde, “Module 1: Standards for Archival Description,” In *Archival Arrangement and Description*, edited by Christopher J. Prom and Thomas J. Frusciano (Chicago: Society of American Archivists, 2013): 17-18.

<sup>200</sup> ISAD(G): *General International Standard Archival Description*, 7.

<sup>201</sup> ISAD(G): *General International Standard Archival Description*, 8.

### 3.1. Finding Aids

According to the Society of American Archivists (SAA), archival description is “the process of creating a finding aid or other access tools that allow individuals to browse a surrogate of the collection and by minimizing the amount of handling of the original materials.”<sup>202</sup> Finding aids are the general navigational and reference tools for which archivists use often to describe the records, within the principle of respect des fonds.

Gilliland describes the finding aid as “the workhorse of archival practice.”<sup>203</sup> The SAA defines finding aids as “a tool that facilitates discovery of information within a collection of records. A description of records that gives the repository physical and intellectual control over the materials and that assists users to gain access to and understand the materials.”<sup>204</sup> The SAA further narrows the definition of a finding aid to,

a single document that places the materials in context by consolidating information about the collection, such as acquisition and processing; provenance, including administrative history or bibliographic notes; scope of the collection, including size, subjects, media; organization and arrangement; and inventory of the series and the folders.<sup>205</sup>

Most finding aids hierarchically present the structure and levels of granularity inherent in accumulations of records as part of applying the twin principles of provenance and original order. According to Gilliland, “the finding aid documents the provenance of the archival

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<sup>202</sup> Society of American Archivists, “Archival Description: Definition,” 2020, available online at <https://www2.archivists.org/glossary/terms/d/description> (accessed on 4/25/2020).

<sup>203</sup> Gilliland-Swetland, “Popularizing the Finding Aid,” 200.

<sup>204</sup> Society of American Archivists, “Finding Aid,” 2020, available online at <https://www2.archivists.org/glossary/terms/f/finding-aid> (accessed on 4/25/2020).

<sup>205</sup> Society of American Archivists, “Finding Aid.”



materials and the original order in which they were arranged, often manifested through some form of hierarchy.”<sup>206</sup>

### **3.2. Levels of Description**

Levels of description move from general to specific in a hierarchy where the fonds makes up the broadest level of description, followed by series, subseries and then the individual item as the most specific. The purpose of these levels of description is to “present accurately the context and content of the unit of description”<sup>207</sup> and “to identify the level of arrangement of the unit of description.”<sup>208</sup> Thus, the levels of description provide archivists with more accuracy and an easier organizational tool when locating and describing the records. Within these levels, there are “differing degrees of detail, appropriate to each level of arrangement. For example, a fonds may be described as a whole in a single description or represented as a whole and in its parts at various levels of description.”<sup>209</sup>

Most importantly, the principle of provenance is fundamental to how the creator and intellectual access points are assigned. The rules of the description as it relates to provenance are best summed up by Gilliland:

Provenance, the primary mechanism through which the identity of the creator is established, and also the main intellectual access point to a collection of archival materials, recognizes only the author (juridical or human), collector, or donor as possible creators. The act of designating provenance is an acknowledgment of the authority and responsibility and, by implication, reinforces the power status of the official creating entity over any other party involved in the creation of the materials. Such parties, if mentioned at all, are treated as subjects or objects of those materials

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<sup>206</sup> Gilliland-Swetland, “Popularizing the Finding Aid,” 202-203.

<sup>207</sup> *ISAD(G): General International Standard Archival Description*, 12.

<sup>208</sup> *ISAD(G): General International Standard Archival Description*, 16.

<sup>209</sup> *ISAD(G): General International Standard Archival Description*, 8.

and may not necessarily even be acknowledged through additional descriptive access points.<sup>210</sup>

Bastian extends the rules of the levels of description further to cover societal and co-creatorship within provenance. She explains,

provenance, the key organizational basis of archival arrangement and description, goes beyond the standard definitions that, first, refer to the maintenance of records by their creator or source and, second, stipulate that records from different creators must not be intermingled, to suggest that provenance may describe the context of an entire society, not only the creators of records but the subjects of them.<sup>211</sup>

In summation, the purpose of the levels of description is best described by Hurley as,

the greater portion of any description tells a story about who created the records, what activities they carried out, and what purpose(s) the records served. Descriptive narrative deals with: 1. **Formation.** Carrying out a recordkeeping or a business process. 2. **Function.** [emphasis in original] A business process or personal activity.<sup>212</sup>

It is important that the narrative contained in the finding aids of the Gulf relays multi-perspective information about the overall history, culture, and day-to-day activities based on the perspective of the Gulf peoples. For this reason, the description practices must be modified to include more recent conceptualizations, such as co-creatorship. Sowry presents one recommendation for this: “One avenue for practically implementing this pluralist provenance approach, and simultaneously widening the profession’s understanding of provenance, is including more descriptive co-creator and multiple creator fields within archival finding aids.”<sup>213</sup> Tying this back to finding aids, Sowry connects co-creatorship to a much needed broader rule of description that must include more accurate information.

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<sup>210</sup> Gilliland, “Contemplating Co-creator Rights,” 341-342.

<sup>211</sup> Bastian, *Owning Memory: How a Caribbean*, 3.

<sup>212</sup> Hurley, “Parallel Provenance,” 2-3.

<sup>213</sup> Sowry, “Viewing Subject(s) as Creator(s),” 99.

The process of including all the needs, perspectives and provenance of multiple creators and co-creators in an organized archival description system that is equitable and respectful could be quite challenging and difficult, however. This is best described by Gilliland, who offers some of the ways in which these complexities could arise. She notes,

It is widely recognized that user communities can be internally diverse and their membership non-exclusive. They may share some characteristics and perspectives, but not others, and their composition, nature, and needs continuously evolve. Communities of records present similar considerations for description in that they may encompass multiple creators and co-creators, each with their own kinds of relationships with and interests in the records; they are dynamic in that their sense of the shared present as well as the shared past constantly evolves; and there are identifiable points where the interests of those who make up that community converge or diverge.<sup>214</sup>

These complexities particularly apply to the Gulf because the records pertaining to them were originally written by European powers and influences that may or may not share the same characteristics and perspectives and may also involve constantly changing relationships between and within the communities over time. For this reason, the Gulf's case is indeed complex, but it offers an excellent opportunity for modern archival scholars to move expanded definitions of provenance into practice.

For this to happen, however, Gulf institutions and communities must gain access to these records as part of digital sharing, and they must also be aware of their role, rights and responsibilities as co-creators of those records, especially as these relate to their archival description. Upon this realization, there is an onus on the Gulf's archivists to implement additional description to "account for the possibility of multiple narratives, which, along with parallel and simultaneous multiple forms of creatorship, are all subsumed under the larger

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<sup>214</sup> Gilliland, "Contemplating Co-creator Rights," 344.

heading of pluralist provenance.”<sup>215</sup> By doing so, Gulf institutions can then describe these records in a way that incorporates Gulf perspectives and narratives alongside the existing British descriptions and reflect the multi-community, multinational transactional relationships that created the records.

In applying the concept of co-creatorship and putting it into practice as it pertains to the Gulf, it must also be noted that the original collection as well as their descriptions must be revisited and reviewed, in order to better represent the subjects/agents of the records within the greater context of its co-creators. Sowry highlights this notion:

To implement such a pluralist provenance approach to archival description, it would be necessary to reexamine such a collection, and redescribe the ‘creator’ in light of the multiple perspectives, narratives, and influences of all of these individuals. Specifically, this can be implemented by utilizing broader descriptive practices that account for the possibility of multiple narratives and by including more descriptive co-creator and multiple creator fields within archival finding aids.<sup>216</sup>

According to Sowry, a pluralist provenance approach needs to include the subject(s) as well as an expanded list of creators. Also, multiple provenance must be used to not only expand the list of creators but to also more accurately describe and represent a truer narrative of events without risking the possibility of corrupting the historical context.<sup>217</sup> The Gulf archivists’ added narratives, under the concept of co-creatorship, should be recognized with those of the British, as argued by Cook. He specifically highlights this notion by emphasizing how, “documents are thus dynamic, not static. And the archivist as much as the creator or researcher is one of the narrators.”<sup>218</sup> Thus, by adding to the narratives of the archival records, the Gulf archivists not

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<sup>215</sup> Sowry, “Viewing Subject(s) as Creator(s),” 99.

<sup>216</sup> Sowry, “Viewing Subject(s) as Creator(s),” 109-110.

<sup>217</sup> Sowry, “Viewing Subject(s) as Creator(s),” 110.

<sup>218</sup> Cook, “Fashionable Nonsense or Professional Rebirth,” 26.

only are viewed as the researchers and interpreters of the records, but also as co-creators of the records, whose narratives must be included alongside those of the source creators' narratives. Michelle Caswell notes how this process is continually changing and expanding to include the multiple perspectives of all those who contribute significantly to the archival records in "an ever-changing, infinitely evolving process of recontextualization, encompassing not only the initial creators of the records, but the subjects of the records themselves; the archivists who acquired, described, and digitized them (among other interventions); and the users who constantly reinterpret them."<sup>219</sup> Thus, the subjects in this case are the Gulf peoples, through the narratives of the Gulf archivists, who will take the role of narrators when describing and representing the materials online. In other words, the Gulf peoples can begin to create their own narratives when they undertake the process of describing materials pertaining to their unique history, culture, and relations.

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<sup>219</sup> Michelle Caswell, "Rethinking Inalienability: Trusting Non-government Archives in Transitional Societies," *The American Archivists* 76, 1 (2013): 129.

## CHAPTER III: RESEARCH METHODOLOGY AND DESIGN

The chapter details the research paradigm and methodology that are employed in this study to address the research questions. It discusses the interpretivist inductive approach and the comparative multiple-case studies research design. It also lists the steps and the selection criteria that were used to conduct the data collection techniques and analysis strategies. The plan for reporting the findings is also included in detail. The case studies themselves are the main source of the data, including close readings of collection finding aids. Expert interviews conducted to the fullest extent possible under Covid lockdown conditions complemented the data gathered from the analyses of the close readings of the finding aids.

The literature review revealed that there is little to no evidence (as of this date) of any empirical study on how the digitally shared materials of the Gulf are described and represented. The literature review further determined that the expanded concepts of provenance potentially provides the best archival theory for a more accurate representation of the digitally shared records. More specifically, the concepts of simultaneous multiple provenance and co-creatorship helped me to formulate this study's research questions. The research questions led me to choose the methodology that would best address these questions.

### 1. Research Paradigm and Methodology

The two main paradigms that underpin social science research are *positivism* and *interpretivism*.<sup>220</sup> Researchers who follow the positivist tradition “. . . attempt to apply research

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<sup>220</sup> Kristy Williamson, Frada Burstein and Sue McKemish, “The Two Major Traditions of Research,” in *Research Methods for Students, Academics and Professionals: Information Management and Systems*, 2<sup>nd</sup> ed., edited by Kristy Williamson (Wagga Wagga, New South Wales: Center for Information Studies Charles Sturt University, 2002): 25.

methods used in the natural sciences to the social sciences,” whereas those who undertake the interpretivist approach “emphasise the meanings made by people as they interpret their world.”<sup>221</sup> This research study focuses on the interpretivist tradition to describe how people perceive the world by creating their own interpretations and meanings. This specifically applies to the descriptions of the archival records pertaining to the Gulf and how I interpret them. In my research, I interpreted the records’ descriptions using: 1) literature on the principle of provenance and theories of archival representation, 2) the structure and content of finding aids presented by both the British and Gulf-based cultural heritage institutions; and 3) my own background knowledge. Thus, an interpretive approach was most suitable for this particular task.

Williamson, Burstein and McKemmish describe the typical unfolding of the interpretivist research process:

Interpretivist researchers plan their studies, but are much less ‘linear’ in their approach than positivist researchers. They undertake a literature search to gain an understanding of their topic, they develop theory and research questions and they plan how they will collect their data.<sup>222</sup>

During the first stages of conducting the literature review, the research objectives and questions are constantly being adjusted and revisited, which is to be expected. Many concepts of the study are interconnected and need to be viewed together to understand the overall perspective of the study and its objectives. The research questions and objectives are asked without any preconceived notions or predictions and lead to the process of data collection and analysis in the research design in a way that uses qualitative methods to gain insights, build concepts, and attain knowledge from reoccurring phenomena found in the data.<sup>223</sup>

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<sup>221</sup> Williamson, Burstein and McKemmish, “The Two Major Traditions of Research,” 25.

<sup>222</sup> Williamson, Burstein and McKemmish, “The Two Major Traditions of Research,” 32.

<sup>223</sup> Williamson, Burstein and McKemmish, “The Two Major Traditions of Research,” 31.

This study mainly uses qualitative methods, since the interpretivist tradition is most salient and thus, more applicable. The findings of this study are presented discursively, since this is mostly associated with the qualitative method. Qualitative research also fits within the greater tradition of interpretivism because it gathers its materials from the ways people perceive the world. Denzin and Lincoln list several ways in which this information can be found:

Qualitative research involves the studied use and collection of a variety of empirical materials—case study; personal experience; introspection; life story; interviews; artifacts; cultural texts and productions; observational, historical, interactional, and visual texts—that describe routine and problematic moments and meanings in individuals’ lives.<sup>224</sup>

The study selects the most relevant materials mentioned above - primarily focusing on case studies, and secondarily on interviews with catalogers and archivists responsible for describing the materials in the four cultural heritage institutions.

The research questions were formulated to draw out key archival principles as they specifically apply in the unique case of the archival records pertaining to the Gulf. This is exactly what is suggested by Catherine Marshall and Gretchen B. Rossman: “research questions should be general enough to permit exploration but focused enough to delimit the study. Not an easy task.”<sup>225</sup> Robert K. Yin argues that “case studies are the preferred method when (a) ‘how’ or ‘why’ questions are being posed, (b) the investigator has little control over events, and (c) the focus is on a contemporary phenomenon within some real-life context.”<sup>226</sup> Essentially, the study is concerned with *how* records subjects and provenance are viewed and represented in the description. Therefore, an interpretivist case study approach is the most appropriate means to

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<sup>224</sup> Norman K. Denzin and Yvonna S. Lincoln, *The SAGE Handbook of Qualitative Research*, 3<sup>rd</sup> ed. (Thousand Oaks: Sage Publications, 2005): 3-4.

<sup>225</sup> Catherine Marshall and Gretchen B. Rossman, *Designing Qualitative Research*, 2<sup>nd</sup> ed. (Thousand Oaks: Sage Publications, 1995): 26.

<sup>226</sup> Robert K. Yin, *Case Study Research: Design and Methods*, 4<sup>th</sup> ed. (Thousand Oaks: Sage Publications, 2009): 2.



answer the *how* research questions. Also, the how questions succinctly cover the core arguments of the study without too much variability and best allow for the replicability of the study on a larger scope.

The study makes a couple of qualitative-based postulations: 1) there is a need to expand the practice of the traditional principle of provenance to account for how archival materials are digitized and shared using digital technologies; and 2) there is a need to apply the expanded concepts of provenance to the description of the digitally materials shared with communities who have an historical engagement with the creation of those materials. This follows the interpretivist tradition because, “interpretivists do not usually test hypotheses, although they may develop working ‘propositions’ which are grounded in the perspectives of the participants.”<sup>227</sup>

The reasoning style chosen for this study is inductive, which is more commonly associated with interpretivism. “Inductive reasoning begins with particular instances and concludes with general statements or principles.”<sup>228</sup> This bottom-up approach starts with the specifics and moves to the general. It includes a direct observation of particular occurrences or cases to discover commonalities and then develop a general theme or principle.<sup>229</sup> Thus, the inductive style can provide specific assumptions to general inquiries. Inductive style is most frequently associated with archival inquiry.<sup>230</sup> In archival research, the purpose of inductive reasoning is to provide archivists with a structured methodology that can be used to focus their research studies on more salient and pressing issues that need to be addressed rather than feeling

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<sup>227</sup> Williamson, Burstein and McKemish, “The Two Major Traditions of Research,” 32.

<sup>228</sup> Williamson, Burstein and McKemish, “The Two Major Traditions of Research,” 26.

<sup>229</sup> Gilliland, *Conceptualizing Twenty-First-Century Archives*, 169.

<sup>230</sup> Margaret Hedstrom, “Understanding Electronic Incunabula: A Framework for Research on Electronic Records,” *The American Archivist* 54, 3 (Summer 1991): 351.

the need to undertake large-scale issues that will take a long time and can end up being too broad.<sup>231</sup> Thus, the inductive style is the most appropriate methodology approach to archival inquiries because it describes exactly the bottom-up process archivists undertake when researching archival phenomena and applying their research to a general principle or theory. In this study, the unique case of the archival records pertaining to the Gulf will be the specific example that is viewed within the broader concepts of simultaneous multiple provenance and co-creatorship to further argue for the needed expansion of the traditional practice of the principle of provenance.

The specific phenomenon that was researched using the interpretivist, inductive approach is the description of the archival records pertaining to the Gulf coming from the two British-based cultural heritage institutions that are currently being shared with the two Gulf-based cultural heritage institutions. This is a very specific example of how the description of the digitally shared records needs to be explored within the broader and expanded concepts of provenance. These concepts were being researched and analyzed to raise awareness and recommend the practice of the expanded concepts of provenance when describing the digitally shared archival materials.

## **2. Research Method**

### **2.1. Defining the Case Study**

The *case study* is a popular qualitative research method used in the interpretivist tradition. It is typically located within the broader qualitative methodology because it falls under the inductive reasoning style. According to Gilliland, case studies on electronic records inquiries

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<sup>231</sup>Hedstrom, "Understanding Electronic Incunabula," 351-352.

“have all been used inductively.”<sup>232</sup> Yin defines a case study as “an empirical inquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident.”<sup>233</sup> In this research study, the real-life phenomenon being researched were the four cultural heritage institutions that house the sources of the primary data. These were analyzed within the greater context of the expanded concepts of provenance, which then guided the research of the specific phenomenon to gain a better understanding and contextualization of the records subjects/agents as revealed in the description of the records.

## 2.2. Strengths and Weaknesses of a Case Study

The case study research method is flexible and at the same time rigorous. Within the framework of the qualitative approach, Yin explains four possible applications where a case study might fit.

The most important is to *explain* the presumed causal links in real-life interventions that are too complex for the surveyor experimental strategies. A second application is to *describe* an intervention and the real-life context in which it occurred. Third, case studies can *illustrate* certain topics within an evaluation, again in a descriptive mode. Fourth, the case study strategy may be used to *enlighten* [emphasis in original] those situations in which the intervention being evaluated has no clear, single set of outcomes.<sup>234</sup>

These aforementioned applications mostly justify the use of case studies in this dissertation because the case studies attempt to: 1) *explain* how the thousands of digitally shared records (intervention) are quite the undertaking for a researcher to analyze within the greater research

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<sup>232</sup> Gilliland, *Conceptualizing Twenty-First-Century Archives*, 169.

<sup>233</sup> Yin, *Case Study Research*, 18.

<sup>234</sup> Yin, *Case Study Research*, 19-20.

strategy(ies) proposed; 2) *describe* how the digitally shared materials (intervention) are making their way to the Gulf from the UK (real-life context); 3) *illustrate* the reasons for why the expanded concepts of provenance is needed to better contextualize and describe the digitized materials; and 4) *enlighten* the potential possibilities that the digitally shared materials may not accurately be described and represented in a number of different ways (i.e., the finding aids may just be copied and pasted from the British archives and/or may not meet the needs and perspectives of the Gulf people, amongst other outcomes). As such, the case study is the most salient research method to investigate these research questions because it allows for a closer examination of very specific phenomena in a real-life context that is both timely and can fit within a holistic view of the relevant principles and theories, not only to support these principles and theories but also to understand the phenomenon being studied as well.

As with many other research methods in the social sciences, there are potential weaknesses that exist within the case study research method. Yin lists some of these: 1) the researcher does not obey the protocols for conducting a proper case study; 2) the researcher uses unclear evidence that misguide the results and findings; 3) the researcher's biases may inaccurately skew the case study; 4) the researcher may fail to include all the evidence or convey it in a neutral manner; and 5) the researcher may fail to notice how other biases may influence his/her findings and outcomes.<sup>235</sup>

It is notable to mention here that *researcher bias* is a potential risk, but I have consciously tried to limit it by using multiple comparative case studies to gather data and analyze the findings and then complementing these findings with interviews of the actual catalogers and archivists who created and wrote the finding aids. This focuses on the materials' descriptions and

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<sup>235</sup> Yin, *Case Study Research*, 14.

interviews with the professionals of all four cultural heritage institutions who have extensively worked with the materials and are experts in their fields.

Another notable weakness of case studies is that they lack a foundation for scientific generalization. It is quite difficult to generalize from studying a single phenomenon. However, Williams, Burstein, and McKemish state, “within the qualitative paradigm, generalisation is not essential: in fact generalisation usually cannot be made. It is wholly acceptable that a qualitative study should be *idiographic* which means ‘the intensive study of an individual case,’ as is undertaken in a case study.”<sup>236</sup> For this reason, the specific phenomenon being researched in the case study is not necessarily generalizable. Instead, it is used to strengthen and expand the general theory and/or principle under which the specific case study falls. “In this sense, the case study, like the experiment, does not represent a ‘sample,’ and in doing a case study, your goal will be to expand and generalize theories (analytic generalization) and not to enumerate frequencies (statistical generalization).”<sup>237</sup> The goal is to follow a more analytic generalization and not a statistical one, because the specific phenomena of the Gulf records supports the practice of the of the aforementioned expanded concepts.

Although the specific purpose of a case study is not to generalize, per se, even though research methods that are designed to generalize are technically stronger, case studies can, however, strengthen a specific phenomenon. It is notable to mention here that the case study may be limited to its specific phenomenon but could apply to similar cases. Overall, comparative multiple-case studies are being used to argue for the practice of the expanded concepts of simultaneous multiple provenance and co-creatorship in their application to the description in

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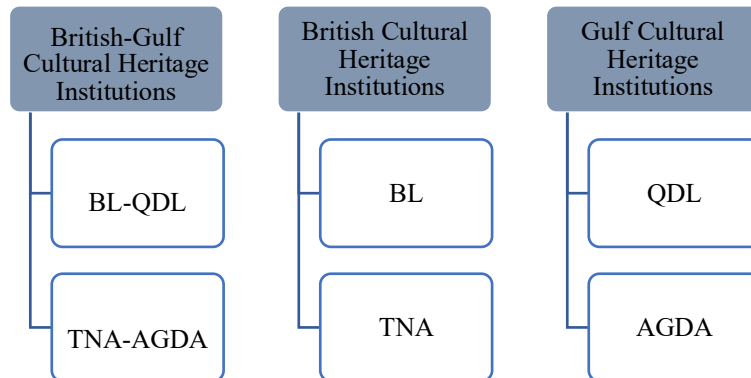
<sup>236</sup> Williamson, Burstein and McKemish, “The Two Major Traditions of Research,” 32.

<sup>237</sup> Yin, *Case Study Research*, 15.

order to replicate the findings to future similar cases (e.g., archival records pertaining to the Gulf located in other countries).

### 2.3. Comparative Multiple-Case Studies

#### A 3-Way Comparison

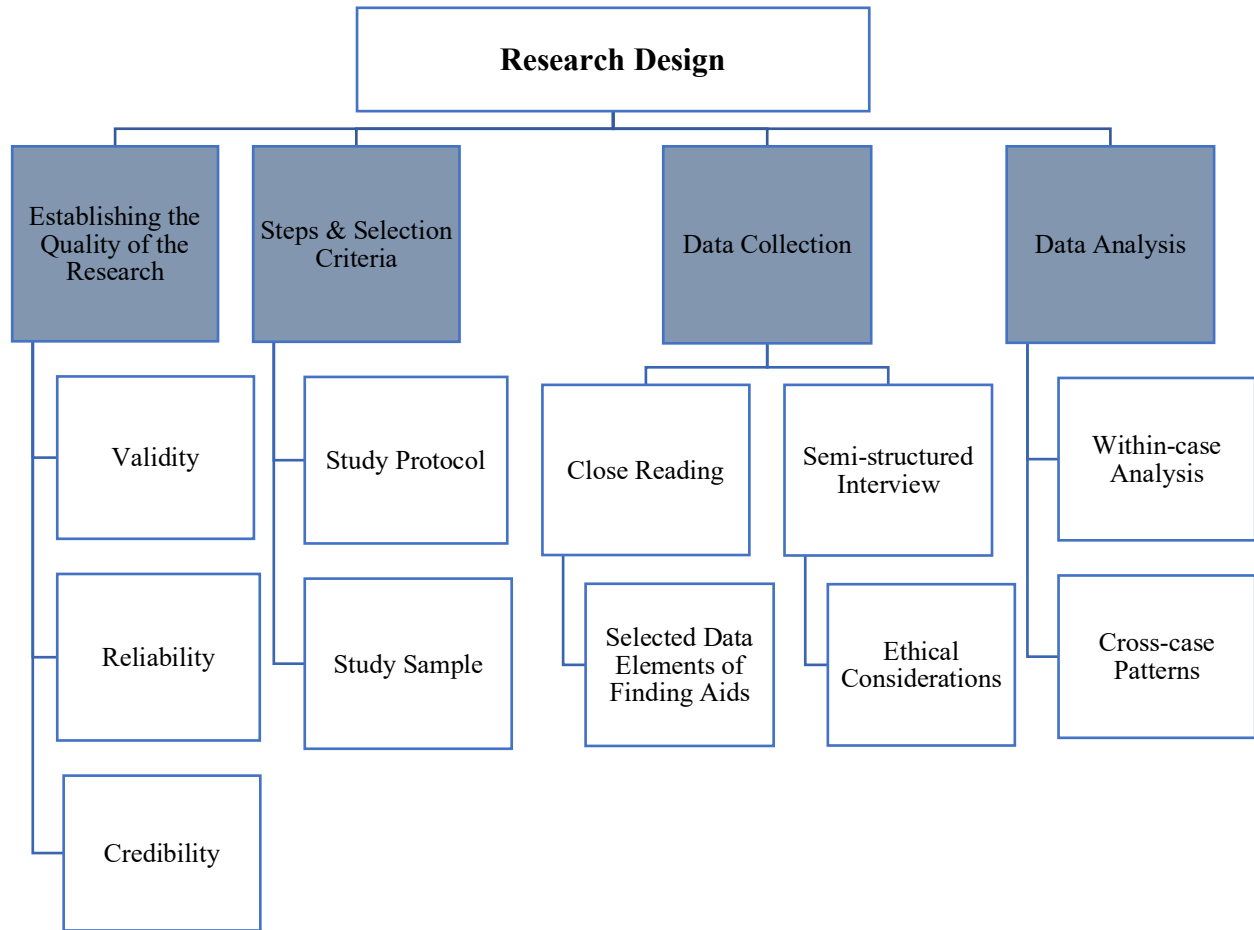


Comparative multiple-case studies are preferably used to enrich specific phenomena with more information and context. Shelagh Campbell best describes why comparative multiple-case studies are much stronger than a single study because they examine “in rich detail the context and features of two or more instances of specific phenomena.”<sup>238</sup> They have the ability to add multiple perspectives, minimize bias, and better describe how these specific phenomena fit within the greater context of a theory or principle. Additionally, comparisons within multiple-case studies can either be “between-cases or within-cases,” the former of which might include multiple entities. In the context of this research, a three-way comparison is conducted on the description of the records pertaining to the Gulf. The first comparison is between the two pairs of cases: the British-Gulf cultural heritage institutions (BL-QDL and TNA-AGDA). The second

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<sup>238</sup> Shelagh Campbell, “Comparative Case Study,” in *Encyclopedia of Case Study Research*, edited by Albert j. Mills, Gabrielle Durepos and Elden Wiebe (Thousand Oaks: Sage Publications, 2010): 1.

one is between the two British cases (BL and TNA). The last comparison is between the two Gulf cases (QDL and AGDA).



### 3. Research Design

Since comparative multiple-case studies are being used, it then logically follows that a multiple-case study design applies. Yin describes two types of multiple-case study designs. He states, “the individual cases within a multiple-case study design may be either holistic or embedded.”<sup>239</sup> Embedded designs usually involve using another research method (i.e.,

<sup>239</sup> Yin, *Case Study Research*, 60.

interviews, surveys) in addition to multiple-case studies to support the evidence within each case study. This dissertation adopts the embedded design because it complements multiple-case studies with interviews of key personnel from all four institutions. Each interview's data supports the findings from the case studies. These interviews are needed because they help answer the research questions about the descriptions created by each institution and gather more data on the descriptive practices utilized in each institution.

Yin proposes an ideal structure that a research design should follow, in order for it to adequately cover all the necessary information.

For case studies, five components of a research design are especially important:

1. a study's questions;
2. its propositions, if any;
3. its unit(s) of analysis;
4. the logic linking the data to the propositions; and
5. the criteria for interpreting the findings.<sup>240</sup>

If case studies consist of the following five components, then he considers the case study to be complete and should guide the researcher when collecting data and throughout the research process from start to finish. Of the five components, the *study propositions* in this dissertation refer to the expanded concepts of simultaneous multiple provenance and co-creatorship because these concepts need to be examined within the larger scope of the dissertation but are not necessarily the topic of the study. However, it allows me to move in the right direction because these topics are explored within the context of the research questions.<sup>241</sup> The conclusions drawn from the research questions address the study propositions, since these concepts are being used to collect and analyze the finding aids and the associated interviews.

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<sup>240</sup> Yin, *Case Study Research*, 27.

<sup>241</sup> Yin, *Case Study Research*, 28.



The third component lists the *unit of analysis*, which is what is used to define “what the ‘case’ is,”<sup>242</sup> which is usually what is being studied. The case that is being studied is considered the “primary unit of analysis,”<sup>243</sup> and the data relating to the case are being collected. Since this dissertation adopts multiple-case studies, there are four individual cases—the four cultural heritage institutions—and each is then considered to be the unit of analysis. Each case or unit is one cultural heritage institution that was analyzed by using each institution’s finding aids and interviewing each institution’s head of the cataloging and description section.

The FAs were then compared from each pair of cultural heritage institutions (BL- QDL and TNA-AGDA). In other words, the Gulf’s FAs were compared with prior descriptions found in the British FAs. The second comparison was between the two British institutions (BL and TNA), while the third one was between the two Gulf institutions (QDL and AGDA). The research questions asked about the results of the FAs, and specifically focused on these four units of analysis, which are well within the limits and scope of this study.

Within each unit of analysis (institution), two qualitative research methods were employed to address the research questions. When two or more research methods are used to collect data, this technique is known as *triangulation*. Gilliland and McKemish state that “triangulation, or the use of multiple methods, can be used to investigate different aspects of the same phenomenon and thus tease out complexities and reduce bias in the research.”<sup>244</sup> Also, Williams, Burstein, and McKemish prefer triangulation because it offers a stronger approach to a research study. They state:

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<sup>242</sup> Yin, *Case Study Research*, 29.

<sup>243</sup> Yin, *Case Study Research*, 29.

<sup>244</sup> Anne Gilliland and Sue McKemish, “Building an Infrastructure for Archival Research,” *Archival Science* 4 (2004): 172.

The advantage of triangulation is that conclusions are likely to be more reliable if data are collected by more than one method and from the perspective of more than one source. If the different methods are used, the researcher can take advantage of the strengths and offset the weaknesses of each.<sup>245</sup>

Triangulation not only minimizes the potential for weaknesses from one or more methods or sources, but also allows for a comparison of the data from the multiple-case studies and the interviews. Thus, a research study that employs triangulation can be deemed more reliable and more valid, since the data are collected from either more than one research method and/or more than one source.

More specifically, triangulation consists of two major types: methods and sources, which are listed by Williams, Burstein and McKemish. They describe each in more detail. Firstly, “*methods triangulation*” “is the checking of the consistency of findings by using different data-collection methods.”<sup>246</sup> The other type is *source triangulation*, which “is the cross-checking for consistency of the information derived at different times and from different people, for example managers and para-professionals in a library situation.”<sup>247</sup> The former is more applicable for the purposes of this study.

This dissertation borrowed from the aforementioned definition of triangulation and used the two different methods of data: 1) close readings of the finding aids’ data elements, and 2) semi-structured interviews to build upon the close readings, thus forming a triangulation to collect and analyze the data. The collected data from these two different methods were compared and analyzed, in order to produce a comprehensive overview of the problem in the study. The

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<sup>245</sup> Williamson, Burstein and McKemish, “The Two Major Traditions of Research,” 36.

<sup>246</sup> Williamson, Burstein and McKemish, “The Two Major Traditions of Research,” 36.

<sup>247</sup> Williamson, Burstein and McKemish, “The Two Major Traditions of Research,” 36.

outcome of these multiple-case studies analyses is “. . . descriptive and interpretive and gives a detailed account of the phenomenon.”<sup>248</sup>

The fourth and fifth components of the multiple-case studies research design were more complex than one through three because they are required to link “*data to propositions and criteria for interpreting the findings*.”<sup>249</sup> Essentially, this encompassed the data analysis stage of the case study. In these two components, a careful selection of the propositions shaped the research and laid the foundation for how the analysis was conducted. “The actual analyses will require that you combine or calculate your case study data as a direct reflection of your initial study propositions.”<sup>250</sup> Basically, the close readings of the FAs and the interviews should closely relate to the expanded concepts of simultaneous multiple provenance and co-creatorship.

This then led to the fifth component. A specific set of criteria was developed that guided the interpretations of the study’s findings.<sup>251</sup> This is usually undertaken during the development and implementation of a study, which should describe in detail the criteria for determining the findings. The use of the aforementioned triangulated research methods was linked to the propositions of simultaneous multiple provenance and co-creatorship and guided the steps by which the study was implemented. The study applied the five components of each individual case study within the multiple-case study design to determine if the findings are reliable and valid.

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<sup>248</sup> Robert C. Bogdan and Sari Knopp Biklen, *Qualitative Research for Education: An Introduction to Theories and Methods*, 2<sup>nd</sup> ed. (Boston: Allyn and Bacon, 1992): 27.

<sup>249</sup> Yin, *Case Study Research*, 33.

<sup>250</sup> Yin, *Case Study Research*, 33.

<sup>251</sup> Yin, *Case Study Research*, 34.

### 3.1. Establishing the Quality of the Research Design

The quality of a research study is determined by the degree of rigor in the research design. For a research design to be considered rigorous, its *validity* and *reliability* must first be established. Validity accurately assesses how much a research design measures the specific phenomena, whereas reliability is related to how much the measurement, if repeated at different intervals on similar phenomena and by more than one researcher, results in the same findings.<sup>252</sup>

In order to assess the validity of this study, I made sure that the major concepts of this study were adequately measured. This was achieved by directly and closely examining the data elements of the finding aids in each case study that point to the source of the records' collection (provenance) in addition to asking provenance-related questions when conducting interviews with representatives of each institution. One strategy to test the reliability of this study is to use the aforementioned triangulation technique or to “use multiple sources of evidence and establish a chain of evidence.”<sup>253</sup> The reliability of the research design is also being tested by the use of a “case study protocol” and the development of a “case study database.”<sup>254</sup> The case study protocol dictated the basic rules and guidelines needed to conduct each case study within a multiple-case study design uniformly and in a consistent manner. The case study protocol is especially important when using multiple-case studies. Yin emphasizes this requirement by stating,

having a case study protocol is desirable under all circumstances, but it is essential if you are doing a multiple-case study. The protocol is a major way of increasing the *reliability* [emphasis in original] of case study research and is intended to guide the investigator in carrying out the data collection from a single case.<sup>255</sup>

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<sup>252</sup> Williamson, Burstein and McKemmish, “The Two Major Traditions of Research,” 32.

<sup>253</sup> Yin, *Case Study Research*, 41.

<sup>254</sup> Yin, *Case Study Research*, 41.

<sup>255</sup> Yin, *Case Study Research*, 79.

Once validity and reliability are tested, *credibility* must also be established. This usually has to do with how the researcher accurately describes the research results and how they are obtained.<sup>256</sup> The results must also establish validity, and “the researcher must present a coherent, persuasively argued point of view.”<sup>257</sup> The intended findings can successfully be achieved by writing the results and conclusions in a coherent and concise manner that is engaging to the reader and clearly conveys the point of view and intention of the research study. The writing style is just as important to validity as the measures taken to gather data. This is evident in how thorough the final report is. “The case study report must be complete and must contain sufficient evidence to support the findings.”<sup>258</sup>

### **3.2. Selection Criteria for the Data Collection**

A close reading of the description/finding aids was conducted to explore how provenance is applied and represented in the FAs of the four case studies. The structures and the contents of the FAs were examined, in order to find the data needed to address the research questions. These data were also compared and contrasted (the repository and language) by searching through the FAs online, inserting the relevant data into the database, and then determining if they are similar or different. I was looking for data that, when repeated in various FAs of different fonds, could potentially reveal some deep belief and help to portray an idea of how records creators and subjects were viewed and described. The close reading focuses on broad categories of the FAs.

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<sup>256</sup> Peta Darke, Graeme Shanks and Marianne Broadbent, “Successfully Completing Case Study Research: Combining Rigour, Relevance and Pragmatism,” *Information Systems Journal* 8 (1998): 284.

<sup>257</sup> Darke, Shanks and Broadbent, “Successfully Completing Case Study Research,” 284.

<sup>258</sup> Darke, Shanks and Broadbent, “Successfully Completing Case Study Research,” 287.

Here, I was looking at some of the established data elements of the FAs and selecting those that could be used to determine the provenance of the records.

I then created a study protocol that consisted of a checklist of the selected data elements' content. The protocol provided a systematic and reliable way of surveying FAs and the websites publishing them. The protocol allowed for the analysis of these data elements' contents, labeling terminology and language. The data elements contained in this protocol were drawn from the FAs of the four cases and categorized as: 1) scope and content, 2) administrative history or biographical sketch, and 3) subject headings.

I created a database in Microsoft Access to organize the data collected from the close readings of the FAs. It has four tables for the comparative multiple-case studies. Each table includes the data elements of the FAs collected from each unit of analysis. The tables for each pair of units of analysis (BL-QDL and TNA-AGDA) are connected by a unique numerical identifier to connect each pair of FAs. Finally, I populated the database to track the study results as the data emerged.

The selection criteria used for the cultural heritage institutions are as follows:

1. Must have primary source materials pertaining to the Gulf;
2. The primary source materials must already be digitized and shared with the Gulf and made accessible online (non-digitized materials are excluded);
3. FAs must have been created for those materials (those without FAs are excluded);  
and
4. The FAs must be available online for both the physical materials and their digital surrogates and may be in English or Arabic.

The appropriate sample size and method for qualitative research is described by

Williams, Burstein and McKemmish:

Samples tend to be quite small and the need for random sampling is not emphasised as in the positivist paradigm. The form of sampling which is popular in qualitative research is *purposive* or *theoretical sampling* [emphasis in original] where a sample, appropriate to the investigation of a particular problem or which is representative of a special population, is selected.<sup>259</sup>

The sample here is a FA within the form of theoretical sampling. The FA of the collection of archival records is found in each cultural heritage institution (unit of analysis). For each archival records collection pertaining to the Gulf, there are two FAs - one from the Gulf-based institution and one from the British-based institution. This follows theoretical sampling requirements because the FAs are representative of the Gulf-based materials. Within the overall collection of the digitally shared archival records pertaining to the Gulf, the focus of the sample for this study is only on Kuwaiti-related records. As a Kuwaiti researcher, this allowed me to work with materials for which I would have the most background knowledge. The following is the process I followed for creating the sample:

1. Selecting a sub-category from all the digitized materials that make up an adequate and significant sample size of the overall number of archival records in total contained in the British archival records pertaining to the Gulf.
2. Applying this subcategory to a specific country in the Gulf.
3. The most suitable country is Kuwait because it satisfies the theoretical sampling requirements as well as includes the aforementioned criteria.

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<sup>259</sup> Williamson, Burstein and McKemmish, "The Two Major Traditions of Research," 32.

4. As of the date of this dissertation, QDL contains roughly 654 digitally shared records collections from the BL pertaining to the Gulf, and AGDA contains roughly 7,332 digitally shared records collections from TNA.<sup>260</sup>
5. Of the above total of 7,986 digitally shared British records, QDL contains roughly 256 records collections pertaining to Kuwait, and the AGDA contains 750 records. The total number of records collections pertaining to Kuwait is 1,006 digital surrogates.<sup>261</sup> Some of these records may be repetitive and are excluded from the final count of the closely read FAs.
6. These digital surrogates were also chosen because of my personal background and knowledge.

### **3.3. Data Collection**

#### **3.3.1. Close Reading**

After identifying the selection criteria and choosing a sample, the process of data collection began. The first technique I used to collect data is a close reading of the records' FAs through the selected data elements previously mentioned. The process of close reading helps in observing and understanding the facts and details for each FA. The first step was to examine the structure of the FA. The second step was to observe the content of the relevant data elements within the FA. After the data were collected from examining and observing the structure and the content, the next step was to interpret the observations. The data gathered from these close

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<sup>260</sup> These numbers are subject to change, since materials are constantly being added.

<sup>261</sup> These numbers are subject to change, since materials are constantly being added.



observations of the FAs were then used to draw conclusions about how the data were interpreted and how they addressed the research questions.

After the data were gathered from close reading of the FAs, the next process was to code and categorize these data. The coding process used the data elements to define and look for specific ideas and issues revealed from the data. The categories were then used to label and organize the data. The data collection was done manually because it allowed me to do close reading and possibly observe other data elements to find relevant data not found in the selected data elements thus building a more accurate collection of data. The data collected thus was used to write a detailed case study that describes each of the four cultural heritage institutions, in order to fully understand each case individually.

### **3.3.2. The Interviews**

The interviews were designed to supplement the data collected from the close readings of the FAs. The intention was to conduct interviews with the heads of cataloguing and description and/or the person they identified as being most familiar with the descriptions of these materials for all four cultural heritage institutions. These interviews served as the second data collection method. They were initiated after all the FAs had been examined and analyzed in order to enrich the data and minimize any misunderstandings or gaps in the data collection. They were also dependent on the agreement and availability of the relevant institutional personnel. As Walsham explains, interviews “. . . enable researchers to step back and examine the interpretations of their fellow participants in some detail.”<sup>262</sup> They allow me to examine my own potential bias by comparing my interpretations with other experts in the field. My interviews were intended to

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<sup>262</sup> Geoffrey Walsham, “Interpretive Case Studies in IS Research: Nature and Method,” *European Journal of Information Systems* 4 (1995): 79.

help me clarify each institution's descriptive practices, policies, and decisions on how they approach the description. The interviews mainly focused on how provenance is practiced when representing the descriptions. They were also seen, however, as a way to address unforeseen questions that surfaced as a result of my analyses of the FAs. Some topics that were explored with the interviewees during the interviews included: 1) what the decision process had been when describing the materials; 2) what formal/informal descriptive policies or procedures were adopted when describing the materials; 3) what written manuals, guidelines or standards were followed; 4) how were the records contextualized; 5) did they wish to modify the provenance of the records; and 6) how they might like now to redescribe the subjects of the records (as co-creators/records agents or simply as the subjects of the records) amongst other topics as they arise organically.

The interviews were intended to be conducted virtually so that there was no need to be physically present with the interviewee. This alleviates the constraints incurred by the potential different locations of the interviewees (the Gulf and Britain), and thus limits the financial constraints and time challenges of travel. It also addressed constraints on travel and face-to-face interaction due to the Covid-19 pandemic. Skype was originally planned to be used to conduct the interview and mimic the setting of a real-life interview. This online tool helps overcome limited funding and constrained traveling to conduct face-to-face interviews with geographically dispersed participants. Additionally, conducting Skype interviews allows for flexibility in place and time for both the interviewer and the interviewee,<sup>263</sup> and provides a space for the interview to take place of the interviewee's choice, hopefully with limited distractions.<sup>264</sup>

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<sup>263</sup> Hannah Deakin and Kelly Wakefield, "Skype Interviewing: Reflections on two PhD Researchers," *Qualitative Research*, 14, 5 (2014).

<sup>264</sup> Deakin and Wakefield, "Skype Interviewing: Reflections on two PhD Researchers," 608-609.

The interviewee was informed that she or he has the option to participate in a live interview or opt out and instead answer the questions in written form and return them via email. Also, the potential interviewees were offered the option of having the interview recorded and a copy sent to them after the interview, with their consent. After tailoring each institution's interview questions, I sent out an email detailing the protocol for conducting the interviews after identifying potential interviewees. The protocol included a consent form outlining the scope and intent of the research along with written interview questions and made clear that the interview would only proceed after informed consent had been given by the prospective interviewee.

The format of the interview was originally intended to be semi-structured. Ideally, semi-structured interviews allow the interviewer to create a suggested guide with both general topics as well as some prepared questions to ensure that all the objectives of the interview have been met. The interviewer can then adjust the order of topics and questions based on the responses of the interviewee, adding follow-up questions to already existing or emerging topics. It was selected due to the flexibility it offered for both the interviewer and interviewee. The collection of data was intentionally meant to be completed in an interactive manner rather than through a close-ended set of questions that required specific answers.

I prepared the written interview guide based on the language preference of those I was interviewing in each cultural heritage institution. I had originally thought that this would be the heads of cataloguing or description at each institution, but this changed in the course of the research. I first created the guide in the English language based on the literature review and the data collected from the FAs of the four cases, and then translated it to formal Arabic to be used with interviewees whose native language is Arabic. This was done to ensure that the language

barrier did not affect the responses and that the questions were understandable and relevant to the interviewees.

After receiving the interview responses, the data from the responses were coded and categorized. The coding process looked for specific responses that supported or failed to support the application of the expanded concepts of simultaneous multiple provenance and co-creatorship when discussing the subjects of the records pertaining to the Gulf. These responses were categorized into “support” or “does not support” together with justifications for their responses. Another category was created to note their response of “yes” or “no” to the question that asks about re-describing the collections to apply the expanded concepts of provenance. All these data were analyzed in conjunction with the data resulting from the close reading of the FAs. Last but not least, I followed all the recommended guidelines of the university’s institutional review board (IRB), for conducting the interviews.

### **3.4. Data Analysis**

Because it is known that “the analysis of case study evidence is one of the least developed and most difficult aspects of doing case studies,”<sup>265</sup> I devised a data analysis strategy that meets the needs of this study. Since there is no existing strategy that applies to all types of case studies, social science scholars urge case study researchers to “develop a general data analysis strategy as part of the case study design.”<sup>266</sup> The general data analysis strategy depends on the type of case study conducted.

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<sup>265</sup> Yin, *Case Study Research*, 127.

<sup>266</sup> Darke, Shanks and Broadbent, “Successfully Completing Case Study Research,” 284.

For multiple-case studies, the best strategy that fits with the data analysis in this study was to use a two paired methods strategy identified by Kathleen M. Eisenhardt. The first is “within-case analysis,” which “typically involves detailed case study write-ups for each site.”<sup>267</sup> This is done to fully understand each institution and become familiar with the data. The second method uses these write-ups to conduct what is called “cross-case patterns,” which is where I look at the data from all the case studies in many ways, such as to compare and contrast between each pair of cases.<sup>268</sup> I then wrote up a detailed case study about each of the four cultural heritage institutions, and those case studies’ data from the FAs and analyzed the interviews using the cross-case patterns method to search for similarities and differences in the FAs between each pair of cases. I also used the cross-case patterns method to analyze the data collected from the interviews, paying close attention to the responses regarding the expanded concepts of simultaneous multiple provenance and co-creatorship on the subjects of the records. This approach influences the reporting method because the cases are reported individually and then compared and contrasted amongst each pair of cases (BL-QDL and TNA-AGDA), within the two British cases (BL and TNA), and within the two Gulf cases (QDL and AGDA).

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<sup>267</sup> Kathleen M. Eisenhardt, “Building Theories from Case Study Research,” *The Academy of Management Review*, 14 (October 1989): 540.

<sup>268</sup> Eisenhardt, “Building Theories from Case Study Research,” 540.

## CHAPTER IV: ANALYSIS OF PHASE ONE: THE CLOSE READINGS

This chapter reports on my analysis of the data collected from the Close Reading technique during Phase One as described in the previous chapter. Data collection took place from September 2020 to February 2021 from the descriptions/finding aids (FAs) of the holdings of the four cultural heritage institutions: the British Library (BL), Qatar Digital Library (QDL) of Qatar National Library (QNL), The National Archives of the United Kingdom (TNA), and the Arabian Gulf Digital Archive (AGDA) sponsored by the National Archives of the United Arab Emirates (NA UAE). In general, each FA can be defined as a unit of description that represents a discrete holding of an institution and has its own title, contains one item or multiple materials, thus forming a single description - regardless of the number of items included in the holding. The paired institutions where the FAs are located are BL-QDL and TNA-AGDA. The acronyms used for the institutions are from the online portals where the FAs are located. Because the partnerships between the two paired institutions are still ongoing, there are archival materials that exist in only one institution but are not found or shared with its paired institution. Additionally, there are archival materials originating in the Gulf-based institutions that are not shared with the British, therefore, their FAs do not apply to this research study. For the purposes of this research, the FAs that were accessed for close reading are only from the British-based archival materials, digitally shared with the Gulf and its paired FAs, and are in the online portals of their partnered Gulf-based institutions.

The total number of FAs closely examined from all four cultural heritage institutions was 3,057. The total number of BL-QDL paired FAs as of Phase One was 690 pertaining to Kuwait. More specifically, 230 FAs were from the BL holdings. QNL includes two FAs for each - one in English and one in Arabic - with a total number of 460. For TNA-AGDA paired FAs, the total

number was 2,097. Similarly, the total number of FAs examined from TNA holdings pertaining to the Gulf was 699. The NA UAE created two FAs for each TNA holding- one in English and one in Arabic - so the total number of FAs located in AGDA is 1,398. All FAs are publicly available online.

### **1. Conducting Cross-case Patterns for the First Paired Cases: BL-QDL**

As previously mentioned, there are 230 archival holdings (i.e., collections or series) pertaining to Kuwait amongst the numerous Gulf related records housed in the British Library, and digitally shared with Qatar National Library as of February 2021. The following overview describes these 230 FAs, which were closely examined for purposes of this research. The majority come from the collection area of the “India Office Records and Private Papers” with a total of 224 discrete holdings. There are other collection areas including two from “Visual Arts,” one from the “Map Collections,” and three with no information about “Collection Area.” A large portion of these archival materials are created in the English language, but other languages can be found within these as well. There are 163 holdings in English/Latin script; 59 in English and Arabic/Latin and Arabic script; five in English and French/Latin script; two in English, Arabic, and Persian/Latin and Arabic script; and one in English and Persian/Latin and Arabic script. The dates of the archival materials range from the 1820s to 1980s. There are only eight holdings from 1822 to 1856. The majority, however, comprise 222 holdings with dates ranging from 1900 to 1980. The breakdown of these 222 holdings is: 13 from the 1900s; 13 from the 1910s; 46 from the 1920s; 97 from the 1930s; 45 from the 1940s; six from the 1950s; one from the 1960s; and one from the 1980s. The extent and format of the materials vary. The majority are formatted in files with a number of folios. Other formats also include files and folios as well as maps; map sheets; plans; volumes with and without folios; items; volumes, including pages or folios; and

black and white silver gelatin print. The number of items varies greatly from only one item to 2,084 items in each discrete holding.

The arrangement of the materials pertaining to the Gulf from the BL also varies. There are 160 discrete holdings arranged in chronological order. The terminology used for chronological order also includes “rough chronological order,” “approximate chronological order,” and “mostly arranged in chronological order.” There are 27 holdings with no information given in the FAs about their arrangement. There are an additional 22 with other types of arrangement, which can vary from no specific arrangement to arrangement by alphabetical order, arranged content by topics, table of content, and/or by scope and content. Lastly, there are 21 holdings where the arrangement is not applicable, mostly because there is only one item (amongst other reasons). As for the level of description, most of the materials are described at the collection level, with 199 discrete holdings. There are 24 holdings described at the item level, mostly because each contains a single item, and seven other holdings with no information on level of description.

### **1.1. A Within-case Analysis: The British Library (BL)**

In the within-case analysis of the British Library (BL), I thoroughly analyzed the structure and data elements of the finding aids (FAs) of the BL. Each is located on one webpage in their online portal. Most of the FAs contain the following data elements: “Title,” “Collection Areas,” “Reference,” “Creation Date,” “Extent and Access,” “Language,” “Contents and Scope,” “Physical Characteristics,” “Arrangement,” “Digital Version,” “Related Persons,” “Related Places,” and “Related Subjects” (this can vary based on the type of materials). This format is essentially the same for the majority of the BL FAs. However, there are special cases that were found during the close examination of the FAs. As of the completion of Phase One in February



2021, there were three FAs with no description: IOR/L/PS/12/1010,<sup>269</sup> IOR/L/PS/12/339<sup>270</sup> and IOR/R/15/2/878.<sup>271</sup> Two do not include a “Title:” IOR/L/PS/10/990<sup>272</sup> and IOR/R/15/2/724.<sup>273</sup>

One FA does not display a “Reference” and must be searched for by its title: *PZ 1070/40(1)*

*‘Transmission of F.O. secret packets to & from Consulates etc., abroad.’*<sup>274</sup> Three other FAs do

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<sup>269</sup> Ext 3373/45 Civilian requirements for Persian Gulf, including Kuwait. 13 Jul 1945-1 Apr 1948.

IOR/L/PS/12/1010. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000556026&indx=1&recIds=IAMS040-000556026&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286418548&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FL%2FPS%2F12%2F1010%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000556026&indx=1&recIds=IAMS040-000556026&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286418548&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FL%2FPS%2F12%2F1010%22&vid=IAMS_VU2) (accessed on 10/1/2020).

<sup>270</sup> *PZ 1070/40(2)* ‘Transmission of F.O. secret packets to & from Consulates etc. abroad.’ 26 Apr 1941-1 Jan 1946. IOR/L/PS/12/339. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000555337&indx=1&recIds=IAMS040-000555337&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286464914&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FL%2FPS%2F12%2F339%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000555337&indx=1&recIds=IAMS040-000555337&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286464914&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FL%2FPS%2F12%2F339%22&vid=IAMS_VU2) (accessed on 10/4/2020).

<sup>271</sup> ‘File 39/7 (10/9) Kuwait Oil Concession.’ 21 Mar 1936-16 May 1947. IOR/R/15/2/878. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000229185&indx=1&recIds=IAMS040-000229185&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286499115&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FR%2F15%2F2%2F878%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000229185&indx=1&recIds=IAMS040-000229185&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286499115&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FR%2F15%2F2%2F878%22&vid=IAMS_VU2) (accessed on 10/3/2020).

<sup>272</sup> File 2794/1921 Pt 3 ‘Persian Gulf: Oil: Koweit.’ 1925-1931. IOR/L/PS/10/990. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546365&indx=1&recIds=IAMS040-000546365&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286564038&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FL%2FPS%2F10%2F990%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546365&indx=1&recIds=IAMS040-000546365&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286564038&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FL%2FPS%2F10%2F990%22&vid=IAMS_VU2) (accessed on 11/1/2020).

<sup>273</sup> ‘File 28/32 I Recruitment in Persian Gulf states.’ 11 May 1942-28 Jul 1943. IOR/R/15/2/724. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000229020&indx=1&recIds=IAMS040-000229020&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286617281&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FR%2F15%2F2%2F724%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000229020&indx=1&recIds=IAMS040-000229020&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286617281&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FR%2F15%2F2%2F724%22&vid=IAMS_VU2) (accessed on 10/5/2020).

<sup>274</sup> *PZ 1070/40(1)* ‘Transmission of F.O. secret packets to & from Consulates etc., abroad.’ 16 Jan 1931-23 Jul 1941. IOR/L/PS/12/338. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000555336&indx=1&recIds=IAMS040-](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000555336&indx=1&recIds=IAMS040-)

not contain information about “Collection Area:” IOR/L/PS/12/3919,<sup>275</sup> IOR/L/PS/18/B333<sup>276</sup> and Photo 667/4(497).<sup>277</sup>

On the other hand, there are special cases of FAs that contain *additional* data elements not found in the majority of the FAs in this case study. The “Creator” element is added for IOR/L/PS/10/977<sup>278</sup> and Mss Eur A230.<sup>279</sup> The “Appraisal” element is added for these three

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[00055336&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620330200208&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=PZ%201070%2F40%281%29%20‘Transmission%20of%20F.O.%20secret%20packets%20to%20%26%20from%20Consulates%20etc.%2C%20abroad’&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-00055336&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620330200208&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=PZ%201070%2F40%281%29%20‘Transmission%20of%20F.O.%20secret%20packets%20to%20%26%20from%20Consulates%20etc.%2C%20abroad’&vid=IAMS_VU2) (accessed on 10/1/2020).

<sup>275</sup> Coll 30/181 ‘Development of Education in the Arab States.’ 16 Jan 1939-1 Apr 1948. IOR/L/PS/12/3919. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558995&indx=1&recIds=IAMS040-000558995&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286690460&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FL%2FPS%2F12%2F3919%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558995&indx=1&recIds=IAMS040-000558995&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286690460&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FL%2FPS%2F12%2F3919%22&vid=IAMS_VU2) (accessed on 10/5/2020).

<sup>276</sup> ‘Note on Kuwait.’ Oct 1919. IOR/L/PS/18/B333. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563477&indx=1&recIds=IAMS040-000563477&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286737276&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FL%2FPS%2F18%2FB333%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563477&indx=1&recIds=IAMS040-000563477&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286737276&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FL%2FPS%2F18%2FB333%22&vid=IAMS_VU2) (accessed on 11/1/2020).

<sup>277</sup> ‘Oil flare-Ahmadi.’ Photographer: Arthur Edward Broadbent Parsons. Jan-Mar 1956. Photo 667/4(497). Visual Arts. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS041-003120904&indx=1&recIds=IAMS041-003120904&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286803917&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=Photo%20667%2F4%2F%28497%29&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS041-003120904&indx=1&recIds=IAMS041-003120904&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286803917&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=Photo%20667%2F4%2F%28497%29&vid=IAMS_VU2) (accessed on 11/1/2020).

<sup>278</sup> File 1749/1921 ‘Persian Gulf:- Residency news summaries 1921-25.’ 17 Mar 1921-29 Mar 1926. IOR/L/PS/10/977. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546334&indx=1&recIds=IAMS040-000546334&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286880560&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FL%2FPS%2F10%2F977%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546334&indx=1&recIds=IAMS040-000546334&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620286880560&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FL%2FPS%2F10%2F977%22&vid=IAMS_VU2) (accessed on 10/7/2020).

<sup>279</sup> Shakespear, William Henry Irvine: diary of journey across central Arabia. 1914. Mss Eur A230. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS032-002264846&indx=1&recIds=IAMS032-002264846&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS032-002264846&indx=1&recIds=IAMS032-002264846&recIds=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=)

FAs: IOR/R/15/1/641,<sup>280</sup> IOR/R/15/1/642<sup>281</sup> and IOR/R/15/1/645.<sup>282</sup> There are two FAs with the “Custodial History” element: IOR/R/15/1/727<sup>283</sup> and IOR/L/PS/20/153.<sup>284</sup> There is one FA with the “Origin” element: IOR/L/PS/12/3811.<sup>285</sup> There are two FAs with the “History and Origin”

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[&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620286922775&srt=rank&mode=Basic&&dum=true&v1\(fr eeText0\)=%22Mss%20Eur%20A230%22&vid=IAMS\\_VU2](#) (accessed on 9/20/2020).

<sup>280</sup> ‘File 86/1 V (D 96) Kuwait Oil.’ 1 Jul 1933-28 Feb 1934. IOR/R/15/1/641. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228106&indx=1&recIds=IAMS040-000228106&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620286983253&srt=rank&mode=Basic&&dum=true&v1\(fr eeText0\)=%22IOR%2FR%2F15%2F1%2F641%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228106&indx=1&recIds=IAMS040-000228106&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620286983253&srt=rank&mode=Basic&&dum=true&v1(fr eeText0)=%22IOR%2FR%2F15%2F1%2F641%22&vid=IAMS_VU2) (accessed on 9/20/2020).

<sup>281</sup> ‘File 86/1 VI (D 97) Kuwait Oil.’ 7 Feb 1934-30 Apr 1934. IOR/R/15/1/642. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228107&indx=1&recIds=IAMS040-000228107&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620287033758&srt=rank&mode=Basic&&dum=true&v1\(fr eeText0\)=%22IOR%2FR%2F15%2F1%2F642%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228107&indx=1&recIds=IAMS040-000228107&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620287033758&srt=rank&mode=Basic&&dum=true&v1(fr eeText0)=%22IOR%2FR%2F15%2F1%2F642%22&vid=IAMS_VU2) (accessed on 10/8/2020).

<sup>282</sup> ‘86/1 IX Kuwait Oil (D 111).’ 21 Dec 1934-30 Apr 1935. IOR/R/15/1/645. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228110&indx=1&recIds=IAMS040-000228110&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620287072510&srt=rank&mode=Basic&&dum=true&v1\(fr eeText0\)=%22IOR%2FR%2F15%2F1%2F645%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228110&indx=1&recIds=IAMS040-000228110&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620287072510&srt=rank&mode=Basic&&dum=true&v1(fr eeText0)=%22IOR%2FR%2F15%2F1%2F645%22&vid=IAMS_VU2) (accessed on 10/9/2020).

<sup>283</sup> ‘Persian Gulf Gazetteer Part II, Geographical and Descriptive Materials, Section II Western Side of the Gulf.’ 1904. IOR/R/15/1/727. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228194&indx=1&recIds=IAMS040-000228194&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620287113086&srt=rank&mode=Basic&&dum=true&v1\(fr eeText0\)=%22IOR%2FR%2F15%2F1%2F727%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228194&indx=1&recIds=IAMS040-000228194&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620287113086&srt=rank&mode=Basic&&dum=true&v1(fr eeText0)=%22IOR%2FR%2F15%2F1%2F727%22&vid=IAMS_VU2) (accessed on 10/25/2020).

<sup>284</sup> ‘Koweit [Kuwait]. A report compiled in the Intelligence Branch, Quarter Master General’s Department.’ 1903. IOR/L/PS/20/153. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000565433&indx=1&recIds=IAMS040-000565433&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620287151015&srt=rank&mode=Basic&&dum=true&v1\(fr eeText0\)=%22IOR%2FL%2FPS%2F20%2F153%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000565433&indx=1&recIds=IAMS040-000565433&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620287151015&srt=rank&mode=Basic&&dum=true&v1(fr eeText0)=%22IOR%2FL%2FPS%2F20%2F153%22&vid=IAMS_VU2) (accessed on 10/25/2020).

<sup>285</sup> Coll 30/91(1) ‘Koweit Oil Concession: Agreement between the Shaikh of Kuwait and the Kuwait Oil Company.’ 12 Jan 1934-23 Dec 1934. IOR/L/PS/12/3811. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558885&indx=2&recIds=IAMS040-](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558885&indx=2&recIds=IAMS040-)

element: IOR/R/15/2/71<sup>286</sup> and Mss Eur F226/28.<sup>287</sup> Lastly, there is one FA with “Creator,” “History, Origin,” and “Immediate Source of Acquisition:” Mss Eur A230.<sup>288</sup>

### 1.1.1. How the BL Applies the Principle of Provenance

During Phase One, a close reading of the FAs was completed in order to address General Research Question A, which specifically addresses the British-based cultural heritage institutions: “How did the British cultural heritage institutions [i.e., the BL and TNA] apply the principle of provenance when describing the records that pertain to the Gulf?” More specifically, since I was concerned with the principle of provenance, this is highlighted in Research Question A.1.0., which asks, “Is the description [i.e., the finding aids] created with an assumption of singular provenance or does it in any way indicate multiple provenance/co-creatorship (i.e., by the Gulf peoples)?” To answer these questions, the contents of specific data elements within each FA need to be closely examined to determine whether provenance is: 1) singular by the British; or 2) multiple and/or co-creatorship by the British, Gulf, or even other entities as well. The FAs

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[000558885&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=2&scp.seps=scope%3A%28BL%29&frbg=&tab=local&dstmp=1620329780876&srt=rank&mode=Basic&dum=true&fromLogin=true&v\(freeText0\)=%22IOR%2FL%2F%2F12%2F3811%22&vid=IAMS\\_VU2](https://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228325&indx=1&recIds=IAMS040-000228325&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620329780876&srt=rank&mode=Basic&dum=true&v(freeText0)=%22IOR%2FL%2F%2F12%2F3811%22&vid=IAMS_VU2) (accessed on 10/2/2020).

<sup>286</sup> Miscellaneous reports and correspondence relating to Kuwait. [1 Mar 1918]-13 Mar 1920. IOR/R/15/2/71. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-0002288527&indx=1&recIds=IAMS040-0002288527&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620329873471&srt=rank&mode=Basic&dum=true&v\(freeText0\)=%22IOR%2FR%2F15%2F2%2F71%22&vid=IAMS\\_VU2](https://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-0002288527&indx=1&recIds=IAMS040-0002288527&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620329873471&srt=rank&mode=Basic&dum=true&v(freeText0)=%22IOR%2FR%2F15%2F2%2F71%22&vid=IAMS_VU2) (accessed on 10/28/2020).

<sup>287</sup> ‘THIM DAYS IS GONE.’ c 1980. Mss Eur F226/28. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-0002288527&indx=1&recIds=IAMS040-0002288527&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620329936493&srt=rank&mode=Basic&dum=true&v\(freeText0\)=%22Eur%20F226%2F28%22&vid=IAMS\\_VU2](https://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-0002288527&indx=1&recIds=IAMS040-0002288527&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620329936493&srt=rank&mode=Basic&dum=true&v(freeText0)=%22Eur%20F226%2F28%22&vid=IAMS_VU2) (accessed on 10/27/2020).

<sup>288</sup> Shakespear, BL.

are broken down into several examples of how provenance was determined (if applicable) and from which data elements specifically.

More generally, the way the BL describes archival materials pertaining to the Gulf varies, especially in regards to records creator or provenance. As detailed above, the majority of the FAs are lacking a “Creator” and/or “Administrative History” element. For this reason, provenance can or cannot be determined unless the following data elements of the FAs are collectively read and understood. These data elements include: “Reference,” “Title,” “Collection Area,” and “Contents and Scope,” specifically. Generally speaking, the “Contents and Scope” data element usually includes: the creator(s), the primary subject(s) and its possible relationship with the creator(s), types of materials found in each, relevant activities and/or events that resulted in the creation of the materials, and/or important dates. However, not all FAs’ “Contents and Scope” contain the aforementioned information.

Upon conclusion of the close reading of the 230 FAs located in the BL, there was no clear evidence for multiple provenance. While some FAs may clearly indicate either singular provenance or co-creatorship, other FAs may not be as clear. However, this could have been due to lack of clarity and needed further follow up during Phase Two to clarify and validate this conclusion. For this reason, I needed to conduct Phase Two (the interviews), contacting an expert and requesting further information regarding the provenance of these holdings, to determine whether or not co-creatorship was originally intended as represented in the FAs. A few FAs clearly provide the creator(s) in the “Title,” while other FAs list the creators in the “Contents and Scope” data element. Certain FAs do not include a “Creator” element or information for the “Contents and Scope” element. Even the title for these holdings do not mention the creator.

Instead, these specific FAs just list the “Reference,” “Collection Area” and “Contents and Scope.”

In general, the majority of the holdings’ “Collection Areas” and “References” are primarily listed as the British because a large portion come from the India Office Records (IOR). However, there are a few exceptions to this generalization of provenance. These include FAs regarding correspondence that contains information about who these correspondents are and may list key Gulf figures who played a participatory role in creating the records. Other exceptions include FAs that are ambiguous or undetermined that need further clarification from a BL representative, who might or might not know the specific provenance of these FAs. There are specific FAs that provide information on the holdings collection’s area, reference and correspondence (listed under “Contents and Scope”) that can be more accurately described as singular provenance by the British - more specifically - to the India Office Records and Private Papers. On the other hand, there are FAs that also list the India Office Records and Private Papers as a singular provenance, but upon closer reading of the “Contents and Scope,” there are also principal correspondents that are from the British *and* the Gulf. Additionally, there are a few FAs that include either a “Custodial History” or “History: Origins” and “Immediate Source of Acquisition” elements. These additional elements provide supplemental information that assisted me in determining provenance because they detail historical information about the records. However, this does not apply to a large majority of the FAs pertaining to the Gulf in the BL. For this reason, this raised the question of provenance and co-creatorship for these specific FAs and needed further clarification from a BL representative.

## **“Custodial History” as a Key Indication of Provenance**

Upon completion of the close reading of the 230 FAs, there are a few that contain the “Custodial History” element that provide an additional layer of information to determine provenance. The “Custodial History,” where available, provides information about the entities that maintained the archival records - the physical materials and/or the intellectual rights to the records. I used “Custodial History” information to determine provenance and the chain of custody. Here are a few examples that contain the “Custodial History” element. Even though these FAs contain information about the “Custodial History,” there is still not enough information to fully determine provenance, and co-creatorship and/or multiple provenance may further need to be determined via other elements.

### ***Ex.1. “Custodial History” Provides Information on Ownership of Records***

Reference: IOR/R/15/1/727

Title: ‘Persian Gulf Gazetteer Part II, Geographical and Descriptive Materials, Section II Western Side of the Gulf’

Collection Area: India Office Records and Private Papers

Contents and Scope: The volume is *Part II Persian Gulf Gazetteer, Geographical and Descriptive Materials, Section II Western Side of the Gulf* (Simla: G C Press, 1904).

The volume contains notes, followed by subsections on Trucial Chiefs' Territory, Katar [Qatar], Bahrein [Bahrain], Hasa, and Koweit [Kuwait]. The volume is a geographical and descriptive gazetteer, giving information on alphabetically-listed places in each of the territories in question.

History: Custodial History: “A handwritten note on the first page after the front cover states ‘Received from Mr J G Lorimer CIE demi-officially, September 1912’.<sup>289</sup>

### ***Ex.2. “Custodial History” Provides Further Information on Chain of Custody***

Reference: IOR/L/PS/20/153

Title: ‘Koweit [Kuwait]. A report compiled in the Intelligence Branch, Quarter Master General’s Department’

Collection Area: India Office Records and Private Papers

Contents and Scope: Intelligence report on Kuwait, compiled for the Intelligence Branch of the Quarter Master General’s Department by Captain Henry Harris

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<sup>289</sup> ‘Persian, BL.

Hewitt Dowding of the Essex Regiment, and printed at the Government Central Printing Office in Simla, 1903.

History: Custodial History: Folio 2 bears a red stamp that reads ‘Bombay Company? Office, Poona, 18 Jan 1904’. A second stamp on the volume’s frontispiece (f 4) and front cover reads ‘General Staff Library, War Office, 19 Feb 1913’.<sup>290</sup>

### **“History: Origin” as Another Key Indication of Determining Provenance**

As with the “Custodial History” element, the “History: Origin” element also provides a historical description that contains information that can help determine provenance. There are only four FAs of the 230 total that contain this element. However, provenance cannot be determined from this data element alone. More than one data element needs to be taken into account when trying to determine provenance. Here are a few examples that provide support for this analysis.

#### ***Ex.1. “History: Origin” Reaffirms Provenance as Determined by “Title” and “Contents and Scope”***

Reference: IOR/L/PS/12/3811

Title: Coll 30/91(1) ‘Koweit Oil Concession: Agreement between the Shaikh of Kuwait and the Kuwait Oil Company.’

Collection Area: India Office Records and Private Papers

Contents and Scope: The file concerns negotiations over the signing of the commercial agreement between the Shaikh of Kuwait, Shaikh Ahmad al-Jabir as-Sabah [Aḥmad al-Jābir Āl Ṣabāḥ] and the Kuwait Oil Company...

The main correspondents are the Foreign Office; representatives of the Anglo-Persian Oil Company, and the Kuwait Oil Company; the Political Resident in the Persian Gulf; and the Political Agent, Kuwait (Major Harold Richard Patrick Dickson, and, acting for Dickson, Major Ralph Ponsonby Watts).

History: Origin: The commercial agreement between the Shaikh of Kuwait and the Kuwait Oil Company was signed on 23 December 1934: see IOR/L/PS/12/3812.<sup>291</sup>

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<sup>290</sup> ‘Koweit, BL.

<sup>291</sup> Coll 30/91(1), BL.



**Ex.2. “History: Origin” Provides Rationale and Historical Context for Records Creation**

Reference: IOR/R/15/2/71

Title: Miscellaneous reports and correspondence relating to Kuwait

Collection Area: India Office Records and Private Papers

Contents and Scope: Correspondence of the Political Agency, Bahrain relating to Kuwait, and reports concerning Kuwait circulated to the Agency.

The papers include:

- report entitled ‘Situation in Kuwait’ by Lieutenant-Colonel Robert Edward Archibald Hamilton, Political Agent, Kuwait, [March 1918];
- ‘Report on Institution and Working of the Blockade at Kuwait’, by Captain Percy Gordon Loch, Political Agent, Kuwait, September 1918;
- printed copy of *Diary* of Lieutenant-Colonel Robert Edward Archibald Hamilton, Political Agent, Kuwait, of his journey to Najd and back, February 1918;
- copies of telegrams between the Political Agent Koweit [Kuwait], the Political Agent Bahrein [Bahrain], and the Political Resident, Bushire concerning the movements of caravans containing foodstuffs from Bahrein that had been turned away from the blockade of Kuwait, April - May 1918;
- memorandum of the Political Agent, Bahrain to the Deputy Political Resident in the Persian Gulf requesting the periodical visit of a British warship to Bahrain in order to prevent possible smuggling of tea or ammunition from Bahrain and Qatar to the Persian Littoral, and to act as a reminder of the British presence in Bahrain, March 1920.

The Arabic language content of this file consists of a few Arabic versions of personal and place names that occur in the official print in folios 21-33.

History: Origin: The British instituted a sea blockade of Kuwait in 1918 because they believed that supplies were reaching Ottoman forces through that port. The blockade did serious damage to Kuwait’s economy.<sup>292</sup>

**Ex.3. “History: Origin” Provides Further Details on Record’s Creator**

Reference: Mss Eur F226/28

Title: ‘THIM DAYS IS GONE’

Collection Area: India Office Records and Private Papers

Contents and Scope: A memoir written by Major Maurice Patrick O’Connor Tandy recounting his career in the Royal Artillery, Rajputana, Sialkot, Persia, North West Frontier Province, Afghanistan, the Persian Gulf, and Kuwait.

History: Origin: Major Maurice Patrick O’Connor Tandy (1912-86): Vice-Consul Zabul 1939-40, Assistant Commissioner Kohat 1940-41, Vice-Consul Bushire 1941, Political Officer Trucial Coast 1943-44, Assistant Political Agent Bahrain 1944-45, Political Agent Kuwait 1945-48.<sup>293</sup>

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<sup>292</sup> Miscellaneous, BL.

<sup>293</sup> ‘THIM, BL.

***Ex.4. “Creator,” “History: Origin,” and “Immediate Source of Acquisition,” all of which Provides Clear and Concise Information to Determine Provenance***

Reference: Mss Eur A230

Title: Shakespear, William Henry Irvine: diary of journey across central Arabia

Creator: Shakespear, William Henry Irvine, 1878-1915, political officer and diplomat.

History: Origin: Captain William Henry Irvine Shakespear (1878-1915), Political Agent, Kuwait 1909-14. Shakespear made the longest of his journeys into the interior of Arabia between January and May 1914, from Kuwait to the Suez Canal via Riyadh, Burayda and Jauf, a distance of just over 1800 miles in 111 days, across what was mostly uncharted territory.

Immediate Source of Acquisition: Deposited on loan by Dr O S Pound, 2 July 2001.<sup>294</sup>

The aforementioned elements supplement the FAs with brief information about the origins, context of creation, as well as provenance of the records. However, they are insufficient and need to be supplemented by the other main elements such as “Title” and “Contents and Scope.” Also, only a small number of FAs contain these elements, while the majority do not. There are examples which I can determine via one or more elements the provenance of the records as detailed in the next section.

**Singular Provenance by the British**

Here are a few examples where the elements may vary but indicate British singular provenance from the BL FAs. The provenance for a significant number of these FAs can be easily determined based on a number of elements that accurately describe the provenance by the British. Although the FAs’ data elements and information vary widely, they all clearly provide evidence for singular provenance by the British.

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<sup>294</sup> Shakespear, BL.

## **Singular Provenance by the British: “Reference,” “Title,” “Collection Area,” and “Contents and Scope”**

The following examples illustrate singular provenance by the British from the FA’s “Reference,” “Title,” “Collection Area,” and “Contents and Scope,” all clearly indicating a singular British provenance. For certain FAs where the reference follows consecutively, the provenance also shows as singular by the British. For instance, examples one and two, and three and four, show FAs with consecutively numbered references, which indicate a singular provenance by the British. There are other examples that indicate a singular provenance by the British but are not necessarily consecutively numbered like the above-mentioned examples.

### ***Ex.1.***

Reference: IOR/L/PS/12/3715A

Title: Coll 30/5(3) ‘Persian Gulf Bahrain Residency Monthly Letter - Summary of Events’

Collection Area: India Office Records and Private Papers

Contents and Scope: This file contains copies of a monthly summary of events that was compiled by the Persian Gulf Residency in Bahrain (having moved there from Bushire in 1946).<sup>295</sup>

### ***Ex.2.***

Reference: IOR/L/PS/12/3715B

Title: Coll 30/5(3) ‘Bahrein [sic] Residency Monthly Letter - Summary of Events’

Collection Area: India Office Records and Private Papers

Contents and Scope: This file contains copies of a monthly summary of events that was compiled by the Persian Gulf Residency in Bahrain . . .<sup>296</sup>

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<sup>295</sup> Coll 30/5(3) ‘Persian Gulf Bahrain Residency Monthly Letter - Summary of Events.’ 12 Sep 1946-21 Jan 1948. IOR/L/PS/12/3715A. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558783&indx=1&recIds=IAMS040-000558783&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619936445248&srt=rank&mode=Basic&&dum=true&v1\(fr eeText0\)=%22IOR%2FL%2FPS%2F12%2F3715A%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558783&indx=1&recIds=IAMS040-000558783&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619936445248&srt=rank&mode=Basic&&dum=true&v1(fr eeText0)=%22IOR%2FL%2FPS%2F12%2F3715A%22&vid=IAMS_VU2) (accessed on 9/7/2020).

<sup>296</sup> Coll 30/5(3) ‘Bahrein [sic] Residency Monthly Letter - Summary of Events.’ 16 Feb 1948-25 Feb 1950. IOR/L/PS/12/3715B. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558784&indx=1&recIds=IAMS040-000558784&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619936507571&srt=rank&mode=Basic&&dum=true&v1\(fr eeText0\)=%22IOR%2FL%2FPS%2F12%2F3715B%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558784&indx=1&recIds=IAMS040-000558784&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619936507571&srt=rank&mode=Basic&&dum=true&v1(fr eeText0)=%22IOR%2FL%2FPS%2F12%2F3715B%22&vid=IAMS_VU2) (accessed on 9/7/2020).

**Ex.3.**

Reference: IOR/L/PS/20/C91/3

Title: ‘Gazetteer of the Persian Gulf. Vol. I. Genealogical Tables-Maps. Part III. J G Lorimer. 1915’

Collection Area: India Office Records and Private Papers

Contents and Scope: . . . compiled John Gordon Lorimer.<sup>297</sup>

**Ex.4.**

Reference: IOR/L/PS/20/C91/4

Title: ‘Gazetteer of the Persian Gulf. Vol. II. Geographical and Statistical. J G Lorimer. 1908’

Collection Area: India Office Records and Private Papers

Contents and Scope: . . . compiled by John Gordon Lorimer.<sup>298</sup>

**Ex.5.**

Reference: IOR/L/PS/20/153

Title: ‘Koweit [Kuwait]. A report compiled in the Intelligence Branch, Quarter Master General’s Department’

Collection Area: India Office Records and Private Papers

Contents and Scope: Intelligence report on Kuwait, compiled for the Intelligence Branch of the Quarter Master General’s Department by Captain Henry Harris Hewitt Dowding of the Essex Regiment, and printed at the Government Central Printing Office in Simla, 1903.<sup>299</sup>

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<sup>297</sup> ‘Gazetteer of the Persian Gulf. Vol. I. Genealogical Tables-Maps. Part III. J G Lorimer. 1915.’ 1915. IOR/L/PS/20/C91/3. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000564537&indx=22&recIds=IAMS040-000564537&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&scp.scps=scope%3A%28BL%29&frbg=&tab=local&dstmp=1619938400004&srt=rank&mode=Basic&dum=true&vl\(freeText0\)=%22IOR%2FL%2FPS%2F20%2FC91%2F3%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000564537&indx=22&recIds=IAMS040-000564537&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&scp.scps=scope%3A%28BL%29&frbg=&tab=local&dstmp=1619938400004&srt=rank&mode=Basic&dum=true&vl(freeText0)=%22IOR%2FL%2FPS%2F20%2FC91%2F3%22&vid=IAMS_VU2) (accessed on 10/14/2020).

<sup>298</sup> ‘Gazetteer of the Persian Gulf. Vol. II. Geographical and Statistical. J G Lorimer. 1908.’ 1908.

IOR/L/PS/20/C91/4. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000564538&indx=1&recIds=IAMS040-000564538&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619938471979&srt=rank&mode=Basic&dum=true&vl\(freeText0\)=%22IOR%2FL%2FPS%2F20%2FC91%2F4%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000564538&indx=1&recIds=IAMS040-000564538&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619938471979&srt=rank&mode=Basic&dum=true&vl(freeText0)=%22IOR%2FL%2FPS%2F20%2FC91%2F4%22&vid=IAMS_VU2) (accessed on 10/14/2020).

<sup>299</sup> ‘Koweit, BL.

## Singular Provenance by the British: “Reference,” “Collection Area,” and “Contents and Scope”

The following examples provide evidence for singular provenance by the British from the FA’s “Reference,” “Collection Area,” and “Contents and Scope,” all clearly indicating a singular British provenance.

### *Ex.1.*

Reference: IOR/L/PS/12/3720A

Title: Coll 30/9(2) ‘Admin. Reports of the Persian Gulf - 1945 –’

Collection Area: India Office Records and Private Papers

Contents and Scope: This file consists of copies of the annual ‘Administration Reports of the Persian Gulf’ prepared by the Political Residency in Bushire for the years 1939-1945.

The reports are all introduced by a short review of the year written by the Political Resident.<sup>300</sup>

### *Ex.2.*

Reference: IOR/L/PS/18/B391

Title: ‘British political relations with Koweit.’

Collection Area: India Office Records and Private Papers

Contents and Scope: The memorandum, prepared by John W Field of the Foreign Office . . .<sup>301</sup>

### *Ex.3.*

Reference: IOR/L/PS/12/3757

Title: Coll 30/45 ‘Persian Gulf Diaries: Kuwait Intelligence Summaries, 1932-1936’

Collection Area: India Office Records and Private Papers

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<sup>300</sup> Coll 30/9(2) ‘Admin. Reports of the Persian Gulf - 1945 -.’ 18 Aug 1941-31 Jul 1946. IOR/L/PS/12/3720A. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558789&indx=1&recIds=IAMS040-000558789&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619938562226&srt=rank&mode=Basic&&dum=true&vl\(fr eeText0\)=%22IOR%2FL%2FPS%2F12%2F3720A%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558789&indx=1&recIds=IAMS040-000558789&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619938562226&srt=rank&mode=Basic&&dum=true&vl(fr eeText0)=%22IOR%2FL%2FPS%2F12%2F3720A%22&vid=IAMS_VU2) (accessed on 10/7/2020).

<sup>301</sup> ‘British political relations with Koweit.’ 29 Mar 1922. IOR/L/PS/18/B391. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563539&indx=1&recIds=IAMS040-000563539&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619939781230&srt=rank&mode=Basic&&dum=true&vl\(fr eeText0\)=%22IOR%2FL%2FPS%2F18%2FB391%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563539&indx=1&recIds=IAMS040-000563539&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619939781230&srt=rank&mode=Basic&&dum=true&vl(fr eeText0)=%22IOR%2FL%2FPS%2F18%2FB391%22&vid=IAMS_VU2) (accessed on 10/10/2020).

Contents and Scope: This file contains copies of monthly intelligence summaries that were prepared by the Political Agency in Kuwait.<sup>302</sup>

### **Singular Provenance by the British for Finding Aids other than IOR Reference:**

#### **“Title” and “Contents and Scope”**

I assume that these FAs contain photographs with photo credit given to a British photographer by the name of Arthur Edward Broadbent Parsons as described in the titles of the photographs. Although the record’s “Reference” and “Collection Area” are not from the India Office Records and Private Papers, I concluded that provenance remains singularly British because the photographer who took these photographs is assumed to be British.

#### ***Ex.1.***

Reference: Photo 667/4(496)

Title: ‘Oil Jetty-Mina el Ahmedi.’ Photographer: Arthur Edward Broadbent Parsons

Collection Area: Visual Arts<sup>303</sup>

#### ***Ex.2.***

Reference: Photo 667/4(497)

Title: ‘Oil flare-Ahmadi.’ Photographer: Arthur Edward Broadbent Parsons

Collection Area: Not Given<sup>304</sup>

#### ***Ex.3.***

Reference: Photo 667/4(498)

Title: ‘Constellation at Kuwait.’ Photographer: Arthur Edward Broadbent Parsons

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<sup>302</sup> Coll 30/45 ‘Persian Gulf Diaries: Kuwait Intelligence Summaries, 1932-1936.’ 14 Feb 1933-19 Jan 1937. IOR/L/PS/12/3757. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558828&indx=1&recIds=IAMS040-000558828&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619939835476&srt=rank&mode=Basic&&dum=true&vlf\(seeText0\)=%22IOR%2FL%2FPS%2F12%2F3757%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558828&indx=1&recIds=IAMS040-000558828&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619939835476&srt=rank&mode=Basic&&dum=true&vlf(seeText0)=%22IOR%2FL%2FPS%2F12%2F3757%22&vid=IAMS_VU2) (accessed on 10/15/2020).

<sup>303</sup> ‘Oil Jetty-Mina el Ahmedi.’ Photographer: Arthur Edward Broadbent Parsons. Jan-Mar 1956. Photo 667/4(496). Visual Arts. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS041-003120903&indx=1&recIds=IAMS041-003120903&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619939923121&srt=rank&mode=Basic&&dum=true&vlf\(seeText0\)=%22Photo%20667%2F4%2F%28496%29%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS041-003120903&indx=1&recIds=IAMS041-003120903&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619939923121&srt=rank&mode=Basic&&dum=true&vlf(seeText0)=%22Photo%20667%2F4%2F%28496%29%22&vid=IAMS_VU2) (accessed on 11/1/2020).

<sup>304</sup> ‘Oil, Visual Arts.

Collection Area: Visual Arts<sup>305</sup>

### **Singular Provenance by the British Other than IOR Reference: “Collection Area” and “Contents and Scope”**

This is another example of a FA with a reference number that does not include the acronym IOR. However, this record’s “Collection Area” lists the India Office Records and Private Papers as where the materials are originally held. The content of “Contents and Scope” lists the name of a British Major of the Royal Artillery, which provides clear evidence for singular provenance by the British.

#### ***Ex.1.***

Reference: Mss Eur F226/28

Title: ‘THIM DAYS IS GONE’

Collection Area: India Office Records and Private Papers

Contents and Scope: A memoir written by Major Maurice Patrick O’Connor Tandy recounting his career in the Royal Artillery, Rajputana, Sialkot, Persia, North West Frontier Province, Afghanistan, the Persian Gulf, and Kuwait.<sup>306</sup>

### **Singular Provenance by the British: “Title,” “Collection Area,” “Creator,” and “Contents and Scope”**

As the case above, the “Reference” does not necessarily specify provenance. Also, in these following examples, provenance can clearly be determined because of the addition of the “Creator” element, as well as the “Title,” “Collection Area,” and “Contents and Scope” elements, which again, show how the data elements vary in each FA. Provenance can still be

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<sup>305</sup> ‘Constellation at Kuwait.’ Photographer: Arthur Edward Broadbent Parsons. Jan-Mar 1956. Photo 667/4(498). Visual Arts. British Library, London.  
[http://searcharchives.bl.uk/primolibweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS041-003120905&indx=1&recIds=IAMS041-003120905&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619940027807&srt=rank&mode=Basic&&dum=true&vlf\(seeText0\)=%22Photo%20667%2F4%2F%28498%29%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primolibweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS041-003120905&indx=1&recIds=IAMS041-003120905&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619940027807&srt=rank&mode=Basic&&dum=true&vlf(seeText0)=%22Photo%20667%2F4%2F%28498%29%22&vid=IAMS_VU2) (accessed on 11/1/2020).

<sup>306</sup> THIM, BL.

determined in this case as singular provenance by the British, based on the aforementioned data elements.

***Ex.1.***

Reference: Mss Eur A230

Title: Shakespear, William Henry Irvine: diary of journey across central Arabia.

Collection Area: India Office Records and Private Papers

Creator: Shakespear, William Henry Irvine, 1878-1915, political officer and diplomat.

Contents and Scope: A diary written by Captain William Henry Irvine Shakespear recording his journey across Arabia in 1914.<sup>307</sup>

**Singular Provenance by the British: “Reference,” “Title,” Collection Area,” “Creator,” and “Contents and Scope”**

The content of the elements of this FA all aligns with each other to support singular provenance by the British. This example of a FA from the IOR also includes the “Creator” element. Hence, the “Reference,” “Title,” “Creator,” and “Contents and Scope” of this discrete holding all clearly point to singular provenance by the British.

***Ex.1.***

Reference: IOR/L/PS/10/977

Title: File 1749/1921 ‘Persian Gulf:- Residency news summaries 1921-25’

Collection Area: India Office Records and Private Papers

Creator: Persian Gulf Political Residency, 1822-1971.

Contents and Scope: . . . received by the British Political Residency in the Persian Gulf . . .<sup>308</sup>

**Possible Multiple Provenance and/or Co-creatorship by the British and the Gulf**

The following section shows several examples of how certain elements may hint at singular provenance by British authorities. However, upon closer reading of the other data elements, there is specific content that could be interpreted as having the possibility of multiple provenance and/or co-creatorship. A significant number of FAs include details within the

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<sup>307</sup> Shakespear, BL.

<sup>308</sup> File 1749/1921, BL.



“Contents and Scope” that question the assumption of singular provenance by the British when only looking at the “Reference,” “Title,” and/or “Collection Area.” For this reason, the details contained within the “Contents and Scope,” for example, may indicate other creators/contributors and increase the possibility of multiple provenance and/or co-creatorship. That is why it is important to note here that the data elements and their content may vary, so more than one data element must be taken into account when determining multiple provenance and/or co-creatorship. There are several examples in which this is the case.

In order to rule out singular provenance by the British, other data elements need to be closely read to learn more about other contributors and creators of the records. There are a few FAs where the title alone does not provide enough information to determine provenance. However, upon closer reading of the other elements, especially “Contents and Scope,” I determined that co-creatorship can be more clearly understood since there is support for this claim in the information provided herein.

#### **Undetermined Provenance Based on “Title” Alone but Clarified in “Contents and Scope”**

There are a few FAs where the “Title” may not necessarily provide enough information to determine provenance and may lead one to assume a singular provenance by the Gulf. However, upon closer reading of the “Contents and Scope,” the creators and contributions can be seen as both Gulf and British figures and/or entities. Thus, the “Title” alone can falsely lead to an incorrect assumption of singular provenance by the Gulf unless closer reading of the other data elements, especially the “Contents and Scope,” is conducted to determine otherwise.

#### ***Ex.1.***

Reference: IOR/R/15/1/561

Title: ‘File 61/7 (D 65) Bin Saud’s relations with the Sheikh of Kuwait’

Collection Area: India Office Records and Private Papers

Contents and Scope: The volume consists of letters (in English and Arabic), telegrams, and memoranda, the majority of which concern Najd-Kuwait relations.

The correspondence is mostly between Ibn Sa'ud, Sheikh Ahmad al-Jabir al-Sabah of Kuwait, the High Commissioner of Iraq, the Political Residency in Bushire, the Political Agencies in Bahrain and Kuwait, the Colonial Office, Foreign Office, and India Office, all in London, and the Government of India in Bengal.<sup>309</sup>

**Ex.2.**

Reference: IOR/L/PS/12/3733

Title: Coll 30/21(2) 'Persian Gulf: Koweit - Blockade by Ibn Saud'

Collection Area: India Office Records and Private Papers

Contents and Scope: This volume contains correspondence related to a trade blockade that was imposed on Kuwait by the Ruler of Saudi Arabia, Ibn Saud ['Abd al-'Azīz bin 'Abd al-Raḥmān bin Fayṣal Āl Sa'ūd] and more generally concerning relations between Britain, Kuwait and Saudi Arabia.

The correspondence in the volume consists of internal correspondence between British officials (including at the Foreign Office, India Office, the British Legation in Jeddah and the Political Agency in Kuwait) as well as correspondence between British officials and the Ruler of Kuwait, Shaikh Ahmad al-Jaber al-Sabah and officials from the Saudi Arabian Ministry of Foreign Affairs.<sup>310</sup>

**Ex.3.**

Reference: IOR/R/15/2/1283

Title: 'File 6/64 Visit of H. E. Shaikh Hamad bin 'Isa al Khalifah C. S. I. to Kuwait, correspondence regarding'

Collection Area: India Office Records and Private Papers

Contents and Scope: The file contains correspondence relating to the visit to Kuwait by Shaikh Hamad bin 'Isa al Khalifah [Shaikh Ḥamad bin 'Īsā Āl Khalīfah] between 10 and 13 December. The correspondence is between the Senior Naval Officer in the Persian Gulf (sometimes aboard HMS *Shoreham*), the Political Agent, Bahrain (Lieutenant-Colonel Percy Gordon Loch), Shaikh Hamad himself, and his son, Shaikh Salman bin Hamad al Khalifah [Salmān bin Ḥamad Āl Khalīfah]. The

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<sup>309</sup> 'File 61/7 (D 65) Bin Saud's relations with the Sheikh of Kuwait.' 26 Apr 1922-27 Jul 1929. IOR/R/15/1/561. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228020&indx=1&recIds=IAMS040-000228020&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620256780385&srt=rank&mode=Basic&&dum=true&v\(fireText0\)=%22IOR%2FR%2F15%2F1%2F561%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228020&indx=1&recIds=IAMS040-000228020&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620256780385&srt=rank&mode=Basic&&dum=true&v(fireText0)=%22IOR%2FR%2F15%2F1%2F561%22&vid=IAMS_VU2) (accessed on 10/22/2020).

<sup>310</sup> Coll 30/21(2) 'Persian Gulf: Koweit - Blockade by Ibn Saud.' 14 May 1935-27 Sep 1937. IOR/L/PS/12/3733. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558803&indx=1&recIds=IAMS040-000558803&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620256826833&srt=rank&mode=Basic&&dum=true&v\(fireText0\)=%22IOR%2FL%2F12%2F3733%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558803&indx=1&recIds=IAMS040-000558803&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620256826833&srt=rank&mode=Basic&&dum=true&v(fireText0)=%22IOR%2FL%2F12%2F3733%22&vid=IAMS_VU2) (accessed on 10/9/2020).

papers concern the Shaikh's passage to Kuwait and back, and his reception upon arrival back in Bahrain.<sup>311</sup>

**Ex.4.**

Reference: IOR/L/PS/10/925

Title: File 6499/1920 Pt 1-2 'Kuwait affairs'

Collection Area: India Office Records and Private Papers

Contents and Scope: Correspondence discusses the arbitration of the British Government in the matter of the border of Kuwaiti territory under the Shaikh of Kuwait [Sālim bin Mubārak Āl Ṣabāḥ] with that of the Ruler of Nejd [Najd], Bin Saud ['Abd al-'Azīz bin 'Abd al-Raḥmān bin Fayṣal Āl Sa'ūd, popularly known as Ibn Sa'ūd]. Correspondents include: the Civil Commissioner, Baghdad; the High Commissioner, Mesopotamia; the Political Agent, Kuwait; the Political Agent, Bahrain; the Deputy Political Resident, Bushire; Bin Saud; Shaikh Salim, Shaikh of Kuwait; and Abdullah al Mut'ab Al-Rashid, Shaikh of Jabal Shammar.<sup>312</sup>

**Ex.5.**

Reference: IOR/R/15/1/645

Title: '86/1 IX Kuwait Oil (D 111)'

Collection Area: India Office Records and Private Papers

Contents and Scope: The file is primarily concerned with the conclusion of the Kuwait [Kuwait] Oil Concession negotiations between the Shaikh of Kuwait [Shaikh Aḥmad al-Jābir Āl Ṣabāḥ], and the Kuwait Oil Company (KOC). Correspondence includes discussion between both parties and the India Office over final amendments to the wording of the concession agreement, the confirmation of the Shaikh's readiness to sign the agreement, and His Majesty's Government's decision to approve of the decision. The official signing of the concession took place at the Political Agency, Kuwait, on 23 December 1934 in the presence of the following: the Shaikh of Kuwait; Frank Holmes and Archibald Chisholm, negotiators for the KOC; Harold Dickson, Political Agent at Kuwait. Signed copies

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<sup>311</sup> 'File 6/64 Visit of H. E. Shaikh Hamad bin 'Isa al Khalifah C. S. I. to Kuwait, correspondence regarding.' 22 Nov 1933-15 Dec 1933. IOR/R/15/2/1283. India Office Records and Private Papers. British Library, London. [http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000229606&indx=1&recIds=IAMS040-000229606&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620256877403&srt=rank&mode=Basic&&dum=true&v|fr eeText0\)=%22IOR%2FR%2F15%2F2%2F1283%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000229606&indx=1&recIds=IAMS040-000229606&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620256877403&srt=rank&mode=Basic&&dum=true&v|fr eeText0)=%22IOR%2FR%2F15%2F2%2F1283%22&vid=IAMS_VU2) (accessed on 9/17/2020).

<sup>312</sup> File 6499/1920 Pt 1-2 'Kuwait affairs.' 1920-1926. IOR/L/PS/10/925. India Office Records and Private Papers. British Library, London. [http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546241&indx=1&recIds=IAMS040-000546241&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620256967694&srt=rank&mode=Basic&&dum=true&v|fr eeText0\)=%22IOR%2FL%2FPS%2F10%2F925%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546241&indx=1&recIds=IAMS040-000546241&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.secs=scope%3A%28BL%29&tab=local&dstmp=1620256967694&srt=rank&mode=Basic&&dum=true&v|fr eeText0)=%22IOR%2FL%2FPS%2F10%2F925%22&vid=IAMS_VU2) (accessed on 9/30/2020).

of the concession, in Arabic and English can be found at folios 21-41 and 211-218.<sup>313</sup>

**Ex. 6.**

Reference: IOR/R/15/1/646

Title: '86/1 X Kuwait Oil (D 131)'

Collection Area: India Office Records and Private Papers

Contents and Scope: The file primarily contains correspondence between the Shaikh of Kuwait (Shaikh Aḥmad al-Jābir Āl Ṣabāḥ), the Political Agent at Kuwait (Harold Dickson and Gerald Simpson DeGaury), the Political Resident in the Persian Gulf (Trenchard Craven Fowle and Percy Gordon Loch), the India Office (John Charles Walton, Gilbert Laithwaite and Maurice Clausen) and the Kuwait Oil Company (abbreviated as KOC).<sup>314</sup>

**Ex. 7.**

Reference: IOR/L/PS/10/1003

Title: File 2794/1921 Pt 15 'Oil. Koweit Neutral Zone. On concessions in.'

Collection Area: India Office Records and Private Papers

Contents and Scope: Correspondents include: the Political Resident in the Persian Gulf (Trenchard Craven Fowle); the Secretary of State for the Colonies; the Secretary of State for India; the Political Agent, Kuwait (H.R.P. Dickson); and Abdul Aziz bin Abdur Rahman Al Faisal (Ibn Saud).<sup>315</sup>

**Ex. 8.**

Reference: IOR/L/PS/10/992

Title: File 2794/1921 Pt 3B 'Persian Gulf: oil; Kuwait'

Collection Area: India Office Records and Private Papers

Contents and Scope: The principal correspondents include: the Political Agent, Kuwait; the Political Resident in the Persian Gulf; the Under-Secretary of State for the Colonies, Colonial Office, London; the Secretary of State for Foreign Affairs; officials of the Petroleum Department; the General-Manager, Anglo-Persian Oil

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<sup>313</sup> '86/1 IX, BL.

<sup>314</sup> '86/1 X Kuwait Oil (D 131).' 24 Apr 1935-13 May. 1937. IOR/R/15/1/646. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228111&indx=2&recIds=IAMS040-000228111&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257132464&srt=rank&mode=Basic&&dum=true&v\(fireText0\)=%22IOR%2FR%2F15%2F1%2F646%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228111&indx=2&recIds=IAMS040-000228111&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257132464&srt=rank&mode=Basic&&dum=true&v(fireText0)=%22IOR%2FR%2F15%2F1%2F646%22&vid=IAMS_VU2) (accessed on 10/8/2020).

<sup>315</sup> File 2794/1921 Pt 15 'Oil. Koweit Neutral Zone. On concessions in.' 3 May 1933-15 Aug 1935. IOR/L/PS/10/1003. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546383&indx=1&recIds=IAMS040-000546383&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257205730&srt=rank&mode=Basic&&dum=true&v\(fireText0\)=%22IOR%2FL%2FPS%2F10%2F1003%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546383&indx=1&recIds=IAMS040-000546383&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257205730&srt=rank&mode=Basic&&dum=true&v(fireText0)=%22IOR%2FL%2FPS%2F10%2F1003%22&vid=IAMS_VU2) (accessed on 10/10/2020).

Company (Edward Henry Omanney); and the Ruler of Kuwait (Shaikh Aḥmad al-Jābir Āl Ṣabāḥ).<sup>316</sup>

### **Multiple Provenance and/or Co-creatorship Based on “Title” Alone**

There are FAs where provenance can be determined from the “Title” alone and can be even further clarified from other elements of the FA, if need be. For example, many of these titles refer to key figures from both a British entity and a Gulf entity, thus establishing multiple provenance and/or co-creatorship by the British and the Gulf.

#### ***Ex.1.***

Reference: IOR/R/15/1/739

Title: ‘Treaties and undertakings in force between the British Government and the Rulers of Kuwait, 1841-1913’

Collection Area: India Office Records and Private Papers.

Contents and Scope: “The volumes are printed documents produced by the Government of India Foreign Department. The volumes contain transcripts of treaties and undertakings relating tyo [sic] Kuwait in English and (reading in from the rear of the volume) in Arabic...”<sup>317</sup>

#### ***Ex.2.***

Reference: IOR/R/15/2/1860

Title: ‘File B/3 Miscellaneous Correspondence with the Shaikh, the Notables and the Political Agent, Kuwait’

Collection Area: India Office Records and Private Papers.

Contents and Scope: The file contains correspondence relating to several complaint cases investigated by the Political Agent, Bahrain....”

“The correspondence is mainly between the Political Agents for Kuwait and Bahrain and the Political Resident in the Persian Gulf.

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<sup>316</sup> File 2794/1921 Pt 3B ‘Persian Gulf: oil; Kuwait.’ 1932-1933. IOR/L/PS/10/992. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546367&indx=1&recIds=IAMS040-000546367&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257276215&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FL%2FPS%2F10%2F992%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000546367&indx=1&recIds=IAMS040-000546367&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257276215&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FL%2FPS%2F10%2F992%22&vid=IAMS_VU2) (accessed on 9/10/2020).

<sup>317</sup> ‘Treaties and undertakings in force between the British Government and the Rulers of Kuwait, 1841-1913.’ c 1914. IOR/R/15/1/739. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228207&indx=1&recIds=IAMS040-000228207&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257407243&srt=rank&mode=Basic&&dum=true&vlf\(freeText0\)=%22IOR%2FR%2F15%2F1%2F739%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228207&indx=1&recIds=IAMS040-000228207&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257407243&srt=rank&mode=Basic&&dum=true&vlf(freeText0)=%22IOR%2FR%2F15%2F1%2F739%22&vid=IAMS_VU2) (accessed on 11/1/2020).

. . . There are also several letters in Arabic from the Ruler of Kuwait to the Political Agent, Kuwait about some of the complaints under investigation.<sup>318</sup>

**Ex.3.**

Reference: IOR/R/15/1/639

Title: ‘File 86/1 II (D 78) Kuwait Oil. Eastern and General Syndicate’

Collection Area: India Office Records and Private Papers

Contents and Scope: The volume continues [...] in discussing a proposed Oil Concession for Kuwait which is negotiated by Major Frank Holmes on behalf of the Eastern and General Syndicate Limited.

Central to the correspondence is a letter from Shaikh Aḥmad al-Jābir Āl Ṣabāḥ, Shaikh of Kuwait, to Major Frank Holmes . . .<sup>319</sup>

**Possible Multiple Provenance and/or Co-creatorship with the British, Gulf and other Nations (India, USA, France, and Spain)**

From this close reading I concluded that there is clear evidence for co-creatorship in many of the FAs of the Gulf-based materials. This information is found mostly within the “Contents and Scope” that may not be readily apparent in the “Reference,” “Title,” and/or “Collection Area,” which many readers may assume as singular provenance by the British.

Below are a few examples of FAs that contain information pertaining to British, Gulf and other national entities, such as the USA, India and other nations.

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<sup>318</sup> ‘File B/3 Miscellaneous Correspondence with the Shaikh, the Notables and the Political Agent, Kuwait.’ 26 Apr 1930-8 Dec 1949. IOR/R/15/2/1860. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000230211&indx=1&recIds=IAMS040-000230211&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257453230&srt=rank&mode=Basic&&dum=true&vlfirText0\)=%22IOR%2FR%2F15%2F2%2F1860%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000230211&indx=1&recIds=IAMS040-000230211&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257453230&srt=rank&mode=Basic&&dum=true&vlfirText0)=%22IOR%2FR%2F15%2F2%2F1860%22&vid=IAMS_VU2) (accessed on 10/1/2020).

<sup>319</sup> ‘File 86/1 II (D 78) Kuwait Oil. Eastern and General Syndicate.’ 25 May 1931-30 Jun 1932. IOR/R/15/1/639. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228104&indx=1&recIds=IAMS040-000228104&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257506732&srt=rank&mode=Basic&&dum=true&vlfirText0\)=%22IOR%2FR%2F15%2F1%2F639%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228104&indx=1&recIds=IAMS040-000228104&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257506732&srt=rank&mode=Basic&&dum=true&vlfirText0)=%22IOR%2FR%2F15%2F1%2F639%22&vid=IAMS_VU2) (accessed on 10/19/2020).

**Ex.1. Co-creatorship: British, Gulf, and USA**

Reference: IOR/R/15/1/686

Title: 'CONFIDENTIAL 86/13-II VOL. D.177. KUWAIT NEUTRAL ZONE'

Collection Area: India Office Records and Private Papers

Contents and Scope: The volume comprises correspondence between the Political Resident in the Persian Gulf (Trenchard C Fowle, Charles G Prior); the Political Agent at Kuwait (Gerald S de Gaury, Arnold C Galloway, Tom Hickinbotham); the India Office (John P Gibson, Roland T Peel); the Foreign Office (Lacy Baggallay, Charles W Baxter); His Majesty's Minister in Jeddah [Jiddah] (Sir Reader Bullard); Petroleum Concessions Limited (John Skliros, Stephen Hemsley Longrigg, Frank Holmes); the Shaikh of Kuwait (Shaikh Aḥmad al-Jābir Āl Ṣabāḥ) and the Arabian American Oil Company (ARAMCO, formerly the Standard Oil Company of California (SOCAL) and the Californian American Standard Oil Company (CASOC)).<sup>320</sup>

**Ex.2. Co-creatorship: British, Gulf, and USA**

Reference: IOR/R/15/1/697

Title: 'CONFIDENTIAL 86/28 - I Vol. D. 173 KUWAIT SULPHUR'

Collection Area: India Office Records and Private Papers

Contents and Scope: The volume comprises correspondence between the Political Resident in the Persian Gulf (Charles Geoffrey Prior), the Political Agent at Kuwait (Arnold C Galloway, Tom Hickinbotham, Cornelius J Pelly, Gordon N Jackson), the India Office (John Percival Gibson, Roland Tennyson Peel), the Shaikh of Kuwait (Shaikh Aḥmad al-Jābir Āl Ṣabāḥ) and the Gulf Oil Company (Ralph O Rhoades, William Smellie, A E Angus) regarding negotiation for a sulphur concession in Kuwait.<sup>321</sup>

**Ex.3. Co-creatorship: British, Gulf, USA, and Government of India**

Reference: IOR/R/15/1/638

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<sup>320</sup> 'CONFIDENTIAL 86/13-II VOL. D.177. KUWAIT NEUTRAL ZONE.' 12 Nov 1938-23 Nov 1946.

IOR/R/15/1/686. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228151&indx=1&recIds=IAMS040-000228151&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620257561076&srt=rank&mode=Basic&&dum=true&v|firText0\)=%22IOR%2FR%2F15%2F1%2F686%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228151&indx=1&recIds=IAMS040-000228151&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620257561076&srt=rank&mode=Basic&&dum=true&v|firText0)=%22IOR%2FR%2F15%2F1%2F686%22&vid=IAMS_VU2) (accessed on 11/1/2020).

<sup>321</sup> 'CONFIDENTIAL 86/28 - I Vol. D. 173 KUWAIT SULPHUR.' 27 Jan 1940-2 Dec 1945. IOR/R/15/1/697.

India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228162&indx=1&recIds=IAMS040-000228162&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620257884689&srt=rank&mode=Basic&&dum=true&v|firText0\)=%22IOR%2FR%2F15%2F1%2F697%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228162&indx=1&recIds=IAMS040-000228162&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620257884689&srt=rank&mode=Basic&&dum=true&v|firText0)=%22IOR%2FR%2F15%2F1%2F697%22&vid=IAMS_VU2) (accessed on 9/28/2020).



Title: ‘File 86/1 I (D 73) Eastern and General Syndicate - Proposed Oil Concession in Kuwait’

Collection Area: India Office Records and Private Papers

Contents and Scope: Included within the volume are copies of the draft agreements and correspondence between the Syndicate, the Colonial Office, The Government of India, The Political Resident in the Persian Gulf, The Political Agent in Kuwait and the Sheikh of Kuwait with regards to the various clauses proposed in the agreements. The correspondence focuses primarily on clauses in the draft agreement which would permit the Syndicate to pass any concessions granted on to their American owners, and the concerns of both the Sheikh of Kuwait (Aḥmad al-Jābir Āl Šabāḥ) and the British Government over British companies operating in Kuwait.<sup>322</sup>

### **Possible Multiple Provenance and/or Co-creatorship by the British and the Gulf:**

#### **Determined in “Title” and “Contents and Scope”**

What follows are some examples of FAs supporting my findings that the “Title” and “Contents and Scope” data elements supplement each other in making the case for multiple provenance and/or co-creatorship by the British and the Gulf. While either element can indicate provenance on its own, when factored in together, they provide a much clearer illustration of multiple provenance and/or co-creatorship.

#### ***Ex.1.***

Reference: IOR/R/15/2/1495

Title: ‘File 16/2 Correspondence between the Hon. the P.R. and H.E. the H.C. for Iraq and King Ibn Saud’

Collection Area: India Office Records and Private Papers

Contents and Scope: Correspondence between British Government officials, and between the Political Agent at Bahrain (Captain Charles Geoffrey Prior) and the King of Nejd and Hejaz (Ibn Saud [‘Abd al-‘Azīz bin ‘Abd al-Raḥmān bin Fayṣal Āl Sa‘ūd]), concerning territorial transgressions and treaties associated with the borders between Nejd and Kuwait, Iraq and Trans Jordanian [Jordan].<sup>323</sup>

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<sup>322</sup> ‘File 86/1 I (D 73) Eastern and General Syndicate - Proposed Oil Concession in Kuwait.’ 28 Aug 1925-1 Jun 1931. IOR/R/15/1/638. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228103&indx=2&recIds=IAMS040-000228103&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257612060&srt=rank&mode=Basic&&dum=true&vlfirText0\)=%22IOR%2FR%2F15%2F1%2F638%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228103&indx=2&recIds=IAMS040-000228103&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257612060&srt=rank&mode=Basic&&dum=true&vlfirText0)=%22IOR%2FR%2F15%2F1%2F638%22&vid=IAMS_VU2) (accessed on 9/20/2020).

<sup>323</sup> ‘File 16/2 Correspondence between the Hon. the P.R. and H.E. the H.C. for Iraq and King Ibn Saud.’ 3 Dec 1929-4 Mar 1930. IOR/R/15/2/1495. India Office Records and Private Papers. British Library, London.



**Ex.2.**

Reference: IOR/L/PS/12/3811

Title: Coll 30/91(1) ‘Koweit Oil Concession: Agreement between the Shaikh of Kuwait and the Kuwait Oil Company.’

Collection Area: India Office Records and Private Papers

Contents and Scope: The file concerns negotiations over the signing of the commercial agreement between the Shaikh of Kuwait, Shaikh Ahmad al-Jabir as-Sabah [Aḥmad al-Jābir Āl Ṣabāḥ] and the Kuwait Oil Company . . .

The main correspondents are the Foreign Office; representatives of the Anglo-Persian Oil Company, and the Kuwait Oil Company; the Political Resident in the Persian Gulf; and the Political Agent, Kuwait (Major Harold Richard Patrick Dickson, and, acting for Dickson, Major Ralph Ponsonby Watts).<sup>324</sup>

**Ex.3.**

Reference: IOR/R/15/1/644

Title: ‘86/1 VIII Kuwait Oil D 106’

Collection Area: India Office Records and Private Papers

Contents and Scope: The correspondence in the volume is primarily concerned with the ongoing negotiations between the Kuwait Oil Company (led by Frank Holmes and Archibald Chisholm) and the Shaikh of Kuwait, Shaikh Aḥmad al-Jābir Āl Ṣabāḥ. . . .” “Other correspondents in these negotiations are the Political Agent at Kuwait (Harold Dickson, with Ralph Ponsonby Watts acting) and the Political Resident in the Persian Gulf (Trenchard Craven Fowle, with Percy Gordon Loch acting).

The volume also includes confidential records of meetings held at the Foreign Office with Fuad Bey Hamza (Foreign Minister for Saudi Arabia) in which the possibility of dividing the neutral zone are discussed.<sup>325</sup>

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[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000229828&indx=1&recIds=IAMS040-000229828&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620257941521&srt=rank&mode=Basic&&dum=true&v1\(frceText0\)=%22IOR%2FR%2F15%2F2%2F1495%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000229828&indx=1&recIds=IAMS040-000229828&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620257941521&srt=rank&mode=Basic&&dum=true&v1(frceText0)=%22IOR%2FR%2F15%2F2%2F1495%22&vid=IAMS_VU2) (accessed on 9/30/2020).

<sup>324</sup> Coll 30/91(1), BL.

<sup>325</sup> ‘86/1 VIII Kuwait Oil D 106.’ 1 Jul 1934-31 Dec 1934. IOR/R/15/1/644. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228109&indx=1&recIds=IAMS040-000228109&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620258059213&srt=rank&mode=Basic&&dum=true&v1\(frceText0\)=%22IOR%2FR%2F15%2F1%2F644%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228109&indx=1&recIds=IAMS040-000228109&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620258059213&srt=rank&mode=Basic&&dum=true&v1(frceText0)=%22IOR%2FR%2F15%2F1%2F644%22&vid=IAMS_VU2) (accessed on 9/5/2020).

## Undetermined Provenance from all Data Elements: Insufficient Information

The following section contains examples of FAs where I determined that provenance cannot be understood solely by close reading because the elements do not contain enough information to determine direct creatorship and/or contribution by the entities mentioned within the FAs. There are several examples listed below, each with their own explanation as to why I cannot determine provenance.

### *Ex.1. Undetermined Due to Lack of Information on Physical Attendance*

Reference: IOR/L/PS/18/B431

Title: ‘Relations between His Majesty’s Government in the United Kingdom and the Sheikh of Koweit’

Collection Area: India Office Records and Private Papers

Contents and Scope: This secret memorandum, printed by the Foreign Office, contains a record of a meeting held at the Foreign Office on 5 October 1933 to discuss relations between Great Britain and the Sheikh of Koweit [Kuwait], Aḥmad bin Jābir Āl Ṣabāḥ, particularly in regards to Ibn Saud [‘Abd al-‘Aziz bin ‘Abd al-Raḥmān Āl Sa‘ūd]. The following were present at the meeting: Mr George William Rendel (Chair), Eastern Department of the Foreign Office; Mr K R Johnston, Foreign Office; Sir Andrew Ryan, His Majesty’s Minister at Jeddah; Lieutenant-Colonel Trenchard Craven William Fowle, Political Resident in the Persian Gulf; and Mr John Gilbert Laithwaite, India Office.<sup>326</sup>

This is a fairly complex example of a FA that does not clearly indicate a singular provenance by the British based on “Title” alone. The title may falsely imply co-creatorship because it states, “the Sheikh of Koweit.” This is further complicated because I do not know if the title was derived from the archives themselves or if the title was created during the creation of the FA.<sup>327</sup>

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<sup>326</sup> ‘Relations between His Majesty’s Government in the United Kingdom and the Sheikh of Koweit.’ 1934. IOR/L/PS/18/B431. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563579&indx=1&recIds=IAMS040-000563579&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620258148900&srt=rank&mode=Basic&&dum=true&vlf\(seeText0\)=%22IOR%2FL%2FPS%2F18%2FB431%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563579&indx=1&recIds=IAMS040-000563579&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620258148900&srt=rank&mode=Basic&&dum=true&vlf(seeText0)=%22IOR%2FL%2FPS%2F18%2FB431%22&vid=IAMS_VU2) (accessed on 9/5/2020).

<sup>327</sup> Also, in many cases it is the archives and not the creator who creates the title to an archival collection. Probably not in this case, but an important distinction when looking at why provenance has been claimed and by whom.

Rather, all the elements must be read to see that this “secret memorandum” was printed by the Foreign Office, a British entity, and singular provenance by the British may then be prematurely assumed. However, upon further reading of the “Contents and Scope,” it states a discussion regarding “relations between Great Britain and the Sheikh of Koweit [Kuwait], Aḥmad bin Jābir Āl Ṣabāḥ, particularly in regards to Ibn Saud . . .” This information is ambiguous because it cannot be determined whether or not the Sheikh of Koweit was physically present at this meeting. This information is not found in the FA. However, it might be found in the actual secret memorandum, but this is beyond the scope of this research. Thus, this may lean more towards a singular provenance by the British, based solely on the information found in the FA. A broader point is that the creation of the record and the creation of the description are both done by parties who make assumptions about what contextual knowledge others would have when coming to the record. Clearly these implicit assumptions do not hold up when collections are subsequently made available to new generations and to those who come from other cultural and bureaucratic contexts.

Also, there is confusion in regards to what is meant by “secret memorandum.” The question of what is meant by secret memorandum can clarify singular or multiple provenance, based on from whom this memorandum was kept secret. For example, was this kept secret from the Kuwaiti ruler? If so, then this is more evidence of a singular provenance by the British. If the Kuwaiti ruler was indeed physically present, and the secret memorandum was hidden from Ibn Saud, then this means a multiple provenance, since there may be contributions made by the Kuwaiti ruler in this meeting. This information is not made entirely clear from the FA alone, and so the opinions of a BL expert representative could be of assistance for this particular FA.

## ***Ex.2. Underdetermined Based on Intention of Memorandum***

Reference: IOR/L/PS/18/B427

Title: ‘Final Record of a Meeting Held at the Foreign Office on Thursday October 5th [1933] to Discuss Relations between His Majesty's Government in the United Kingdom and the Sheikh of Koweit’

Collection Area: India Office Records and Private Papers

Contents and Scope: This is a printed memorandum containing a record of a meeting held at the Foreign Office on 5 October 1933 to discuss relations between Great Britain and the Sheikh of Koweit [Kuwait], Aḥmad bin Jābir Āl Ṣabāḥ, particularly in regards to Ibn Saud [‘Abd al-‘Aziz bin ‘Abd al-Raḥmān Āl Sa‘ūd].

The following were present at the meeting: Mr George William Rendel (Chair), Eastern Department of the Foreign Office; Mr K R Johnston, Foreign Office; Sir Andrew Ryan, His Majesty's Minister at Jeddah; Lieutenant-Colonel Trenchard Craven William Fowle, Political Resident in the Persian Gulf; and Mr John Gilbert Laithwaite, India Office.

The memorandum also includes two appendices: ‘Appendix A. Note by Sir Andrew Ryan. Ibn Saud's attitude towards Koweit’, dated 16 August 1933 (folios 14-17); and ‘Appendix B. Provisional Note. Obligations of His Majesty’s Government towards the Sheikh of Koweit’, 11 October 1933, by Sir John Gilbert Laithwaite (folios 18-25), which includes sections entitled ‘A. Nature of the undertakings given’, ‘B. Constitution of the undertakings given to the Sheikh’, and ‘Conclusion’, with references to various correspondence in the right hand margin.<sup>328</sup>

This example may appear similar to the previous one at first, but upon closer reading, the type of memorandum is slightly different. This is not a secret memorandum but rather a printed public memorandum. The question here then becomes, what is the difference between a secret memorandum and a public one, and what are the intentions of both? This will help determine creatorship and provenance when the FA elements are all taken into consideration. Again this raises broader questions about what is knowable about the context of creation by parties who

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<sup>328</sup> ‘Final Record of a Meeting Held at the Foreign Office on Thursday October 5th [1933] to Discuss Relations between His Majesty’s Government in the United Kingdom and the Sheikh of Koweit.’ 11 Oct 1933. IOR/L/PS/18/B427. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563575&indx=1&recIds=IAMS040-000563575&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620258227309&srt=rank&mode=Basic&&dum=true&v1\(fr ceText0\)=%22IOR%2FL%2FPS%2F18%2FB427%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563575&indx=1&recIds=IAMS040-000563575&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620258227309&srt=rank&mode=Basic&&dum=true&v1(fr ceText0)=%22IOR%2FL%2FPS%2F18%2FB427%22&vid=IAMS_VU2) (accessed on 9/18/2020).

come to the materials after the fact (e.g., archivists, scholars, members of the public from Gulf states). Thus, provenance is undetermined, and this can be further cleared up by a BL expert representative.

### ***Ex.3. Undetermined Provenance Due to Unidentified Attendees***

Reference: IOR/L/PS/12/4115A

Title: Coll 35/12(2) 'Kuwait: post and telegraph office and telephones; participation of Iraq in Empire Air Mail Scheme; Cable and Wireless Agreement with Shaikh of Kuwait'

Collection Area: India Office Records and Private Papers

Contents and Scope: The file concerns the Post and Telegraph Office and mail delivery in Kuwait.

“The file contains:

- Commercial agreement between ruler of Kuwait and Cable and Wireless Limited, 1941
- Construction of wireless station at Kuwait, administered by Cable and Wireless Limited, 1941
- Interruption of postal service between Kuwait and Iraq, 1941
- Transfer of administration of Kuwait postal business to Indian Postal Administration, 1941
- Agreements with Kuwait - Zubair Transport Company for motor vehicle mail service, 1942-43
- Establishment of a Money Order Service between Iraq and Kuwait, 1942
- Draft agreements between the ruler of Kuwait [Shaikh Aḥmad al-Jābir Āl Ṣabāḥ] and Cable and Wireless Limited, regarding the maintenance of the wireless telegraph station at Kuwait, 1946-47
- Agreement between the ruler of Kuwait [Shaikh Aḥmad al-Jābir Āl Ṣabāḥ] and Cable and Wireless Limited, regarding the maintenance of the wireless telegraph station at Kuwait, in English and Arabic, 1947.”

“The file is composed of correspondence between Cable and Wireless Limited, the Political Agent at Kuwait, the Political Resident in the Persian Gulf, the Government of India, the Foreign Office, the India Office, the Ministry of Foreign Affairs of Iraq, the British Embassy at Baghdad, Harris Publications Limited, the Commonwealth Communications Council, the General Post Office, and the Treasury.<sup>329</sup>

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<sup>329</sup> Coll 35/12(2) 'Kuwait: post and telegraph office and telephones; participation of Iraq in Empire Air Mail Scheme; Cable and Wireless Agreement with Shaikh of Kuwait.' 26 Mar 1941-15 Dec 1947. IOR/L/PS/12/4115A. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000559203&indx=1&recIds=IAMS040-000559203&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620258361970&srt=rank&mode=Basic&&dum=true&v1\(fr ceText0\)=%22IOR%2FL%2FPS%2F12%2F4115A%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000559203&indx=1&recIds=IAMS040-000559203&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620258361970&srt=rank&mode=Basic&&dum=true&v1(fr ceText0)=%22IOR%2FL%2FPS%2F12%2F4115A%22&vid=IAMS_VU2) (accessed on 10/17/2020).

This is another example of a FA that contains insufficient information regarding the provenance and creatorship of this holding. The “Contents and Scope” element lists correspondence between organizations and does not explicitly state actual attendees, whether or not the Ruler of Kuwait was physically present in any of these agreement meetings, or if British representatives were acting on behalf of the Kuwaiti government instead. Hence, based on the description alone and not the physical materials or digitized material, the provenance can be determined by the “Collections Area” as a singular provenance by the British. Thus, there is still a possibility that there might be co-creatorship and/or multiple provenance based on the information provided within the Agreements themselves and/or from the BL representative(s).

***Ex.4. Undetermined Due to Missing Creator of the Note***

Reference: IOR/L/PS/18/B333

Title: ‘Note on Kuwait’

Collection Area: [Not given]

Contents and Scope: This note gives a very short history of Kuwait in eight paragraphs. It provides brief details of the ruling Ibn Subah family [Āl Ṣabāḥ], including Mubarak Ibn Subah [Mubārak bin Ṣabāḥ], Jabir [Jābir bin Mubārak] and Salim [Sālīm bin Mubārak], and their relations with the Britain, Ibn Saud [‘Abd al-‘Azīz bin ‘Abd al-Raḥman bin Fayṣal Āl Sa‘ūd] and the King of Hejaz [Ḥusayn bin ‘Alī al-Hāshimī]. Also mentioned are 'promising signs of oil', trade, the American Mission, and education.<sup>330</sup>

Here is an example of a vague FA that does not contain enough information to determine provenance or creatorship. The “Collection Area” is not given, and the “Contents and Scope” element does not provide details on who created the note. The “Reference” indicates this is from the India Office Records. Thus, provenance cannot be determined from the data elements in this FA. This also would benefit from further clarification from an expert BL representative.

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<sup>330</sup> ‘Note, BL.

## Undetermined Provenance from all Data Elements: No Description Given

Aside from the holdings' "Reference" and "Collection area" that can be determined as British provenance, there is no information given under "Contents and Scope" as to the provenance for these specific examples below. For the FAs where no description is given, I concluded that provenance is more difficult to determine because there is evidence (see above) for multiple provenance and/or co-creatorship based on the information provided under "Contents and Scope" for many of the FAs at the BL. In other words, the information that is commonly provided under "Contents and Scope" mostly clarifies or provides more in-depth detail about the creator. Thus, this information may need to be gathered and further clarified by a representative from the BL.

### *Ex.1.*

Reference: IOR/L/PS/12/1010

Title: Ext 3373/45 Civilian requirements for Persian Gulf, including Kuwait

Collection Area: India Office Records and Private Papers

Contents and Scope: [There is no description given.]<sup>331</sup>

### *Ex.2.*

Reference: IOR/L/PS/12/339

Title: PZ 1070/40(2) 'Transmission of F.O. secret packets to & from Consulates etc. abroad'

Collection Area: India Office Records and Private Papers

Contents and Scope: [There is no description given.]<sup>332</sup>

### *Ex.3.*

Reference: IOR/R/15/2/878

Title: 'File 39/7 (10/9) Kuwait Oil Concession'

Collection Area: India Office Records and Private Papers

Contents and Scope: [There is no description given.]<sup>333</sup>

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<sup>331</sup> Ext 3373/45, BL.

<sup>332</sup> PZ 1070/40(2), BL.

<sup>333</sup> 'File 39/7 (10/9), BL.

Upon conclusion of the close reading of the 230 FAs of the BL holdings, I concluded that there is no explicitly stated data element that is consistently provided for provenance/creators, except for a few FAs. Overall, there is no uniform application of provenance. Rather, certain FAs can be determined as having singular provenance by the British, while other FAs provide evidence for the possibility of co-creatorship by the British and the Gulf. There are also a few FAs with information that supports co-creatorship with other entities such as India and the USA. Overall, I provided one or more elements of each FA to determine how provenance was understood by the British creating agencies and by the archivists who later described them, as well as whether or not the FAs contained cues to a more complex understanding of provenance that could be further explicated in those descriptions. For this reason, provenance was determined based on the specific data elements of the FAs; and the examples provided above were categorized based on the understanding of how I determined singular provenance, multiple provenance and/or co-creatorship by the British and the Gulf based on the information provided in the elements of the FAs.

### **1.1.2. Evidence for the Gulf Peoples as Co-creators of the Records and not Simply Subjects**

Phase One also includes the close reading of the 230 FAs of the BL, in order to address Research Question A.1.1., “How have the Gulf peoples and their organizations been represented in the finding aids?” Many of the FAs include the official titles, positions and full names of the Gulf peoples and organizations and list them as such in the “Title,” and “Contents and Scope” data elements of the FAs. More specifically, the BL describes the Gulf peoples (their governments, organizations, and companies) as having a more direct contribution as authority



figures who initiate and create important laws, regulations, and correspondence with the British government and are directly responsible for the creation of the many records.

This is evident in many FAs that require the approval of the ruler of Kuwait or are dependent on the physical meeting with Gulf rulers. Additionally, many of these key Gulf figures are described with their respective titles, such as “Sheikh/Shaiikh” (ruler), His Excellency (H.E.), Head, and other notable titles and positions that are similar to their British counterparts. Furthermore, the British entities describe the Gulf rulers and other Gulf leaders as having an important part in determining Gulf-related affairs, land use, trade, oil negotiations, and other important correspondences and political decisions as are described as “primary,” “notable,” “principal,” and “main” correspondents in many of the FAs. What is more significant is information regarding travel regulations to and from the Gulf region. This includes the requirement of a visitor visa and passport, which indicates the Gulf nations as sovereign entities that create their own travel regulations outside of total British control.

### **The Gulf Co-creators Described by their Official Titles**

#### ***Ex.1. The Kuwait Ruler Referred to as His Excellency and Shaikh (Ruler) and the***

#### ***Requirement of his Approval for Important Regulations***

Reference: IOR/L/PS/18/B441

Title: ‘Air navigation regulations for civil aircraft for the territory of Koweit, and conditions governing the use of the aerodrome at Koweit, approved by His Excellency Sheikh Sir Ahmad al-Jabir As-Sabah, KCIE, CSI, Ruler of Koweit.’

Collection Area: India Office Records and Private Papers

Contents and Scope: Air navigation regulations (PZ 4125/34) for civil aircraft flying over and landing at Kuwait [spelt Koweit throughout], dated 23 May 1934, with conditions governing the use of the aerodrome at Kuwait, approved by the ruler of Kuwait, Shaikh Aḥmad al-Jābir Āl Ṣabāḥ.

The air navigation regulations cover: authorisation for aircraft flying over or landing in Kuwait; requirements for aircraft registration, certification, personnel and documentation; submission of licenses by aircraft personnel on the demand of the Kuwait authorities; compliance of aircraft with lights and signal regulations, as prescribed in the Convention for Regulation of Aerial Navigation (13 October

1919); access to aircraft by authorised personnel; submission of visitors to procedure prescribed by the Public Health Administration on arrival and departure; notification of intended arrival and departure to the Customs, Public Health and Police Administrations; passport and visa requirements for passengers; declaration of laws applying to the import and export of goods by land and sea being equally applicable to those goods arriving and departing by air; use of law in the event of contravention of regulations.<sup>334</sup>

***Ex.2. Kuwait Ruler Referred to as one of the Heads [of Agreement] Similar to his British Counterpart, His Highness, and Shaikh (Ruler)***

Reference: IOR/L/PS/18/B472

Title: ‘Heads of Agreement between His Majesty’s Government in the United Kingdom and His Highness the Shaikh of Kuwait’

Collection Area: India Office Records and Private Papers

Contents and Scope: This printed memorandum contains the heads of agreement of the Kuwait Civil Air Agreement between the United Kingdom and Kuwait, signed by the ruler of Kuwait [Shaikh Aḥmad bin Jābir Āl Ṣabāḥ], and Captain Gerald Simpson de Gaury, Political Agent at Kuwait dated 23 May 1938. The agreement contains seventeen numbered paragraphs with details concerning the establishment of an aerodrome or aerodromes and ancillary services, as well as landing and housing fees, supply of fuel and lubricants, appointment of agents, and an exemption of duty charges on petrol and oil.<sup>335</sup>

***Ex.3. The Kuwait Ruler Referred to as a Primary Correspondent and Shaikh (Ruler)***

***Alongside British Primary Correspondents***

Reference: IOR/R/15/1/647

Title: ‘D.158. 86/1 - xi KUWAIT OIL’

Collection Area: India Office Records and Private Papers

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<sup>334</sup> ‘Air navigation regulations for civil aircraft for the territory of Koweit, and conditions governing the use of the aerodrome at Koweit, approved by His Excellency Sheikh Sir Ahmad al-Jabir As-Sabah, KCIE, CSI, Ruler of Koweit.’ c 1934. IOR/L/PS/18/B441. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563589&indx=1&recIds=IAMS040-000563589&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259078112&srt=rank&mode=Basic&&dum=true&vlfirText0\)=%22IOR%2FL%2FPS%2F18%2FB441%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563589&indx=1&recIds=IAMS040-000563589&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259078112&srt=rank&mode=Basic&&dum=true&vlfirText0)=%22IOR%2FL%2FPS%2F18%2FB441%22&vid=IAMS_VU2) (accessed on 10/26/2020).

<sup>335</sup> ‘Heads of Agreement between His Majesty’s Government in the United Kingdom and His Highness the Shaikh of Kuwait.’ 23 May 1938. IOR/L/PS/18/B472. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563624&indx=1&recIds=IAMS040-000563624&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259155527&srt=rank&mode=Basic&&dum=true&vlfirText0\)=%22IOR%2FL%2FPS%2F18%2FB472%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563624&indx=1&recIds=IAMS040-000563624&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259155527&srt=rank&mode=Basic&&dum=true&vlfirText0)=%22IOR%2FL%2FPS%2F18%2FB472%22&vid=IAMS_VU2) (accessed on 10/28/2020).

Contents and Scope: The primary correspondents are the Kuwait Oil Company; Shaikh of Kuwait (Shaikh Aḥmad al-Jābir Āl Ṣabāh); the Political Agent at Kuwait (Gerald Simpson de Gaury, Andrew Charles Stewart); the Political Resident at Bushire (Trenchard Craven Fowle, Charles Geoffrey Prior); the Secretary of State for India (Lawrence Dundas, the 2nd Marquess of Zetland) and India Office staff (J P Gibson, Alexander Symon, Roland Tennyson Peel)<sup>336</sup>

***Ex.4. The Gulf Rulers and Ministers Referred to as Notable Correspondents Along with the British Notable Correspondents***

Reference: IOR/L/PS/12/2123

Title: Coll 6/56 ‘Saudi-Arabia: Prevention of use of Bahrein and Kuwait as bases for activities against Nejd (Ibn Hithlain)’

Collection Area: India Office Records and Private Papers

Contents and Scope: Notable correspondents include the following: His Majesty’s Chargé d’Affaires to Jedda (Albert Spencer Calvert); His Majesty’s Minister at Jedda (Sir Andrew Ryan); the Secretary of State for the Colonies (Philip Cunliffe-Lister); the Saudi Minister for Foreign Affairs [Fayṣal bin ‘Abd al-‘Azīz Āl Sa‘ūd]; the Saudi Ministry of Foreign Affairs.<sup>337</sup>

***Ex.5. The Ruler of Kuwait Referred as a Principal Correspondent Amongst other British Principal Correspondents***

Reference: IOR/L/PS/10/992

Title: File 2794/1921 Pt 3B ‘Persian Gulf: oil; Kuwait’

Collection Area: India Office Records and Private Papers

Contents and Scope: The principal correspondents include: the Political Agent, Kuwait; the Political Resident in the Persian Gulf; the Under-Secretary of State for the Colonies, Colonial Office, London; the Secretary of State for Foreign Affairs;

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<sup>336</sup> ‘D.158. 86/1 - xi KUWAIT OIL.’ 3 May 1937-30 Sep 1941. IOR/R/15/1/647. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228112&indx=1&recIds=IAMS040-000228112&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=162025923144&srt=rank&mode=Basic&&dum=true&v1\(frceText0\)=%22IOR%2FR%2F15%2F1%2F647%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228112&indx=1&recIds=IAMS040-000228112&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=162025923144&srt=rank&mode=Basic&&dum=true&v1(frceText0)=%22IOR%2FR%2F15%2F1%2F647%22&vid=IAMS_VU2) (accessed on 10/20/2020).

<sup>337</sup> Coll 6/56 ‘Saudi-Arabia: Prevention of use of Bahrein and Kuwait as bases for activities against Nejd (Ibn Hithlain).’ 10 Jul 1933-31 Jul 1936. IOR/L/PS/12/2123. India Office Records and Private Papers. British Library, London.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000557143&indx=1&recIds=IAMS040-000557143&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620259281941&srt=rank&mode=Basic&&dum=true&v1\(frceText0\)=%22IOR%2FL%2FPS%2F12%2F2123%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000557143&indx=1&recIds=IAMS040-000557143&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.seps=scope%3A%28BL%29&tab=local&dstmp=1620259281941&srt=rank&mode=Basic&&dum=true&v1(frceText0)=%22IOR%2FL%2FPS%2F12%2F2123%22&vid=IAMS_VU2) (accessed on 10/27/2020).

officials of the Petroleum Department; the General-Manager, Anglo-Persian Oil Company (Edward Henry Omanney); and the Ruler of Kuwait (Shaikh Aḥmad al-Jābir Āl Ṣabāḥ).<sup>338</sup>

***Ex.6. Ruler of Kuwait Referred to as Sheikh (Ruler) and a Main Correspondent with other Key British Officials***

Reference: IOR/R/15/1/468

Title: ‘File 45/23 I (D 140) Kuwait Reforms’

Collection Area: India Office Records and Private Papers

Contents and Scope: The main correspondents include: Gerald de Gaury, Political Agent at Kuwait; Trenchard Fowle, Political Resident at Bushire; Lawrence Dundas, Secretary of State for India; the Foreign Office in London; Maurice Peterson, British Ambassador in Iraq; Air Officer Commanding for British Forces in Iraq; Sheikh Ahmad al-Jaber al-Sabah [Āl Ṣabāḥ, Shaikh Aḥmad al-Jābir], Ruler of Kuwait; and other Government of India officials.<sup>339</sup>

Thus, based on the aforementioned examples, it is clearly evident in the description that the Gulf peoples and organizations are not only co-creators, but also seen as participants with the British and not simply subjects of the records or as passive participants. The Gulf peoples were recorded as granting authority, signing regulation, and attending important high official meetings. Additionally, the British listed the official titles and positions of the Gulf rulers and key figures, which indicate a high level of respect and authority paid to them by the British. This shows the Gulf as an equitable co-creatorship of the records with the British.

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<sup>338</sup> File 2794/1921, BL.

<sup>339</sup> ‘File 45/23 I (D 140) Kuwait Reforms.’ 4 Apr 1938-19 Sep 1938. IOR/R/15/1/468. India Office Records and Private Papers. British Library, London.  
[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000227920&indx=2&recIds=IAMS040-000227920&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259434595&srt=rank&mode=Basic&&dum=true&v1\(frceText0\)=%22IOR%2FR%2F15%2F1%2F468%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000227920&indx=2&recIds=IAMS040-000227920&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259434595&srt=rank&mode=Basic&&dum=true&v1(frceText0)=%22IOR%2FR%2F15%2F1%2F468%22&vid=IAMS_VU2) (accessed on 9/11/2020).

### **1.1.3. No Clear Evidence for any Updates to the Finding Aids to Reflect Multiple Provenance and Co-creatorship**

In addition to determining provenance and the status of the Gulf peoples, the first set of Research Questions (A) also aims to address provenance as it relates to updates to the FAs. More specifically, Question A.1.2., asks, “Have the descriptions been updated at any point to reflect changing ideas about provenance in the archival field that might more directly recognize Gulf peoples and their organizations as co-creators?” The short answer to this question is no. However, that is not to say that no changes or updates have been made whatsoever. In general, the BL added links to the digitized versions of the Gulf-based materials and their FAs online. These links redirect to QDL’s website where one can directly access the digitized versions of the holdings as well as their FAs within QDL. More specifically, more than 200 FAs include links to the digitized versions, which leaves only a few FAs without any links.

However, there is no evidence that updates have been made in regards to multiple provenance and/or co-creatorship. The FAs also do not include information that detail when they were created nor do they include information on who created them. Overall, there is no evidence of updates to account for the changes to provenance in the archival field.

### **1.2. A Within-case Analysis: Qatar Digital Library (QDL)**

The FAs of QDL are each located on one webpage and use different labels for their elements when compared to the BL. Unlike the BL, QDL FAs start with a brief description of each discrete holding. The description is found under the digitized images of the holding (physically located in the BL) and prefaces the main elements of the FAs. This brief description provides the reader with a concise overview of the holding by including: “Extent and Format,”

“Creation Date,” “Language,” and the “Physical Location” of the original/physical material. The main elements of the FAs come after this description.

Each data element contains one or more sub-labels that differ from BL’s overall elements and structure. However, the information found within the “Content,” “Arrangement,” and “Physical Characteristics” of QDL FAs are essentially identical to the BL minus a few exceptions. One of these exceptions is that, while the BL uses the label “Contents and Scope,” QDL uses the term “Content” only. The information found under both elements are essentially identical with certain exceptions for very few FAs. The following is the breakdown of QDL’s labels for their FA elements:

- 1) “About this Record,” which includes the following sub-labels: “Content,” “Extent and Format,” “Arrangement,” “Physical Characteristics,” “Written in,” and “Type.”
- 2) “Archive Information for this Record,” which is further divided into two main sub-labels:
  - a. “Access” and “Reference” and includes the following labels: “Original held at,” “Access Conditions,” “Archives Reference,” and “Former External Reference(s).”
  - b. “History of the Record,” which includes the Date(s).
- 3) “Related Search Terms,” which includes the sub-labels: “Subjects,” “Places,” and “People and Organizations.”
- 4) “Use and Share this Record,” which is divided into:
  - a. “Share this Record” [Twitter and Facebook], “Cite this Record in your Research,” “Link to this Record,” “IIIF [International Image Interoperability] Details”
  - b. “Copyright:” “How to Use this Content” and it includes: “Reference,” “Title,” “Pages,” “Author,” and “Usage Terms.”
- 5) “Related Articles”

This aforementioned structure and format of the elements and its sub-labels are essentially the same for the majority of QDL FAs. However, there are special cases that were found during the close examination of the FAs from QDL that may or may not include all of the elements or may even include additional elements that are not found in the majority of the FAs in QDL. One significant element that is not found in BL but included in all QDL FAs is “Copyright.” The details under this element illustrate how the pages are broken down into page ranges and their corresponding authors.

### **1.2.1. Finding Aids in English**

After completing the close reading of the 230 FAs of QDL in English, I was then able to address General Research Question B and its sub-questions regarding the Gulf-based institutions. General Research Question B inquires, “How did the Gulf-based cultural heritage institutions [i.e., QNL and NA UAE] describe the digitized materials shared by the British?” The sub-questions under General Research Question B more specifically address the languages used in the descriptions and whether they are available to the public. Research Question B.1.0. asks, “Did they use and/or translate the original British descriptions?” If so, then sub-question B.1.1. continues on to question, “Was the English description from the British finding aids presented to the public?” When the FAs of the BL and QDL were compared and contrasted, the English description of QDL FAs were essentially identical to the BL FAs, and the description was presented to the public. The identical information found within QDL that was taken from the BL elements are: “Reference,” “Title,” “Contents and Scope,” “Arrangement,” and “Physical Characteristics.” There are a few exceptions, but the majority of the FAs uses the BL’s contents for the aforementioned elements.

## **Descriptions Added to the “Content” in QDL that are Not Found Under “Contents and Scope” in the BL**

The first such case of a difference is the information found under “Content” in QDL that is not found under “Contents and Scope” data element in the BL. The “Contents and Scope” element of the BL FA is renamed or labeled as “Content” in QDL but contains the same information (where applicable). There are three discrete holdings in this example where these descriptions follow the same writing style of the rest of the BL description that QDL used. The reference numbers for these three holdings are: IOR/L/PS/12/1010,<sup>340</sup> IOR/L/PS/12/339,<sup>341</sup> and IOR/R/15/2/878.<sup>342</sup>

## **“Titles” in the Finding Aids of QDL that do not Match the “Titles” in the BL**

There are also two cases in which the FAs’ titles in QDL do not match that of the titles in the BL. The reference numbers for these examples are: IOR/L/PS/10/990<sup>343</sup> and IOR/R/15/2/724<sup>344</sup>

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<sup>340</sup> Ext 3373/45 ‘Civilian requirements for Persian Gulf, including Kuwait.’ 6 May 1945-1 Apr 1948 (CE, Gregorian). IOR/L/PS/12/1010. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000517.0x0000b1](https://www.qdl.qa/en/archive/81055/vdc_100000000517.0x0000b1) (accessed on 11/3/2020).

<sup>341</sup> PZ 1070/40(2) ‘Transmission of F.O. secret packets to & from Consulates etc. abroad.’ 26 Apr 1941-1 Jan 1946 (CE, Gregorian). IOR/L/PS/12/339. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000466.0x0002d6](https://www.qdl.qa/en/archive/81055/vdc_100000000466.0x0002d6) (accessed on 11/7/2020).

<sup>342</sup> ‘File 39/7 (10/9) Kuwait Oil Concession.’ 21 Mar 1936-16 May 1947 (CE, Gregorian) IOR/R/15/2/878. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000241.0x000141](https://www.qdl.qa/en/archive/81055/vdc_100000000241.0x000141) (accessed on 11/8/2020).

<sup>343</sup> File 2794/1921 Pt 3 ‘Persian Gulf: Oil: Koweit.’ IOR/L/PS/10/990. 1925-1931 (CE, Gregorian). Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000419.0x000376](https://www.qdl.qa/en/archive/81055/vdc_100000000419.0x000376) (accessed on 11/7/2020).

<sup>344</sup> ‘File 28/32 I Recruitment in Persian Gulf states.’ 11 May 1942-28 Jul 1943 (CE, Gregorian). IOR/R/15/2/724. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000241.0x000076](https://www.qdl.qa/en/archive/81055/vdc_100000000241.0x000076) (accessed on 11/1/2020).



### **“Reference” Added to Finding Aids in QDL But Absent from BL Finding Aids**

There is one FA in QDL that contains a reference, but the paired FA in the BL does not contain a reference: IOR/L/PS/12/338.<sup>345</sup>

### **“Collection Area” Added to Finding Aids in QDL but not Found in Paired BL Finding Aids**

There are two FAs in QDL where the “Collection Area” element is added and are not found in its paired FAs in the BL. There are two examples of this: IOR/L/PS/12/3919<sup>346</sup> and Photo 667/4/497.<sup>347</sup>

### **“Creator” Missing from QDL Finding Aids but Included in the BL Finding Aids**

Just as there are added elements in QDL FAs, there are also missing elements that exist in the BL FAs but are not in QDL FAs. The “Creator” element is missing from these two examples: IOR/L/PS/10/977<sup>348</sup> and Mss Eur A230.<sup>349</sup>

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<sup>345</sup>PZ 1070/40(1) ‘Transmission of F.O. secret packets to & from Consulates etc., abroad.’ 16 Jan 1931-23 Jul 1941 (CE, Gregorian). IOR/L/PS/12/338. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000466.0x0002d5](https://www.qdl.qa/en/archive/81055/vdc_100000000466.0x0002d5) (accessed on 11/2/2020).

<sup>346</sup> Coll 30/181 ‘Development of Education in the Arab States.’ 16 Jan 1939-1 Apr 1948 (CE, Gregorian). IOR/L/PS/12/3919. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000648.0x0001e9](https://www.qdl.qa/en/archive/81055/vdc_100000000648.0x0001e9) (accessed on 11/8/2020).

<sup>347</sup> ‘Oil flare-Ahmadi.’ Photographer: Arthur Edward Broadbent Parsons. Photo 667/4/497. Jan-Mar 1956 (CE, Gregorian). Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100028716474.0x00000b](https://www.qdl.qa/en/archive/81055/vdc_100028716474.0x00000b) (accessed on 11/13/2020).

<sup>348</sup> File 1749/1921 ‘Persian Gulf:- Residency news summaries 1921-25.’ 17 Mar 1921-29 Mar 1926 (CE, Gregorian). IOR/L/PS/10/977. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000419.0x000369](https://www.qdl.qa/en/archive/81055/vdc_100000000419.0x000369) (accessed on 11/15/2020).

<sup>349</sup> Shakespear, William Henry Irvine: diary of journey across central Arabia. 1914 (CE, Gregorian). Mss Eur A230. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000063.0x0003ba](https://www.qdl.qa/en/archive/81055/vdc_100000000063.0x0003ba) (accessed on 11/10/2020).

### **“Appraisal” Element Missing from QDL Finding Aids but Exist in the BL Finding Aids**

There are three FAs in QDL that are missing the “Appraisal” element found in their paired BL FAs. These are: IOR/R/15/1/641,<sup>350</sup> IOR/R/15/1/642,<sup>351</sup> and IOR/R/15/1/645.<sup>352</sup>

### **“Custodial History” Element of Paired BL Finding Aids Relabeled as “Provenance” in QDL**

The information contained under the element “Provenance” in QDL is identical to the information found under the element “Custodial History” in the BL. Their reference numbers are: IOR/R/15/1/727<sup>353</sup> and IOR/L/PS/20/153.<sup>354</sup>

### **“History: Origin” Element of Finding Aids in the BL Relabeled as “Context of Creation” in the Paired QDL Finding Aids**

Similarly, there are a few examples of FAs in QDL that use a different label for the same information found under the “History: Origin” element in their paired FAs in the BL. This

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<sup>350</sup> ‘File 86/1 V (D 96) Kuwait Oil.’ 1 Jul 1933-28 Feb 1934 (CE, Gregorian). IOR/R/15/1/641. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x000267](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x000267) (accessed on 11/15/2020).

<sup>351</sup> ‘File 86/1 VI (D 97) Kuwait Oil.’ 7 Feb 1934-30 Apr 1934. (CE, Gregorian). IOR/R/15/1/642. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x000268](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x000268) (accessed on 11/15/2020).

<sup>352</sup> ‘86/1 IX Kuwait Oil (D 111).’ 21 Dec 1934-30 Apr 1935 (CE, Gregorian). IOR/R/15/1/645. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x00026b](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x00026b) (accessed on 11/15/2020).

<sup>353</sup> ‘Persian Gulf Gazetteer Part II, Geographical and Descriptive Materials, Section II Western Side of the Gulf.’ 1904 (CE, Gregorian). IOR/R/15/1/727. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x0002bd](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x0002bd) (accessed on 11/12/2020).

<sup>354</sup> ‘Koweit [Kuwait]. A report compiled in the Intelligence Branch, Quarter Master General’s Department.’ 1903 (CE, Gregorian). IOR/L/PS/20/153. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000912.0x000055](https://www.qdl.qa/en/archive/81055/vdc_100000000912.0x000055) (accessed on 11/10/2020).

element is found under “Context of Creation” in the paired QDL’s FAs with the reference numbers: IOR/L/PS/12/3811,<sup>355</sup> IOR/R/15/2/71<sup>356</sup> and Mss Eur F226/28.<sup>357</sup>

### **Finding Aids Where Two or More Elements are Changed in QDL**

There is one FA where the “Creator” element exists in the BL but is missing from QDL FA. Also, the “History: Origin” element in the BL has been changed to “Context of Creation” in QDL. Similarly, QDL decided to keep the “Immediate Source of Acquisition” element label the same as the BL’s FA. This reference is Mss Eur A230.<sup>358</sup>

### **Finding Aids Where QDL Adds a “Copyright” Data Element not Found in BL**

One unique difference between the English FAs in QDL and the BL’s FAs is the addition of a data element titled “Use and Share this Record,” which contains additional information, such as the links to the FA, as well as copyright information. This added element is not found in the BL’s descriptions and includes the sub-label “Copyright: How to Use this Content.” The use of the “Copyright” sub-label refers to how to use the archival materials themselves. Although QDL uses the BL’s descriptions for all its FAs, this added element lists all the authors/co-authors who were responsible for the contents of the records, and they could even be viewed as possible creators of and/or contributors to the materials. In archival science in general, it is typical to use the word *creator* to describe the records creator. More specifically, in diplomatic theory, creator,

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<sup>355</sup> Coll 30/91(1) ‘Koweit Oil Concession: Agreement between the Shaikh of Kuwait and the Kuwait Oil Company.’ 12 Jan 1934-23 Dec 1934 (CE, Gregorian). IOR/L/PS/12/3811. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000648.0x00017b](https://www.qdl.qa/en/archive/81055/vdc_100000000648.0x00017b) (accessed on 11/11/2020).

<sup>356</sup> Miscellaneous reports and correspondence relating to Kuwait. [1 Mar 1918]-13 Mar 1920 (CE, Gregorian). IOR/R/15/2/71. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x000326](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x000326) (accessed on 11/10/2020).

<sup>357</sup> ‘THIM DAYS IS GONE.’ c 1980 (CE, Gregorian). Mss Eur F226/28. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000880.0x0002ed](https://www.qdl.qa/en/archive/81055/vdc_100000000880.0x0002ed) (accessed on 11/10/2020).

<sup>358</sup> Shakespear, QDL.

authority, and author are all different juridical persons. Interestingly, QDL uses the term *author* instead to list those who were responsible for the contents of the records. Thus, in this case, I assume QDL's use of the term author may possibly be intended to mean creator.

Furthermore, this element can also be interpreted as listing or describing the creators and/or contributors of the records as well. Based on this archival understanding, it is not clear what the intention of QDL is in adding this section and using the word author instead of creator. With this in mind, the use of the term author in the following example does not match with the diplomatic theory's definition of author but rather the application aligns more accurately with the term creator. This is evident in the official titles of the Gulf authority figures who were the "authors" (QDL's use of the term) of a significant number of the materials and were also described as similarly important as the British (e.g., Gulf rulers described as Shaikh, His Excellency, which is similar to how the British described as Heads, Majesty). This could possibly be interpreted as showing the Gulf co-creating and contributing with the British, since they are viewed as authority figures with significant roles in the creation and contribution of these materials. Although I concluded that QDL and BL both respect the titles and positions of both the British and Gulf rulers and organizations, with the British viewing them as essentially similar, there is no clearly expressed evidence of co-creatorship and/or multiple provenance.

Additionally, they cannot be viewed simply as subjects of the records either. Therefore, there is a slight possibility that recognition can be given to them as co-creators because I assume that QDL's intentions for the use of the "Copyright" element here align more with the application of the term creator rather than author. For this reason, the Gulf-based archives held in the British-based cultural heritage institutions are quite complex in that, although QDL includes the Gulf peoples and organizations as authors under the "Copyright" element, the diplomatic

theory now clarifies that the term creator is more applicable in this case rather than author. However, with this clarification, it is still unclear how to determine their role in the creation and/or contribution of these archival records.

### **1.2.2. Categories of Authorship**

After close reading of QDL's 230 FAs, I narrowed down the authors into specific categories of authorship. These categories are: British authorship, multiple authorship with the British, and unknown authorship - each with their subcategories. For the British authorship, there are about 109 discrete holdings that list only British authorship: 1) about 81 with the following British authors: East India Company, the Board of Control, the India Office, or other British Government Department; 2) approximately six with single British authors *other than* the aforementioned, and 3) about 22 with one or more than one British author who share authorship with the East India Company, the Board of Control, the India Office, or other British Government Department.

For multiple authorship, there are approximately 112 discrete holdings that contain multiple authors that share authorship with the East India Company, the Board of Control, the India Office, or other British Government Department. Of these, some contain authors from the Gulf, the British, and others such as other Arab and Western entities and peoples (about 64 discrete holdings). Additionally, there is a significant number of discrete holdings with only Gulf and British authors (about 48 discrete holdings). There are eight total with unknown authorship: four with unknown author(s) and four more with unknown authors but also include the East India Company, the Board of Control, the India Office, or other British Government Department.

There is one discrete holding where the author is not listed, but rather, the subsequent reference numbers for the related holdings are listed instead. This reference is

IOR/R/15/1/749,<sup>359</sup> and the related references are: IOR/R/15/1/749/1,<sup>360</sup> IOR/R/15/1/749/2,<sup>361</sup> IOR/R/15/1/749/3,<sup>362</sup> IOR/R/15/1/749/4<sup>363</sup> and IOR/R/15/1/749/5.<sup>364</sup> Just to note here, the last reference's author is East India Company with its pages listed in the front and back of the record's collection.

An overall pattern that I noticed is that, when multiple authors are listed, the East India Company, the Board of Control, the India Office, or other British Government Department is always mentioned in the front and back of the pages of each discrete holding. This may indicate that the East India Company serves as a steward of these archival materials and maintains them until their possession by the BL. There are no holdings that only include authors from the Gulf peoples and organizations, based on the information found in the Copyright section. While most FAs' "Copyright Information" lists the author (if available), there is one exception. Finding aid

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<sup>359</sup> Oil Concessions. 1933-c 1964 (CE, Gregorian). IOR/R/15/1/749. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x0002d6](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x0002d6) (accessed on 11/16/2020).

<sup>360</sup> Concessions in Bahrein [Bahrain], Kuwait, &c: correspondence, 1932-Jul 1933 (Colonial Office Secret Print, Middle East No.49). 1932-Jul 1933 (CE, Gregorian). IOR/R/15/1/749/1. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100024087193.0x000005](https://www.qdl.qa/en/archive/81055/vdc_100024087193.0x000005) (accessed on 11/16/2020).

<sup>361</sup> Qatr [Qatar] Oil Concession and Connected Documents, May-Jul 1935; Dubai Oil Concession and Connected Documents, Feb-Oct 1937; Sharjah Oil Concession and Connected Documents, Sep 1937-May 1938 (India Office Confidential Prints, Memos B444, B445, B458, B467). 1935-1938 (CE, Gregorian). IOR/R/15/1/749/2. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100024087193.0x000004](https://www.qdl.qa/en/archive/81055/vdc_100024087193.0x000004) (accessed on 11/16/2020).

<sup>362</sup> Memorandum and Articles of Association of Petroleum Development (Trucial Coast) Limited, and of Petroleum Development (Qatar) Limited. 1936 (CE, Gregorian). IOR/R/15/1/749/3. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100024087193.0x000003](https://www.qdl.qa/en/archive/81055/vdc_100024087193.0x000003) (accessed on 11/16/2020).

<sup>363</sup> Agreements made by Petroleum Concessions Limited with Shaikhs of Dubai and Sharjah, 1937, Umm-al-Qaiwan, 1945, and Ajman, 1951. 1937-1951 (CE, Gregorian). IOR/R/15/1/749/4. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100024087193.0x000002](https://www.qdl.qa/en/archive/81055/vdc_100024087193.0x000002) (accessed on 11/17/2020).

<sup>364</sup> Notes on the Abu Dhabi Petroleum Company evidently prepared for a visiting group; with maps of Company's pipelines and terminal facilities and air routes, diagram of central production facilities at Habshan, and aerial photograph. c 1964 (CE, Gregorian). IOR/R/15/1/749/5. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100024087193.0x000001](https://www.qdl.qa/en/archive/81055/vdc_100024087193.0x000001) (accessed on 11/17/2020).

reference IOR/X/3630/20/3<sup>365</sup> states, “Please see item description” for the information under “Author.” However, from the “Content” element, it describes an *Imprint* with the name “James Horsburgh, Hydrographer to the East India Company,” so based on this information from the FA alone, I assumed it as of British authorship. For more information, the reader can see the item description.

Based on the information from the “Copyright: How to Use this Content,” the following are some examples of single and multiple authorship that are provided in QDL’s FAs but are absent from the BL’s FAs.

### **British Authorship: East India Company, the Board of Control, the India Office, or Other British Government Department**

#### ***Ex.1.***

Reference: IOR/L/PS/12/3715A

Title: Coll 30/5(3) ‘Persian Gulf Bahrain Residency Monthly Letter - Summary of Events’

Pages: front, front-i, 2r:96v, back-i, back

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>366</sup>

#### ***Ex.2.***

Reference: IOR/L/MIL/17/15/141

Title: ‘Military Report on the Arabian Shores of the Persian Gulf, Kuwait, Bahrein, Hasa, Qatar, Trucial Oman and Oman’

Pages: front, front-i, i-r:iii-r, ii-v, iv-r:iv-v, 1:4, 1:208, v-r:v-v, back-i, back

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>367</sup>

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<sup>365</sup> ‘Part of the Arabian side of the Persian Gulf; from Core Abdullah to Ras Reccan, Surveyed by Lieutenants J.M. Guy, G.B. Brucks, & W.E. Rogers, H.E.I.Cs. Marine, 1825. Engraved by Bateman & Son. Sheet 1st and 5th of the Survey of the Arabian Coast.’ 1 Sep 1828 (CE, Gregorian). IOR/X/3630/20/3. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100024174406.0x000010](https://www.qdl.qa/en/archive/81055/vdc_100024174406.0x000010) (accessed on 11/21/2020).

<sup>366</sup> Coll 30/5(3) ‘Persian Gulf Bahrain Residency Monthly Letter - Summary of Events.’ 12 Sep 1946-21 Jan 1948 (CE, Gregorian). IOR/L/PS/12/3715A. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000648.0x000115](https://www.qdl.qa/en/archive/81055/vdc_100000000648.0x000115) (accessed on 11/23/2020).

<sup>367</sup> ‘Military Report on the Arabian Shores of the Persian Gulf, Kuwait, Bahrein, Hasa, Qatar, Trucial Oman and Oman.’ 1933 (CE, Gregorian). IOR/L/MIL/17/15/141. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000239.0x0001d1](https://www.qdl.qa/en/archive/81055/vdc_100000000239.0x0001d1) (accessed on 11/12/2020).

**Ex.3.**

Reference: IOR/L/PS/12/1110

Title: Ext 45/46 'Transmission of F.O. Secret packets to and from Consulates etc, abroad'

Pages: front, front-i, 1ar, 2r:69r, 69iv, 70r:71v, back-i, back

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>368</sup>

**British Authorship: Other than East India Company, the Board of Control, the India Office,  
or Other British Government Department**

**Ex.1.**

Reference: Mss Eur F226/28

Title: 'THIM DAYS IS GONE'

Pages: 1r:124v

Author: Tandy, Maurice Patrick O'Connor<sup>369</sup>

**Ex.2.**

Reference: Mss Eur A230

Title: Shakespear, William Henry Irvine: diary of journey across central Arabia

Pages: front, back, spine, edge, head, tail, front-i, 2r:329v, back-i

Author: Shakespear, William Henry Irvine<sup>370</sup>

**Ex.3.**

Reference: IOR/R/15/2/416, f 23

Title: 'SKETCH MAP OF QATAR PENINSULA'

Pages: 23r:23v

Author: Anglo-Iranian Oil Company Limited (xx Anglo-Persian)<sup>371</sup>

**Ex.4.**

Reference: IOR/R/15/2/416, f 5

Title: 'SKETCH MAP OF QATAR PENINSULA'

Pages: 5r:5v

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<sup>368</sup> Ext 45/46 'Transmission of F.O. Secret packets to and from Consulates etc, abroad.' 2 Jan 1946-19 Sep 1946 (CE, Gregorian). IOR/L/PS/12/1110. Qatar Digital Library, Qatar.

[https://www.qdl.qa/en/archive/81055/vdc\\_100000000517.0x000153](https://www.qdl.qa/en/archive/81055/vdc_100000000517.0x000153) (accessed on 11/13/2020).

<sup>369</sup> THIM, QDL.

<sup>370</sup> Shakespear, QDL.

<sup>371</sup> 'SKETCH MAP OF QATAR PENINSULA.' 1935? (CE, Gregorian). IOR/R/15/2/416, f 23. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100024174977.0x000001](https://www.qdl.qa/en/archive/81055/vdc_100024174977.0x000001) (accessed on 11/17/2020).



Author: Anglo-Iranian Oil Company Limited (xx Anglo-Persian)<sup>372</sup>

**Ex.5.**

Reference: IOR/R/15/1/613, f 46

Title: 'MAP OF THE KUWAIT HINTERLAND'

Pages: 46r:46v

Author: Harrison and Sons Ltd<sup>373</sup>

**Ex.6.**

Reference: IOR/L/PS/20/130, f 43

Title: 'Sketch of APPROACHES TO KUWEIT HARBOUR AND SHATT AL ARAB'

Pages: 43r:43v

Author: Davies and Company<sup>374</sup>

**British Authorship: Multiple Authors by the British that Share Authorship with the East India Company, the Board of Control, the India Office, or Other British Government Department**

**Ex.1.**

Reference: IOR/R/15/2/539

Title: 'File 14/4 Visits of Japanese representatives and agents'

Pages: 11r:11v

Author: Thomson, A

Pages: front, front-i, 2r:10v, 12r:42v, back-i, back

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>375</sup>

**Ex.2.**

Reference: IOR/R/15/1/640

Title: 'File 86/1 III (D 81) Kuwait Oil. Eastern and General Syndicate'

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<sup>372</sup> 'SKETCH MAP OF QATAR PENINSULA.' 1935? (CE, Gregorian). IOR/R/15/2/416, f 5. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100024174977.0x000002](https://www.qdl.qa/en/archive/81055/vdc_100024174977.0x000002) (accessed on 11/17/2020).

<sup>373</sup> 'MAP OF THE KUWAIT HINTERLAND.' 1913 (CE, Gregorian). IOR/R/15/1/613, f 46. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100023802913.0x000005](https://www.qdl.qa/en/archive/81055/vdc_100023802913.0x000005) (accessed on 11/15/2020).

<sup>374</sup> 'Sketch of APPROACHES TO KUWEIT HARBOUR AND SHATT AL ARAB.' 1909 (CE, Gregorian). IOR/L/PS/20/130, f 43. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100041004172.0x000002](https://www.qdl.qa/en/archive/81055/vdc_100041004172.0x000002) (accessed on 11/19/2020).

<sup>375</sup> 'File 14/4 Visits of Japanese representatives and agents.' 22 Feb 1936-4 Oct 1939 (CE, Gregorian). IOR/R/15/2/539. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_10000000241.0x00034a](https://www.qdl.qa/en/archive/81055/vdc_10000000241.0x00034a) (accessed on 11/20/2020).

Pages: 6r:7r, 42r

Author: Adams, H T

Pages: 23r:24r

Author: Atherton, Ray

Pages: 128r:130r

Author: Elkington, E H O

Pages: 171r

Author: Holmes, Frank

Pages: 173r

Author: Janson, E W

Pages: front, back, spine, edge, head, tail, front-i, 1r:1v, 1ar:1dv, 2r:5v, 7v:21v, 21ar:21av, 22r:22v, 24v:41v, 42v:116v, 116ar:116av, 117r:127v, 130v:170v, 171v:172v, 173v:180v, i-r:i-v, back-i

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>376</sup>

**Ex.3.**

Reference: IOR/L/PS/12/264

Title: PZ 7386/38 'Enquiry from Mr. H. T. Kemp of Britannic House re certain frontiers of Koweit'

Pages: 2r:2v, 5r:5v

Author: Kemp, H T

Pages: front, front-i, 3r:4v, back-i, back

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>377</sup>

**Multiple Authorship: Arabs and/or Gulf and/or Western Entities and/or Non-Western Entities and/or Other British and East India Company, the Board of Control, the India Office, or Other British Government Department**

**Ex.1.**

Reference: IOR/L/PS/12/3777

Title: Coll 30/60 'Persian Gulf. Interference with Koweiti dhow by Persian gunboat off Bushire'

Pages: 9r:10v

Author: Government of Iran

Pages: 18r:18v, 42r:42v

Author: Āl Ṣabāḥ, Shaikh Aḥmad al-Jābir xx Al Sabah, Shaikh Ahmed al-Jaber

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<sup>376</sup> 'File 86/1 III (D 81) Kuwait Oil. Eastern and General Syndicate.' 14 Jun 1932-31 Jan 1933 (CE, Gregorian). IOR/R/15/1/640. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x000266](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x000266) (accessed on 11/19/2020).

<sup>377</sup> PZ 7386/38 'Enquiry from Mr. H. T. Kemp of Britannic House re certain frontiers of Koweit.' 31 Oct 1938-9 Nov 1938 (CE, Gregorian). IOR/L/PS/12/264. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000466.0x00027b](https://www.qdl.qa/en/archive/81055/vdc_100000000466.0x00027b) (accessed on 11/1/2020).

Pages: 19r:19v  
Author: Government of Iraq  
Pages: 43r:44v  
Author: Al Saqar, Bilal xx Al-Sagar, Bilal  
Pages: front, front-i, 2r:8v, 11r:17v, 20r:41v  
Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>378</sup>

*Ex.2.*

Reference: IOR/L/PS/10/992  
Title: File 2794/1921 Pt 3B 'Persian Gulf: oil; Kuwait'  
Pages: 17r:17v  
Author: Fraser, William, 1st Baron Strathalmond  
Pages: 114r:114v  
Author: Chisholm, Archibald Hugh Tennent  
Pages: 115r:116v  
Author: Elkington, Edward Henry Ommaney  
Pages: 171r:171v  
Author: Āl Ṣabāḥ, Shaikh Aḥmad al-Jābir xx Al Sabah, Shaikh Ahmed al-Jaber  
Pages: 172r:172v  
Author: Janson, Edmund Willliam  
Pages: 182r:182v  
Author: Holmes, Frank  
Pages: 193r:197v  
Author: Āl Sa'ūd, 'Abd al-'Azīz bin 'Abd al-Raḥmān bin Fayṣal (xx Ibn Saud)  
Pages: 205r:205v, 235r:236v  
Author: Hearn, Arthur Charles  
Pages: 229r:230v  
Author: Āl Ṣabāḥ, Shaikh Aḥmad al-Jābir xx Al Sabah, Shaikh Ahmed al-Jaber  
Pages: 276r:276v  
Author: Chisholm, Archibald Hugh Tennent  
Pages: 288r:289v, 344r:345v, 348r:348v  
Author: Elkington, Edward Henry Ommaney  
Pages: 290r:291v  
Author: Unknown  
Pages: 344r:345v  
Author: Elkington, Edward Henry Ommaney  
Pages: 349r:355v  
Author: Unknown  
Pages: 367r:367v  
Author: Cadman, John, 1st Baron Cadma  
Pages: 348r:348v  
Author: Elkington, Edward Henry Ommaney

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<sup>378</sup> Coll 30/60 'Persian Gulf. Interference with Koweiti dhow by Persian gunboat off Bushire.' 10 Jul 1933-26 Jul 1934 (CE, Gregorian). IOR/L/PS/12/3777. Qatar Digital Library, Qatar.  
[https://www.qdl.qa/en/archive/81055/vdc\\_100000000648.0x000158](https://www.qdl.qa/en/archive/81055/vdc_100000000648.0x000158) (accessed on 11/27/2020).

Pages: ii-r:ii-v, 1r:16v, 18r:113v, 117r:170v, 173r:181v, 183r:192v, 198r:204v, 206r:228v, 231r:234v, 237r:275v, 277r:287v, 292r:343v, 346r:347v, 356r:366v, 368r:492v, iii-r:iv-v, back-i, front, back, spine, edge, head, tail, front-i, i-r:i-v  
Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>379</sup>

**Ex.3.**

Reference: IOR/L/PS/10/989/1

Title: File 2794/1921 Pt 1 'Persian Gulf: oil'

Pages: 9r:10v

Author: Nichols, Herbert Edward

Pages: 9r

Author: Baghdad Times

Pages: 61v:62r

Author: Unknown

Pages: 62v

Author: Āl Thānī, Shaikh 'Abdullāh bin Jāsīm bin Muḥammad

Pages: 102r:104v

Author: Āl Sa'ūd, Fayṣal bin 'Abd al-'Azīz (xx Al Sa'ud, Faisal bin Abdulaziz)

Pages: 82r:82v

Author: Watts, W A

Pages: 105r:105v

Author: MacKie, J B

Pages: 113r:120v

Author: Unknown

Pages: 146r:146v, 156r:156v

Author: Adams, Henry Thomas

Pages: 152r:155r, 212r:214v, 227r:229v, 278r:279v

Author: Nichols, Herbert Edward

Pages: 179r:179v

Author: Āl Bū Sa'īd, Taymūr bin Fayṣal bin Turkī

Pages: 224r:224v

Author: Unknown

Pages: 225r

Author: Al Mu'alla, Shaikh Rashid II bin Ahmad

Pages: 231r

Author: Āl Maktūm, Shaikh Sa'īd bin Maktūm bin Hasher

Pages: 231r

Author: Āl Nahyān, Shaikh Hamdan bin Zayed bin Khalifa

Pages: 231r:232v

Author: al-Nu'aymī, Shaikh Humaid IV bin 'Abd' al'Aziz

Pages: 234r

Author: al-Qasimī, Shaikh Khālid bin Aḥmad bin Sultān

Pages: 234r

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<sup>379</sup> File 2794/1921 Pt 3B 'Persian Gulf: oil; Kuwait.' 1932-1933 (CE, Gregorian). IOR/L/PS/10/992. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000419.0x000378](https://www.qdl.qa/en/archive/81055/vdc_100000000419.0x000378) (accessed on 11/2/2020).

Author: al-Qāsimī, Shaikh Sulṭān bin Sālim  
Pages: 258r:258v  
Author: Wilson, Sir Arnold Talbot  
Pages: 259r:261v  
Author: Wilson, Sir Arnold Talbot  
Pages: 262r:267v  
Author: Unknown  
Pages: 314r:315v, 320r:321v  
Author: Garrow, Duncan  
Pages: 323r  
Author: Maier, M U  
Pages: 323r  
Author: Molho and Barouh  
Pages: 323r:324r  
Author: Fils de Tchelebon Caffee  
Pages: 323r:324r  
Author: Unknown translator  
Pages: 324r  
Author: Samathraky, T  
Pages: 324r  
Author: Sheffield, E J  
Pages: iii-r:iii-v, 1r:8v, 11r:61r, 63r:81v, 83r:101v, 106r:112v, 121r:145v, 147r:151v, 155v, 157r:178v, 180r:211v, 215r:223v, 225v:226v, 230r:230v, 233r:233v, 234v:257v, 268r:277v, 280r:313v, 316r:319v, 322r:322v, 324v  
Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>380</sup>

## Multiple Authorship: The Gulf and the British Only

### *Ex.1.*

Reference: IOR/R/15/1/561  
Title: ‘File 61/7 (D 65) Bin Saud’s relations with the Sheikh of Kuwait’  
Pages: 124r, 126r  
Author: Āl Sa‘ūd, ‘Abd al-‘Azīz bin ‘Abd al-Raḥmān bin Fayṣal (x Ibn Saud)  
Pages: 85ar  
Author: Āl Ṣabāḥ, Shaikh Aḥmad al-Jābir  
Pages: 89ar:89av  
Author: Āl Sa‘ūd, ‘Abd al-‘Azīz bin ‘Abd al-Raḥmān bin Fayṣal (x Ibn Saud)  
Pages: front, back, spine, edge, head, tail, front-i, i-r:i-v, 1ar:1cv, 2r:36v, 38r:48v, 50r:54v, 57r:61v, 64r:66r, 67r:71v, 71ar:71av, 72r:85v, 85br:85bv, 86r:90v, 90ar:90av, 91r:101v, 103r:114v, 115ar:115bv, 116r:123v, 124v:125v, 126v:132v, 136r:169v, 171r:180v, 182r:198r, 199r:205v, back-i

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<sup>380</sup> File 2794/1921 Pt 1 ‘Persian Gulf: oil.’ 1921-1925 (CE, Gregorian). IOR/L/PS/10/989/1. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100087945986.0x000002](https://www.qdl.qa/en/archive/81055/vdc_100087945986.0x000002) (accessed on 11/2/2020).

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>381</sup>

**Ex.2.**

Reference: IOR/L/PS/12/3317

Title: Coll 25/14 'Orders in Council: Koweit: New Order'

Pages: 67r:67v, 65r:65v, 63r:63v

Author: Āl Ṣabāḥ, Shaikh Aḥmad al-Jābir xx Al Sabah, Shaikh Ahmed al-Jaber

Pages: front, front-i, 2r:38r, 38ar, 38v:40v, 41ar, 41r:50v, 50ar:50av, 51r:62v, 64r:64v, 66r:66v, 67ar, 68r:202r, 202ar, 202v:203v, 204ar, 204r, 204br, 204v, 205ar, 205r:205v, 206ar, 206r:208r, 208ar, 208v:209r, 209ar, 209v:210r, 210ar, 210v:211r, 211ar, 211v:212v, 213ar, 213r:264v, 264v, back

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>382</sup>

**Ex.3.**

Reference: IOR/L/PS/12/3744

Title: Coll 30/30 'Persian Gulf. Bahrain and Koweit. Question of Persian, Iraqi and Nejdi representatives in.'

Pages: 195r:196v, 198r:198v

Author: Āl Ṣabāḥ, Shaikh Aḥmad al-Jābir xx Al Sabah, Shaikh Ahmed al-Jaber

Pages: front, front-i, 2r:194v, 197r:197v, 199r:264v, back

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>383</sup>

**Ex.4.**

Reference: IOR/L/PS/12/3861

Title: Coll 30/127 'Persian Gulf. Koweit. Relations between Ibn Saud and the Sheikh of Kuwait'

Pages: 79r:80v

Author: Āl Sa'ūd, 'Abd al-'Azīz bin 'Abd al-Raḥmān bin Fayṣal (xx Ibn Saud)

Pages: 68r:68v

Author: Āl Ṣabāḥ, Shaikh Aḥmad al-Jābir xx Al Sabah, Shaikh Ahmed al-Jaber

Pages: front, front-i, 2r:67v, 69r:78v, 81r:83v, back

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<sup>381</sup> 'File 61/7 (D 65) Bin Saud's relations with the Sheikh of Kuwait.' 26 Apr 1922-27 Jul 1929 (CE, Gregorian). IOR/R/15/1/561. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x000216](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x000216) (accessed on 11/9/2020).

<sup>382</sup> Coll 25/14 'Orders in Council: Koweit: New Order.' 15 Jul 1932-11 Sep 1947 (CE, Gregorian). IOR/L/PS/12/3317. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000602.0x000363](https://www.qdl.qa/en/archive/81055/vdc_100000000602.0x000363) (accessed on 11/2/2020).

<sup>383</sup> Coll 30/30 'Persian Gulf. Bahrain and Koweit. Question of Persian, Iraqi and Nejdi representatives in.' 28 Aug 1924-30 May 1946 (CE, Gregorian). IOR/L/PS/12/3744. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000648.0x000135](https://www.qdl.qa/en/archive/81055/vdc_100000000648.0x000135) (accessed on 11/4/2020).

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>384</sup>

**Ex.5.**

Reference: IOR/L/PS/12/3780

Title: Coll 30/63 ‘Persian Gulf. Assault on Koweiti dhow by Persian River Police in the Shatt el-Arab’

Pages: 27r:27v

Author: Āl Ṣabāḥ, Shaikh Aḥmad al-Jābir xx Al Sabah, Shaikh Ahmed al-Jaber

Pages: 28r:30v

Author: Al Gharabally, Seyed Abdul Latif

Pages: 31r:31v

Author: Al Saqar, Mohamed

Pages: front, front-i, 2r:26v, 32r:32v, back-i, back

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>385</sup>

**Unknown Authorship: Unknown Author(s)**

**Ex.1.**

Reference: IOR/R/15/1/621, f 132A

Title: ‘KUWAIT’

Pages: 132ar

Author: Unknown<sup>386</sup>

**Ex.2.**

Reference: IOR/L/PS/18/B477

Title: ‘Agreement for the exploitation of sulphur in Kuwait [between] His Majesty’s Government in the United Kingdom and Eastern Gulf Oil Company Limited’

Pages: 1r:2v

Author: Unknown<sup>387</sup>

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<sup>384</sup> Coll 30/127 ‘Persian Gulf. Koweit. Relations between Ibn Saud and the Sheikh of Kuwait.’ 6 Jan 1936-8 Mar 1948 (CE, Gregorian). IOR/L/PS/12/3861. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000648.0x0001ad](https://www.qdl.qa/en/archive/81055/vdc_100000000648.0x0001ad) (accessed on 11/8/2020).

<sup>385</sup> Coll 30/63 ‘Persian Gulf. Assault on Koweiti dhow by Persian River Police in the Shatt el-Arab.’ 15 Sep 1933-11 Feb 1935 (CE, Gregorian). IOR/L/PS/12/3780. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000648.0x00015b](https://www.qdl.qa/en/archive/81055/vdc_100000000648.0x00015b) (accessed on 11/4/2020).

<sup>386</sup> ‘KUWAIT.’ c 1930 (CE, Gregorian). IOR/R/15/1/621, f 132A. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100023824403.0x000001](https://www.qdl.qa/en/archive/81055/vdc_100023824403.0x000001) (accessed on 11/4/2020).

<sup>387</sup> ‘Agreement for the exploitation of sulphur in Kuwait [between] His Majesty’s Government in the United Kingdom and Eastern Gulf Oil Company Limited.’ 23 Oct 1940 (CE, Gregorian). IOR/L/PS/18/B477. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000833.0x000028](https://www.qdl.qa/en/archive/81055/vdc_100000000833.0x000028) (accessed on 11/12/2020).

**Ex.3.**

Reference: IOR/L/PS/18B472

Title: 'Heads of Agreement between His Majesty's Government in the United Kingdom and His Highness the Shaikh of Kuwait'

Pages: 1r:1v

Author: Unknown<sup>388</sup>

**Ex.4.**

Reference: IOR/L/PS/18/B432

Title: 'HIS MAJESTY'S GOVERNMENT IN THE UNITED KINGDOM TO KUWAIT OIL COMPANY, LIMITED. AGREEMENT relating to the Koweit Oil Concession.'

Pages: 1r:2v

Author: Unknown<sup>389</sup>

**Unknown Authorships: Unknown Authors but Includes East India Company, the Board of Control, the India Office, or Oher British Government Department**

**Ex.1.**

Reference: IOR/R/15/1/739

Title: 'Treaties and undertakings in force between the British Government and the Rulers of Kuwait, 1841-1913'

Pages: 4r, 18v, 24r, 38v

Author: Unknown

Pages: 4v, 18r:18v, 24v, 38r:38v

Author: Unknown

Pages: 5r, 17v, 25r, 37v

Author: Unknown

Pages: 5v, 17r, 25v, 37r

Author: Unknown

Pages: 6r:9r, 14v:16v, 26r:29r, 33r:36v

Author: Unknown

Pages: 9v, 12v:14r, 29v, 32v

Author: Unknown

Pages: 10r, 12r, 30r, 32r

Author: Unknown

Pages: 10v, 11v, 30v, 31v

Author: Unknown

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<sup>388</sup> 'Heads of Agreement between His Majesty's Government in the United Kingdom and His Highness the Shaikh of Kuwait.' 23 May 1938 (CE, Gregorian). IOR/L/PS/18/B472. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000833.0x000023](https://www.qdl.qa/en/archive/81055/vdc_100000000833.0x000023) (accessed on 11/7/2020).

<sup>389</sup> 'HIS MAJESTY'S GOVERNMENT IN THE UNITED KINGDOM TO KUWAIT OIL COMPANY, LIMITED. AGREEMENT relating to the Koweit Oil Concession.' 5 Mar 1935 (CE, Gregorian). IOR/L/PS/18/B432. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000833.0x000034](https://www.qdl.qa/en/archive/81055/vdc_100000000833.0x000034) (accessed on 11/25/2020).



Pages: front, back, spine, edge, head, tail, front-i, 1r:3v, 11r, 19r:23v, 31r, 39r:40v, i-r:i-v, back-i

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>390</sup>

**Ex.2.**

Reference: IOR/R/15/1/469

Title: ‘File 51/88 I Cable and Wireless Kuwait’

Pages: 2r:7v

Author: Unknown

Pages: 2r:7v

Author: Unknown

Pages: front, front-i, back-i, back

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>391</sup>

**Ex.3.**

Reference: IOR/L/PS/18/B486

Title: Agreement relating to the Kuwait-Zubair Mail Service

Pages: 1r:1v

Author: Unknown

Pages: 2r:13v

Author: East India Company, the Board of Control, the India Office, or other British Government Department<sup>392</sup>

### 1.2.3. Finding Aids in Arabic

After completing the close reading of the FAs in English in the BL and QDL, I then shifted my attention to sub-question B.1.2., “Was any Arabic description a direct translation from the English description, or did it differ, and if so, in what ways?” This requires the close reading of each of the 230 Arabic FAs and comparing them to their English counterparts in both

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<sup>390</sup> ‘Treaties and undertakings in force between the British Government and the Rulers of Kuwait, 1841-1913.’ c 1914 (CE, Gregorian). IOR/R/15/1/739. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x0002ca](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x0002ca) (accessed on 11/29/2020).

<sup>391</sup> ‘File 51/88 I Cable and Wireless Kuwait.’ 1 May 1947 (CE, Gregorian). IOR/R/15/1/469. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000193.0x0001ba](https://www.qdl.qa/en/archive/81055/vdc_100000000193.0x0001ba) (accessed on 11/7/2020).

<sup>392</sup> Agreement relating to the Kuwait-Zubair Mail Service. 29 Mar 1947 (CE, Gregorian). IOR/L/PS/18/B486. Qatar Digital Library, Qatar. [https://www.qdl.qa/en/archive/81055/vdc\\_100000000833.0x000038](https://www.qdl.qa/en/archive/81055/vdc_100000000833.0x000038) (accessed on 11/9/2020).

the BL and QDL. Additionally, the close reading further determines if there was any commentary added to the FAs. This is asked in Question B.1.3., “If they presented the British description, did they add any commentary to it?” The results of this close reading determined that the Arabic FAs are, in fact, a direct translation of the BL description with no added commentary by QDL. This was consistently observed throughout all the FAs through Phase One. With regard to the QDL descriptions, Research Question B.2. asks, “Did they create their own descriptions? If yes, then: how did they apply the principle of provenance?” Furthermore, when specifically focusing on the provenance in the description, Research Question B. 2.1 asks, “Is the description [i.e., the finding aids] created with an assumption of singular provenance or does it in any way indicate multiple provenance/co-creatorship (i.e., by the Gulf peoples)?” Upon further close reading, I concluded that QDL borrowed or used the BL’s descriptions, making slight changes to some of the labels of the FA data elements but essentially keeping the same information within these data elements and then translated this information directly into Arabic. Thus, QDL did not create their own descriptions in English or Arabic, nor did they add any commentary to supplement the British descriptions. Since QDL only copied the British description and translated that directly into Arabic, the assumption follows that QDL also adopted the BL’s practice of the principle of provenance.

#### **1.2.4. Evidence for the Gulf Peoples as Co-creators of the Records and not Simply Subjects**

Phase One also includes the close reading of the 230 FAs of QDL, in order to address Research Question B.3., “How have the Gulf peoples and their organizations been represented in the finding aids?” Since QDL uses the descriptions from the BL, there is insufficient information to understand how QDL specifically represents the Gulf peoples and organizations in their FAs.

Thus, I cannot fully address this question because QDL does not include their own commentary in any of the FAs. For this reason, it is assumed that QDL is representing the Gulf peoples and their organizations in a manner similar to how the BL is representing them.<sup>393</sup>

### **1.3. Conclusion for the BL-QDL Paired Cases**

To conclude, there are 230 FAs in the BL with paired English and Arabic counterparts in QDL. Firstly, the paired BL-QDL FAs do not explicitly provide clear information regarding provenance or co-creatorship. There is no specific data element in the FAs that clearly states provenance/creators of the discrete holdings. Rather, this is largely implied from the various elements contained in the FAs, and I had to determine provenance and/or co-creatorship based on my own expertise and background. Secondly, the English FAs are copies, and the Arabic FAs in QDL are essentially a direct translation of the BL's description. Thus, QDL did not create their own descriptions and perspectives that clarify how provenance and/or co-creatorship is/are practiced. Lastly, QDL includes a unique element that adds copyright information and highlights all the known and unknown authors, which is absent from the FAs in the BL.

As the BL-QDL partnership continues, it may well be that the BL will make updates and/or changes in the future that may include the direct recognition and explicit information of simultaneous multiple provenance and co-creatorship by the Gulf peoples. These in turn might be adopted by the QDL as updates to its FAs. However, reparative description by the British would not be the same as what the Gulf states might see fit to do, as their perspective would be different. One approach might be for the Gulf states to propose reparative description and have

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<sup>393</sup> See section 1.1.2. p. 156 for more details about the representation of the Gulf peoples in the BL's FAs.

the British incorporate it into their FAs. I raised this possibility, therefore, during Phase Two - the interviews with key experts and representatives from both institutions.

## **2. Conducting Cross-case Patterns for the Second Paired Cases: TNA-AGDA**

As mentioned earlier, there are 699 discrete holdings pertaining to Kuwait amongst the numerous Gulf related records housed in The National Archives of the United Kingdom (TNA), that are digitally shared with the National Archives of the United Arab Emirates (NA UAE) as of February 2021. The following overview briefly describes the 699 holdings that were closely examined for purposes of this research. These are created or inherited by several offices, with the number of holdings varying according to office. The largest number of the archival materials are created and/or inherited from the Foreign and Commonwealth Office and predecessors (FCO) and the Foreign Office (FO), with 338 and 328 discrete holdings, respectively. The Cabinet Office (CAB) created 10 holdings while the Ministry of Aviation and successors, the Air Registration Board, and related bodies (AVIA) created or inherited eight holdings. Five holdings are created or inherited by the Ministry of Defense (DEFE), four by the Air Ministry, the Royal Air Force, and related bodies (AIR) and four from the Colonial Office, Commonwealth and Foreign and Commonwealth Offices, Empire Marketing Board, and related bodies (CO). Lastly, there is one holding from the Prime Ministers' Office (PREM) and another one from the Ministry of Power, and of related bodies (POWE).

A large portion of these materials are created in the English language, but other languages can also be found within these discrete holdings. There are 604 discrete holdings in English/Latin script; 91 in English, Arabic/Latin and Arabic script; three in English and Persian/Latin and Arabic script; and one in English, Persian, Arabic/Latin and Arabic script. The dates range from 1820 to 1985. There is one discrete holding from the year 1820 and another

from 1913. The rest of the holdings' breakdown are: five from the 1920s; 10 from the 1930s; 13 from the 1940s; 185 from the 1950s; 300 from the 1960s; 145 from the 1970s; and 39 from the 1980s. The number of items in each discrete holding varies from a minimum of three pages to a maximum of 1034 pages.

### **2.1. A Within-case Analysis: The National Archives of the United Kingdom (TNA)**

In accordance with standard archival practice, The National Archives of the United Kingdom (TNA) clearly states the provenance of the Gulf-based archival materials in the FAs of each of the discrete holdings. The following steps describe how to find provenance on the TNA website. First, enter the reference number into the search box. The search results will pull up a preview of the FA for that discrete holding. The elements found under this preview in the search results are: "Title," "Office that created or inherited the record collection," "Division within the office," "Series," "Subseries," "Subsubseries," "Held by," "Date," "Reference" and "Subjects." "Subjects" terms that are related are only found on the preview of the search results of the FA and not on the actual FA page. After clicking on the title of the holding's preview FA, the catalogue description of the FA can be found with the following elements: "Reference," "Description," "Date," "Held by," "Former Reference in its Original Department," "Legal Status," and "Closure Status." These are consistent in all the FAs. There are a few FAs with additional elements, which are: "Access Conditions" and "Record Opening Date." It is important to note that, on the same page as the catalogue description, the links with the information needed to determine provenance are found on the top left. These contain separate FAs for each office, division and/or subdivision of the creator or inheritor of the records. If one of these top links is clicked, there is the option of viewing more details for each general FA. Many of these records (discrete holdings) lead to these same links with the same information about the creators and/or

inheritors of the holding. They are linked to external authority files for the offices of the creators/inheritors.

### **2.1.1. How TNA Applies the Principle of Provenance**

During Phase One of the research, a close reading of the FAs was completed in order to address General Research Question A, “How did the British cultural heritage institutions [i.e., the BL and TNA] apply the principle of provenance when describing the records that pertain to the Gulf?” Provenance is clearly indicated in each of the TNA FAs through the links provided on the first page after searching for the discrete holding by the reference number. To find these links that describe provenance, one must first follow the aforementioned steps to access a FA by reference number. The links and sublinks on the first page provide the reader with the information needed to determine provenance. Each of these links in and of themselves are also FAs that describe the different offices in which the records were created or inherited. The links and sub-links are listed in hierarchical order from general to specific and lead to divisions and subdivisions of these offices, narrowing it down by department within these main offices. For example, they begin with the office/ministry that created or inherited the records. The second link leads to the division within that office and/or the subdivision of that office. The last few links lead to the series, the subseries, and as appropriate, the subsubseries in which the physical items of the discrete holding are arranged. For further information on the creator or inheritor of the records, the reader can click on any of these links on top of the page. However, provenance can easily be determined based on the link titles, which is consistently singular provenance by a British agent. The following sections will include details about the information on provenance for each of the links found in the TNA’s FAs.

### **The General Office, Ministry or Entity that Created or Inherited the Record(s)**

The first link under TNA's catalogue folder refers to the general office, ministry or entity that created or inherited the record. Once clicked on, the link will open to more information about the office that created or inherited the record. On the bottom right corner of this description is a link titled "Detail." Clicking on the "Detail" link leads to a separate FA containing its own elements that provide information solely regarding the office and not for the discrete holding that was originally searched. These elements are: 1) "Reference," 2) "Title," 3) "Description," 4) "Date," 5) "Arrangement," 6) "Related Materials," 7) "Separated Materials," 8) "Held by," 9) "Legal Status," 10) "Language," 11) "Creator," 12) "Physical Description," 13) "Access Conditions," 14) "Immediate Source of Acquisition," 15) "Custodial History," and 16) "Administrative/Biographical Background." In regards to provenance, very specific information about the creators/inheritors can be found under the "Title," "Creator," and "Immediate Source of Acquisition" elements.

### **The Division within the Office Listed on the Catalogue Description Page**

The second link refers to the Division within the department and contains a separate type of FA. The FA has the following elements: 1) "Reference," 2) "Title," 3) "Description," 4) "Date," 5) "Legal Status," 6) "Language," 7) "Physical Description," and 8) "Administrative/Biographical Background." This link also contains further elaboration on provenance, which can be determined from the "Title" and "Administrative/Biographical Background." This link mostly describes the division within the department of the office that created or inherited the record(s).

## **The Series, Subseries, Subsubseries on the Catalogue Description Page**

The third, fourth, and fifth links refer to the series, subseries, and subsubseries in which the records within the holding are organized by TNA. The series (third link) contains the department within the division of the office and its own FA with more than one element. These are: 1) "Reference," 2) "Title," 3) "Description," 4) "Date," 5) "Arrangement," 6) "Related Material," 7) "Held by," 8) "Former Reference in its Original Department," 9) "Legal Status," 10) "Language," 11) "Creator," 12) "Physical" "Conditions," 13) "Access Conditions," 14) "Immediate Source of Acquisition," 15) "Accruals," and 16) "Administrative/Biographical Background." Additional information for determining provenance can be found from the "Title," "Creator," "Immediate Source of Acquisition," and "Administrative/Biographical Background." As for the fourth and fifth links, they only include separate FAs with the "Reference" and "Title." That is because the rest of the FAs' elements are contained within the original catalogue description.

## **No Description Included in the Finding Aids**

TNA does not provide a "Contents and Scope" data element. Rather, the "Description" data element of the FA itself only contains the title information of the discrete holding - nothing else. Additionally, TNA does not describe records at either the item or collection levels. The only detailed descriptions are about the office, division, department and series of the originally searched FAs. On the plus side, TNA does provide very detailed information about the creator and/or inheritor of the records, the "Custodial History" and the "Administrative/Biographical Background." Hence, when addressing Research Question A.1.0., "Is the description [i.e., the finding aids] created with an assumption of singular provenance or does it in any way indicate multiple provenance/co-creatorship (i.e., by the Gulf peoples)?" The information from the links



on the first page clearly states the source of the records, which in turn leads to a confident conclusion that all 699 discrete holdings are determined to be of singular provenance by British agents.

This traditional application of provenance takes the form of numbered discrete holdings with each holding comprising the records of a British office or ministry. For example, the Foreign Office records' reference starts with FO. Within each holding, the records of an office or ministry are organized into division, department, series, subseries, and sub-subseries. Thus, the reader is presented with this singular provenance very clearly from any of the links found on the first page.

This then leads to the answer for Sub-question A.1.1., "How have the Gulf peoples and their organizations been represented in the finding aids?" To answer this question, the description elements of the FAs were used. I concluded that, since there is no description in the specific FA in TNA, it cannot be determined whether or not the Gulf peoples and their organizations have been intentionally represented in the FAs. There is no information from which to draw any conclusion. However, there are a few FAs where the titles provide a slight indication of how the Gulf peoples and their organizations are represented. These titles use such terms as "Ruler," "Sheikh," and "Sheikhdoms" to describe the Gulf and its affiliates rather than viewing them as simply subjects of the records. Although these titles show respect for the Gulf rulers and authority figures, there is not enough evidence to claim these Gulf peoples, organizations, and entities as co-creators and/or contributors of these specific records. For further clarification on how the Gulf peoples are represented in TNA's FAs, here are a few examples of titles pertaining to the Gulf that show how Gulf rulers and authority formal titles are used to represent them.

**Ex.1.**

Reference: FO 371/168649

Title: Commercial relations between UK and Persian Gulf Sheikhdoms<sup>394</sup>

**Ex.2.**

Reference: FO 371/149177

Title: Precedence and ceremonial for ruler of Persian Gulf States and their families<sup>395</sup>

**Ex.3.**

Reference: FO 371/127008

Title: The Ruling family of Kuwait<sup>396</sup>

**Ex.4.**

Reference: FO 371/109908

Title: Request by Ruler of Kuwait for revision of basis of calculation of Kuwait Oil Company's revenue payments to him<sup>397</sup>

**Ex.5.**

Reference: FO 1016/40

Title: Protection of the Sheikh of Kuwait's date garden at Fao<sup>398</sup>

**Ex. 6**

Reference: FCO 8/2444

Title: Tour of Persian Gulf Sheikh Jaber al Ahmad al Jaber, Prime Minister of Kuwait, May 1975<sup>399</sup>

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<sup>394</sup> Commercial relations between UK and Persian Gulf sheikhdoms. 1963. FO 371/168649. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C2926107> (accessed on 12/7/2020).

<sup>395</sup> Precedence and ceremonial for rulers of Persian Gulf States and their families. 1960. FO 371/149177. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C2906644> (accessed on 12/5/2020).

<sup>396</sup> The Ruling family of Kuwait. 1957. FO 371/127008. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C2884500> (accessed on 12/1/2020).

<sup>397</sup> Request by Ruler of Kuwait for revision of basis of calculation of Kuwait Oil Company's revenue payments to him. 1954. FO 371/109908. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C2867390> (accessed on 12/1/2020).

<sup>398</sup> Protection of the Shaikh of Kuwait's date garden at Fao. 1951 Feb 10-Nov 26. FO 1016/40. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C3728694> (accessed on 12/1/2020).

<sup>399</sup> Tour of Persian Gulf by Shaikh Jaber al Ahmad al Jaber, Prime Minister of Kuwait, May 1975. 1975 Jan 01 - 1975 Dec 31. FCO 8/2444. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C11262700> (accessed on 12/9/2020).

*Ex. 7.*

Reference: FCO 8/2162

Title: Invitations to Heads of State of Gulf countries to visit UK.<sup>400</sup>

Furthermore, Sub-question A.1.2. asks, “Have the descriptions been updated at any point to reflect changing ideas about provenance in the archival field that might more directly recognize Gulf peoples and their organizations as co-creators?” From the close reading, there was no evidence that indicated any updates to the descriptions or to the FAs to reflect any changing ideas about provenance in the archival field relating to the inclusion of Gulf peoples and their organizations as co-creators.

## **2.2. A Within-case Analysis: The Arabian Gulf Digital Archives (AGDA)**

The FAs of the Arabian Gulf Digital Archives (AGDA), which is sponsored by the National Archives of the United Arab Emirates (NA UAE), are each located on one webpage and use different labels for their data elements when compared to TNA. AGDA’s FAs start with a brief description of the discrete holdings. Since it is a Gulf-based institution, its focus is on Gulf-related content and concerns. This is denoted in the description by the statement, “Of relevance to the Gulf are the . . .”

This description is found to the left of the digitized images of the materials (physically located in TNA) and prefaces the main elements of the FAs. The FAs provide the reader with a bulleted overview of each discrete holding by including the following data elements: “Archive’s Reference,” “Date,” “Title,” “Description,” “Related Links: Entities,” “Personalities,” “Places,” “Subjects,” and “Copyright Information.” The “Copyright Information” in AGDA is a hyperlink that leads to more details on where the physical materials are held. In this case, AGDA is

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<sup>400</sup> Invitations to Heads of State of Gulf countries to visit UK. 1974 Jan 01 - 1974 Dec 31. FCO 8/2162. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C11227833> (accessed on 12/15/2020).

receiving their digitized materials from TNA, which is granted permission from the “Crown Copyright.”<sup>401</sup>

Unlike TNA where the provenance and records creator are clearly found on the FA’s main page, the provenance for AGDA is not readily apparent. There is no clear indication of provenance in many of the FAs, unless the creator is mentioned in the “Title” and/or “Description” data elements; yet even with this information, provenance remains relatively unclear. In some cases, FAs provide no clear indication of correspondence between or amongst two or more of the entities listed in the FAs. The FAs of TNA contain references that clearly include the office or entity that created or inherited that record. However, AGDA does not include this full information in its FAs. It only includes the abbreviations from TNA without referring to or explaining the office or entity that is associated with that specific abbreviation. For example, in TNA, the FCO is spelled out as the “Foreign and Commonwealth Office and predecessors.” AGDA only includes the abbreviation FCO. While this made provenance difficult for me to determine based on AGDA’s FAs, one can only imagine how difficult it could be for other researchers from Gulf nations who might have less understanding of the roles of British entities and their acronyms.

### **2.2.1. Finding Aids in English**

Upon completion of the close reading process for the 699 FAs of AGDA in English, I began to address General Research Question B and its sub-questions regarding the Gulf-based institutions. General Research Question B inquires, “How did the Gulf-based cultural heritage

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<sup>401</sup> The “Crown Copyright” is an official copyright entity for government-related materials and is not the creator of the holdings. “Crown Copyright” was granted permission by TNA to digitize the physical materials and share them with NA UAE. This is a UK-based government copyright entity that is responsible for applying the copyright laws of government-based materials from the UK, Australia, New Zealand, and Canada.

institutions [i.e., QNL and NA UAE] describe the digitized materials shared by the British?” The sub-questions under General Research Question B more specifically address the languages used in the descriptions. Research Question B.1.0. asks, “Did they use and/or translate the original British descriptions?” If so, then: sub-question B.1.1. further adds, “Was the English description from the British finding aids presented to the public?” It was noted above that TNA does not describe each discrete holding. Conversely, AGDA’s FAs do include a description but use most of the titles and references supplied by TNA. However, there is one case in which the title of the holding does not match the title in TNA. In this case, for the reference number DEFE 5/12, the title in AGDA is: “Defence Chiefs of Staff Committee: Memoranda”<sup>402</sup> but in TNA, the title is actually: “Nos 169 - 237. (Described at item level).”<sup>403</sup> This could be a case of catalogers realizing that the original title was not sufficiently useful for information retrieval purposes, so they augmented it.

In general, TNA provides details about provenance through the links at the top of each FA about the specific holding. However, AGDA’s FAs do not include such details about provenance, and the title alone (without information about the holding’s provenance) creates confusion, and the FAs become rather vague. Additionally, it is difficult to determine the records creator and provenance from the “Title” and “Description.” For example, provenance is not easily determined from such titles as: “Membership of United Nations,”<sup>404</sup> “German interests,”<sup>405</sup>

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<sup>402</sup> Defence Chiefs of Staff Committee: Memoranda. 1948 Aug 2 - Oct 11. DEFE 5/12. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/defe/5/12> (accessed on 2/10/2021).

<sup>403</sup> Nos 169 – 237. (Described at item level). 1948 Aug 2 - Oct 11. DEFE 5/12. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C660750> (accessed on 12/30/2020).

<sup>404</sup> Membership of United Nations. 1968 Jan 01-1968 Dec 31. FCO 8/932. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/fco/8/932> (accessed on 2/14/2021).

<sup>405</sup> German interest. 1968 Jan 01-1968 Dec 31. FCO 8/937. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/fco/8/937> (accessed on 1/7/2021).

“Labour relations,”<sup>406</sup> “Oil production,”<sup>407</sup> “Supply of arms,”<sup>408</sup> “British forces,”<sup>409</sup> “Oil,”<sup>410</sup> “National assembly,”<sup>411</sup> “UK,”<sup>412</sup> “Meeting: 1-26,”<sup>413</sup> “Despatches,”<sup>414</sup> “Judiciary,”<sup>415</sup> “Offices: Foreign,”<sup>416</sup> “Kuwait,”<sup>417</sup> and “Nos 271 - 317 (Described at item level)”<sup>418</sup> unless it is explicitly stated in other data elements such as “Description.” What’s more, AGDA fails to provide a statement about provenance or record’s creator in their FAs, which makes it difficult for a reader to determine provenance from the FAs alone. The reader most likely will have to search within

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<sup>406</sup> Labour relations. 1968. FCO 8/70. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/70> (accessed on 2/17/2021).

<sup>407</sup> Oil production. 1968. FCO 8/742. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/742> (accessed on 2/1/2021).

<sup>408</sup> Supply of arms. 1967. FCO 8/666. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/666> (accessed on 1/21/2021).

<sup>409</sup> British forces. 1967. FCO 8/676. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/676> (accessed on 1/7/2021).

<sup>410</sup> Oil. 1967-1968. FCO 8/681. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/681> (accessed on 1/9/2021).

<sup>411</sup> National assembly. 1967-1968. FCO 8/610. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/610> (accessed on 1/4/2021).

<sup>412</sup> UK. 1967-1968. FCO 8/31. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/31> (accessed on 1/18/2021).

<sup>413</sup> Meetings: 1-26. 1968 Jan 01 - 1968 Jun 30. CAB 159/48. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/cab/159/48> (accessed on 1/17/2021).

<sup>414</sup> Despatches. 1923. CO 727/5. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/co/727/5> (accessed on 1/4/2021).

<sup>415</sup> Judiciary. 1968. FCO 8/545. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/545> (accessed on 1/13/2021).

<sup>416</sup> Offices: Foreign. 1923, May - Dec. CO 727/6. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/co/727/6> (accessed on 1/5/2021).

<sup>417</sup> Kuwait. 1968. FCO 8/529. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/529> (accessed on 2/10/2021).

<sup>418</sup> Nos 271 - 317. (Described at item level). 1956 July 18-Aug 21. DEFE 5/70. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/defe/5/70> (accessed on 2/1/2021).

the materials and/or request additional information from an AGDA representative regarding provenance and information about the records creator(s).

Given this information, Research Question B.2. can be addressed, which states, “Did they create their own descriptions? If yes, then: how did they apply the principle of provenance?” These Research Questions, along with the related Research Question B.2.1., asks, “Is the description [i.e., the finding aids] created with an assumption of singular provenance or does it in any way indicate multiple provenance/co-creatorship (i.e., by the Gulf peoples)?” When compared to TNA’s FAs, AGDA created their own description for each FA and only uses TNA’s reference numbers and the majority of their titles. Unlike TNA, which purposely provides details on provenance by listing the creators or inheritors of each discrete holding to indicate singular provenance by British agents, AGDA does not explicitly include this information in their FAs. This clear conclusion on singular provenance in TNA cannot also be made for the FAs in AGDA because there is insufficient information on provenance to make that determination. Thus, it can be concluded that AGDA’s application of the principle of provenance does not follow TNA’s application. There is some room for subjectivity, including the possibility of multiple provenance and co-creatorship by the Gulf and/or other entities besides the British. This can also be supported by the addition of a description found only in AGDA’s FAs and not in TNA’s FAs. Thus, it can be assumed that the conception of provenance being applied by AGDA is vague but clear as being singular in TNA. However, since there is no clear indication of provenance in AGDA’s FAs, closer reading into each FA could possibly elucidate this divergence.

## **Provenance of the Gulf-Based Records: Singular, Undetermined, or Possible Multiple and/or Co-Creatorship?**

The following sections provide several examples of FAs, based on the type of provenance I determined after the close readings of AGDA's FAs. I categorized provenance into 1) singular, 2) undetermined, and 3) possible multiple and/or co-creatorship, based on the information provided in the FAs. For some examples, I compared AGDA FAs to TNA's FAs to justify my reasoning for the possibility of co-creatorship.

### **Singular Provenance by the British as Determined by the "Title" and "Description"**

In this section, there are examples of FAs that indicate singular provenance by the British because there is no evidence for co-creatorship and/or multiple provenance that can be found within the FAs' "Titles" and "Descriptions." Many of these FAs refer to British entities and organizations and can then be determined to be singular provenance by the British, which is also supported by its paired TNA FA.

#### ***Ex.1.***

Reference: FO 371/109826

Title: Report on visit to Kuwait by Mr Shuckburgh

Description: This file contains correspondence relating to:

- C E A Shuckburgh, who arrives in Kuwait on 13 November and departs on 15 November for Basra (1)
- Account of Shuckburgh's visit to Kuwait (2)<sup>419</sup>

Because there is no evidence for multiple provenance and/or co-creatorship, it can thus be assumed by default to be singular provenance by British agents. To back up this claim, the reader can refer back to the paired FA in TNA and locate the information on provenance in each FA.

TNA FA describes the creators or inheritors of the records as: "FO – Records created or inherited

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<sup>419</sup> Report on visit to Kuwait by Mr Shuckburgh. 1954. FO 371/109826. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fo/371/109826> (accessed on 2/12/2021).



by the Foreign Office. Division within FO – General Correspondence from Political and Other Departments.”<sup>420</sup>

**Ex.2.**

Reference: FCO 8/3855

Title: Major commercial projects in the Persian Gulf: Middle East contracts

Description: This file concerns the monitoring of commercial and defence contracts in the Middle East, upon the request by the Minister of State for Foreign and Commonwealth Affairs Douglas Hurd. It contains memoranda and correspondence concerning:

- Lists of major projects proposed in the UAE, Qatar, Kuwait, Bahrain, Iraq, Oman, the Yemen Arab Republic (North Yemen) and Saudi Arabia
- Desalination units for Dubai Aluminium Company Limited (DUBAL)
- The proposed construction of a hospital in Sharjah
- A new arrivals terminal for Dubai International Airport
- The poor performance of British contractors in winning commercial contracts in Oman
- A proposed naval base in Oman
- The contract for the construction of the proposed Sultan Qaboos University in Oman
- The poor communication within HMG, and between HMG and commercial interests undermining the ability of British contractors to win contracts
- The project for the construction of an airbase in Qatar; French competition for contracts; and the undertaking of consultation by the Qataris themselves
- The failure of British contractors to make a substantial effort to win a contract for gas turbines for Qatar
- The poor sales capability of British manufacturers and contractors
- The development of the North West Dome Gas Field
- The sale of Chieftain tanks to Kuwait
- The construction of natural gas storage tanks on Das Island
- Well head development at the Upper Zakum oil field
- The local manufacture of Hawk aircraft in Iraq
- Aircraft sales and defence cooperation with Saudi Arabia
- The sale of Hawk to the UAE, and an article in *The Times* concerning the Prime Minister Margaret Thatcher’s mishandling of the sale during her visit to the Gulf in April 1981
- The sale of Rapier missiles to Qatar
- Possible contracts with the Arab Satellite Communications Organisation (ARABSAT)

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<sup>420</sup> Report on visit to Kuwait by Mr Shuckburgh. 1954. FO 371/109826. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C2867308> (accessed on 12/12/2020).

- HM Ambassador to Qatar C T Brant’s monitoring of the prospects for contracts in Qatar<sup>421</sup>

In this example, there is mention of correspondence between a British entity and/or organization, but there is no mention to whom these correspondences and memoranda are addressed. There is insufficient evidence to determine multiple provenance and/or co-creatorship in this case, and by default, it is singular provenance by the British. To clarify this claim, the reader can refer back to the paired FA in TNA and identify the creator or inheritor of the record. The record’s creator or inheritor is clearly stated as: “FCO - Records of the Foreign and Commonwealth Office predecessors. Division within FCO – Records of the Political Geographical Departments.”<sup>422</sup>

**Ex.3.**

Reference: FCO 8/8

Title: Political Agents’ conference 1967

Description: This file relates to the 1967 Political Agents Conference. It contains correspondence on:

- Present prospects and future policy in the Gulf
- Relations between the Gulf States
- Bahrain-Qatar affairs and fishing limits
- Sultanate affairs
- The Trucial States Census
- Dhofar
- Request for provision for an O and M advisor
- Currency
- Military matters
- Training areas in the Trucial States
- Defence of the Kuria Muria islands
- Use of service aircraft by civilians
- Kuwait
- Relations between HMG and the Gulf States
- The Gulf States' external relations

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<sup>421</sup> Major commercial projects in the Persian Gulf: Middle East contracts. 1981 Jan 01 - 1981 Dec 31. FCO 8/3855. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/3855> (accessed on 2/7/2021).

<sup>422</sup> Major commercial projects in the Persian Gulf: Middle East contracts. 1981 Jan 01 - 1981 Dec 31. FCO 8/3855. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C11919081> (accessed on 12/9/2020).

- Press correspondents
- Gulf Governments’ external PR arrangements
- Abu Dhabi-Dubai relations
- The Gulf Technical Institute
- Abu Dhabi Police<sup>423</sup>

This specific FA’s description lists the topics of the 1967 Political Agents Conference and does not seem to include Gulf peoples or entities on this list. For this reason, multiple provenance and/or co-creatorship can safely be ruled out, which then leads to singular provenance by the British. This is further clarified in the paired TNA FA, which describes the creator or inheritor of the record as: “FCO - Records of the Foreign and Commonwealth Office predecessors. Division within FCO – Records of the Political Geographical Departments.”<sup>424</sup>

### **Singular Provenance by the British as Determined in the “Description”**

The following includes an example where there is little to no information that can possibly rule out singular provenance by the British. By default, then, provenance can be determined as singular provenance by the British because there is no evidence to indicate multiple provenance and/or co-creatorship based on the AGDA FAs alone. Additionally, there is no clear statement of provenance in AGDA, and the abbreviations of the offices and entities make it even more difficult to determine the creator or inheritor of the discrete holdings and to whom they belong. There may be some exceptions, but this is the overall pattern. This can be clarified by referring back to TNA FAs to further clarify provenance details.

#### ***Ex.1.***

Reference: CAB 148/18

Title: Meetings 1-55. Includes subject index

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<sup>423</sup> Political Agents’ conference 1967. 1967. FCO 8/8. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/8> (accessed on 2/5/2021).

<sup>424</sup> Political Agents’ conference. 1967. FCO 8/8. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C5065279> (accessed on 12/23/2020).

Description: This file contains cabinet memoranda for the Defence and Overseas Policy Committee's minutes of meetings from 13 January to 22 December 1965. Of relevance to the Gulf are the memoranda concerning:

- Defence Economies, detailing cost saving measures for British defence, including prioritising objectives 'East of Aden' (2nd, 4th)
- Military aid to the Central Treaty Organisation (CENTO); and the UK's relations with the United Arab Republic (11th, 19th)
- Aden, including details of military and internal security operations; the possibility of a constitutional convention in South Arabia; the possibility of a visit by a UN official; and wage rates in Aden (17th, 30th, 33rd, 36th, 42nd, 44th)
- The Trucial States, and in particular the Arab League's offer of aid; and the internal politics of Sharjah (27th, 30th)
- The UK's future policy towards CENTO; the Trucial States; and the remaining British colonial possessions (28th, 39th)
- The question of intervention in Kuwait in the event of a coup (33rd)
- The defence review and possible withdrawal from the Gulf (36th, 52nd)
- The situation in Yemen (37th)<sup>425</sup>

### **Insufficient Information from AGDA Finding Aids Alone to Determine Provenance**

The information provided in AGDA's FAs is insufficient to determine how provenance is being assigned or conceived. However, from the description, the reader may draw the conclusion that, since this record is originally held by TNA, the default provenance in this case is singular provenance by the British. If the reader desires to better understand provenance, s/he would have to refer back to TNA's paired FA to refer to the creators and/or inheritors of the records to determine provenance.

#### ***Ex.1.***

Reference: AIR 23/646

Title: Development of air route along Arabian coast

Description: This file contains correspondence from Air Staff Headquarters, RAF Iraq Command at Hinaidi concerning the development of the air routes which pass through the Gulf and the south coast of Arabia to India and Aden, particularly reconnaissance and development of landing grounds and anchorages for flying boats and the development of other air facilities. It includes: Beginning of Imperial Airways flights along the Gulf Coast, following the termination of their overflight agreement with the Persian [Iranian] authorities

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<sup>425</sup> Meetings 1-55. Includes subject index. 1965 Jan-Dec. CAB 148/18. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/cab/148/18> (accessed on 2/2/2021).

- Tables displaying the air facilities required in the Trucial States, Kuwait and the Sultanate of Muscat and Oman; with notes on the Rulers' attitudes
- Suggestions for overcoming the Rulers' obstruction of the development of air facilities, ranging from subsidies to blockades to force
- Plans to reconnoitre the coast of the Sultanate between Masirah Island and Murbat [Mirbat]<sup>426</sup>

The reader may default to the perspective of singular provenance by the British because the physical materials are housed in TNA. To gather more information about provenance, the reader may need to refer to TNA for a thorough description of its creator or inheritor. TNA's FA clearly states the creator of the discrete holding. It lists the creator or inheritor as the "AIR - Records created or inherited by the Air Ministry, the Royal Air Force, and related bodies. Division within AIR -Records of the Royal Air Force."<sup>427</sup> All these titles come from the paired TNA FAs and clearly describe provenance as singular by the British.

**Ex.2.**

Reference: AIR 5/1284

Title: Persian Gulf and Arabian Coast: mountains or mounds

Description: This file contains overseas geographical information from the Air Historical Branch of the Air Ministry relating to mountains and hills of the Gulf and Arabian Coast. It lists the names of hills and mountains in English and Arabic, and contains details of their location and geographical features. The file also contains a note concerning the visit of the light tender *Nearchus* to Kuwait to lay temporary buoys for use by the Kuwait Oil Company Limited.<sup>428</sup>

For this FA, AGDA does not provide enough information to determine provenance - similar to the previous example. To better understand provenance, the reader may have to refer back to the paired FA in TNA, which lists the holding's creator or inheritor as the "AIR -Records

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<sup>426</sup> Development of air route along Arabian coast. 1932 Sept.-1933 Oct. AIR 23/646. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/air/23/646> (accessed on 1/12/2021).

<sup>427</sup> Development of air route along Arabian coast. 1932 Sept.-1933 Oct. AIR 23/646. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C748538> (accessed on 12/14/2020).

<sup>428</sup> Persian Gulf and Arabian Coast: mountains or mounds. 1936. AIR 5/1284. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/air/5/1284> (accessed on 2/4/2021).

created or inherited by the Air Ministry, the Royal Air Force, and related bodies. Division within AIR – Records of the Air Historical Branch.”<sup>429</sup>

**Ex.3.**

Reference: DEFE 5/12

Title: Defence Chiefs of Staff Committee: Memoranda

Description: This file contains the Defence Chiefs of Staff Committee memoranda from 2 August 1948 to 11 October 1948, concerning global strategy and potential war with the Soviet Union. Those relevant to the Gulf and the Middle East are memoranda relating to:

- The role of the Army at the outbreak of war, including the troop requirements for securing Britain’s position in the Middle East in the event of war (172)
- The problem of protecting of the oil fields in Kuwait, Qatar, Bahrain, and the Trucial States now that reinforcements are no longer available from Iraq and India; the risk of internal disturbances or tribal raids from Saudi Arabia; and proposals to develop a scheme to fly troops to the Gulf in time of need and to establish a local levy (185)
- Plans for the neutralisation of oil fields in Persia and Iraq and the destruction of the Trans-Persian Railway in the event of war, to deny their use to the Soviets (189)
- A proposal to maintain facilities in Egypt to serve as a base in the event of war in the Middle East; with a map displaying the Suez Canal Zone, Treaty Areas, and British military installations (191)
- Evacuation plans for British nationals in Iraq (197)
- The prevention of men of military age from entering Palestine or the Arab States (207)
- Plans for the defence of Transjordan and the development of communications and military installations (205, 220, 221)
- The future of former Italian colonies ; including the anticipated return of Italian Somaliland to Italian trusteeship, and the expected disturbances in the region (179, 202); plans for obtaining a British trusteeship over Cyrenaica, whose foreign relations will be guided by a British Resident, with a draft constitution for the territory (202, 232); and strategic naval requirements at Tripoli (222)
- Anglo-Egyptian relations and the defence of Egypt, including the need for British bases in the country (224)
- US and British strategic interests and requirements in Saudi Arabia (234)<sup>430</sup>

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<sup>429</sup> Persian Gulf and Arabian Coast: mountains or mounds. 1936. AIR 5/1284. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C5319007> (accessed on 12/10/2020).

<sup>430</sup> Defence, AGDA.

There is no clear information by which to determine provenance in this example. By default then, this is assumed to be singular provenance by the British because there is no evidence to rule it out. The description is rather vague and does not contain essential information regarding provenance, even though this information is readily available in TNA. To clarify provenance in Ex.3., the reader would need to refer back to TNA to validate singular provenance by the British because TNA's FA provides that information quite clearly. It states the creator or inheritor as "DEFE – Records of the Ministry of Defence. Division within DEFE – Records of the Defence Chiefs of Staff."<sup>431</sup>

**Ex.4.**

Reference: CAB 159/48

Title: Meetings: 1-26

Description: This file contains the minutes of the meetings of the Joint Intelligence Committee held from 4 January to 13 June 1968. Topics discussed include:

- The intentions and capabilities of Saudi Arabia with regard to Buraimi
- An assessment of the threat posed by Iraq to Kuwait
- The Consulate General at Basra
- The Tunb and Abu Musa islands
- Soviet policy in the Middle East and North Africa
- A draft report on 'likely developments in the Persian Gulf and their probable effects for British interests'<sup>432</sup>

This FA also does not provide sufficient information to determine provenance. The reader may need to refer back to TNA to gain a clearer understanding of provenance. In its parent institution, TNA, record's creator is clearly stated as: "CAB - Records of the Cabinet Office. Division within CAB -Central Intelligence Machinery."<sup>433</sup>

**Ex.5.**

Reference: FCO 8/2211

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<sup>431</sup> Nos 169 – 237, TNA.

<sup>432</sup> Meetings: 1-26, AGDA.

<sup>433</sup> Meetings: 1-26. 1968 Jan 01 - 1968 Jun 30. CAB 159/48. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C11021962> (accessed on 12/20/2020).

Title: Private visits from Kuwait to UK

Description: This file contains correspondence relating to the private visit to the UK of Kuwait's Chief of Staff General Mubarak Al Abdulla Al Jabir Al Sabah and of Teimour Ali Reza.<sup>434</sup>

Because there is insufficient information to determine who wrote this correspondence, I cannot determine whether this is singular provenance by the British or co-creatorship unless the digitized materials are viewed to find the creator of the correspondence. From AGDA's FA alone, many possibilities can arise. There could be correspondence from the British in regards to their impression of the Kuwaiti Chief of Staff, or the Chief himself penned these correspondences; however, it is unknown from the FA. Thus, provenance cannot be determined unless the reader refers to the records themselves or uses the proposed provenance provided by TNA. In its paired institution (TNA), the creator is clearly stated: "Records of the Foreign and Commonwealth Office predecessors. Division within FCO – Records of the Political Geographical Departments."<sup>435</sup>

### **Possible Multiple Provenance or Co-creatorship based on the "Description"**

There is some evidence that raises doubt about singular provenance by the British because there is not enough information about the original creators or inheritors of the records. However, there is sufficient information to possibly indicate co-creatorship based on key bullet points that explicitly state Gulf-based entities and rulers who may have contributed to the records.

#### ***Ex. 1.***

Reference: FO 1016/173

Title: Agreement between Ruler of Qatar and Petroleum Development (Qatar) Limited concerning oil royalties

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<sup>434</sup> Private visits from Kuwait to UK. 1974 Jan 01 - 1974 Dec 31. FCO 8/2211. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/2211> (accessed on 1/23/2021).

<sup>435</sup> Private visits from Kuwait to UK. 1974 Jan 01 - 1974 Dec 31. FCO 8/2211. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C11227980> (accessed on 12/22/2020).



Description: This file relates to the concession agreement between Petroleum Development (Qatar) (PDQ), Petroleum Concessions Limited (PCL) and the Ruler of Qatar Sheikh Ali Bin Abdulla Al Thani and the issue of oil royalties. It contains correspondence concerning:

- Approval by the Foreign Office and the Foreign Secretary Anthony Eden of the text of the concession agreement
- Report by C T E Ewart-Biggs on the unsuccessful attempt by the oil company to get Sheikh Ali to sign the supplemental agreement on the increase in oil royalties; Ewart-Biggs second report with the Ruler still refusing to sign citing unreasonably low royalty payments
- Sheikh Ali's amendments to the agreement
- Decision by Sheikh Ali that he will only sign the agreement if he is given an undertaking by either the oil company or HMG that this will not prejudice the immediate revision of the document if needed along with his insistence that Qatar be given similar terms to Iraq and Kuwait
- PDQ's assertion that a 50-50 agreement in the early stages of an oilfield's life is not profitable, citing the example of the Basra field in Iraq; HMG's advice that the company should look to assure the Ruler that after a specified time a 50-50 agreement could be negotiated; and PDQ's decision to open negotiations on a 50-50 basis with the Ruler
- Sheikh Ali's instructions to his advisor P L Plant to negotiate an agreement similar to Kuwait's
- PCL's list of proposals with which to open negotiations with Sheikh Ali
- Various draft articles within the agreement
- Table of comparison by PDQ of the projected 50-50 share of profits with existing payments<sup>436</sup>

This example does not explicitly show provenance, but there is strong evidence for co-creatorship with a shared contribution by the Gulf. Here, the Ruler holds power and authority to proceed with agreements and negotiations regarding petrol development in the Gulf region. This indicates that the Ruler has possibly co-created or contributed to the records and thus rules out singular provenance by the British.

***Ex.2.***

Reference: CO 727/3

Title: Offices: (except Admiralty, Foreign), Miscellaneous, Miscellaneous Institutions.

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<sup>436</sup> Agreement between Ruler of Qatar and Petroleum Development (Qatar) Limited concerning oil royalties. 1952. FO 1016/173. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/fo/1016/173> (accessed on 1/11/2021).

Description: This bound volume of Colonial Office correspondence with the India Office, the Board of Trade and others, relates to 'Arabia'. It contains letters, telegrams, minutes of meetings, reports and press cuttings on:

- Subjects raised between the Colonial Secretary Winston Churchill, his advisor Colonel T E Lawrence, the India Secretary Edwin Montagu, the Viceroy of India Lord Chelmsford [Frederic Thesiger] and the Earl of Reading [Rufus Isaacs], the Foreign Secretary Earl Curzon [George Curzon], the High Commissioner for Egypt Viscount Allenby [Edmund Allenby]; HMG Representatives in Jeddah, Cairo, the Persian Gulf at Bushehr, Muscat and Baghdad
- Treaty of Sèvres and Treaty of Versailles, efforts to get the King of Hejaz Hussein Bin Ali Al Hashemi to sign them, as well as an impending settlement with Turkey
- Amir Faisal Bin Hussein Al Hashemi of Iraq's satisfaction after meetings with Churchill and Lawrence
- Relations between Amir Faisal and France
- Meeting between General G Haddad Pasha and Monsieur Berthelot of the French Foreign Ministry
- Subsidies for Arab chiefs, including for King Hussein, Ibn Saud, the Imam of Yemen Yahya Mohammad Hamid Al Din and the Ruler of Asir Ali Bin Mohammad Al Idrisi
- Recalcitrant behaviour of the Ruler of Sharjah Sheikh Khalid Bin Ahmad Al Qasimi and the Ruler of Ajman Sheikh Humaid Bin Abdul Aziz Al Nuaimi concerning loans for Indian pearl divers
- Kuwait trade report with detailed statistical information
- Suppression of arms trafficking in the Gulf
- Reports on the situation in Persia [Iran]
- Cessation of gold shipments to Bahrain
- Translation of letters concerning oil, dated in 1915 and 1913 from the Ruler of Bahrain Sheikh Isa Bin Ali Al Khalifa and the Ruler of Kuwait Sheikh Mubarak Al Sabah Al Sabah
- Anglo-Persian Oil Company concession, including its ambitions in Arabia
- Oil concession in Hejaz
- Relations with King Hussein and the negotiation of a proposed treaty
- Imperial Ottoman Bank
- Request from the Amir Abdulla Bin Hussein Al Hashemi of Transjordan for RAF pilot training in Cairo or Ramallah
- Tense relations between King Hussein and Ibn Saud and the regional outlook of Ibn Saud
- Questions of whether to supply an armoured car and combat aircraft for King Hussein
- Fears of King Hussein that Wahhabis are planning to attack
- Report on the political situation in Nejd
- Supply of arms to the Idrisi of Asir
- Employment of Captain Fazl Al Din as British representative in Hodedah [Al Hudaydah]

- Salif and Kamaran salt deposits and the interest of the Abyssinian Corporation and the Eastern and General Syndicate Limited; a map of the Nile Valley, and a chart of the Red Sea
- Repairs to Red Sea lighthouses
- Report on HMG's relations with the Imam of Yemen
- Cotton growing in South Arabia
- Geological mission to Sultanate of Makalla [Al Mukalla] with colour maps
- National status of the Sultanate of Lahej, and the Sultan Sir Abd Al Karim II Bin Al Fadl Al Abdali's application for compensation
- Application for relief in the UK for Yemeni seaman Ali Abdul Hashady, and prisoner Abdul Saeed
- Subsidies to the Sultan of Muscat Taimur Bin Faisal, his desire to abdicate and his administrative reforms
- Report on negotiations between HMG and the Sultan
- Report on the Muscat Levies
- Guardianship of the Holy Places and the question of a Caliphate
- Visits to Mecca by HM's Muslim troops
- Quarantine at Kamaran
- Reports of a planned Wahhabi attack on pilgrims during the Hajj
- Re-employment of HMG's late representative in Mecca Nasir Al Din Ahmad
- Article by Colonel Lawrence entitled 'With Feisal at Court and Afield'
- Letter from W E Lee-Warner concerning Sayyed Mohammad Bin Aqil, partly in the Malay language<sup>437</sup>

Although this bound volume is inherited by the Colonial Office (with the India Office, the Board of Trade and others), there are individual materials within this volume - "letters, telegrams, minutes of meetings, reports and press cuttings" - that may have possibly been created by Gulf entities and rulers, or they may be direct contributors to the original documents found within this bound volume. This is indicated within the AGDA description of specific meeting minutes, letters, etc. of Gulf peoples and entities, who more than likely, contributed to the records. Thus, this raises the possibility of multiple and/or co-creatorship and casts doubt on singular provenance by the British, although they are the inheritors of these records.

**Ex.3.**

Reference: FCO 8/2210

Title: Kuwait oil for UK arms

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<sup>437</sup> Offices: (except Admiralty, Foreign), Miscellaneous, Miscellaneous Institutions. 1921. CO 727/3. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/co/727/3> (accessed on 1/11/2021).

Description: This file contains correspondence relating to a proposed barter-deal exchanging Kuwaiti oil for UK arms. The proposal was made by A T Lamb, at the suggestion of Sheikh Sa'ad Al Abdulla Al Sabah, and would have involved Jaguar aircraft, Chieftain tanks, and the Sea Dart missile system.<sup>438</sup>

In this example, the records are directly created upon the suggestion of Sheikh Sa'ad Al Abdulla Al Sabah, who initiated the correspondence with A T Lamb. This indicates that the Sheikh himself initiated or contributed directly to the record and can be considered as co-creator. Although the proposal was made by Lamb, it was ultimately the Sheikh who proposed the suggestion to sell Kuwait oil for UK arms and provided the information that went into the proposal referred to in this FA. Again, this casts doubt on who are the creators and contributors to the records.

*Ex.4.*

Reference: AVIA 2/1902

Title: ROUTES AND SERVICES: Foreign (Code 27/2): Arabian coast route-Bahrain landing ground

Description: This file concerns the development of air and naval facilities in Bahrain. It contains correspondence, maps, aerial photographs and minute sheets relating to:

- Question of whether to improve the existing landing ground at Manamah [Manama] for use by Imperial Airways for their service calling at Bahrain, or to use an alternative site on Muharraq Island
- Drafts of an agreement between the Government of Bahrain and Imperial Airways relating to the operations of civil air services to and from and in Bahrain
- Need to safeguard existing RAF rights in Bahrain and for British Government requirements more generally to be secured in relation to the Gulf air route
- Need to standardise the arrangements for the use of civil aerodromes in the Arab States of the Gulf
- Question of whether it is possible to ensure for Imperial Airways a privileged position in Bahrain or Gwadar [Gwadar] in relation to aircraft from other countries
- Request from Major Frank Holmes of the Eastern and General Syndicate Limited for permission to negotiate an oil concession in Bahrain and to acquire harbour facilities
- Possibility of the Admiralty developing a naval base in Bahrain as an alternative to the one on Henjam [Hengam] Island

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<sup>438</sup> Kuwait oil for UK arms. 1974 Jan 01 - 1974 Dec 31. FCO 8/2210. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/2210> (accessed on 1/18/2021).

- Question of the status of a new naval base with regard to the concession rights of Bahrain Petroleum Company in the area
- Arrangements for the purchase of land in Bahrain for RAF and Royal Naval purposes, including discussions with the Ruler of Bahrain Sheikh Hamad Bin Isa Al Khalifa
- Heads of the Bahrain Civil Air Agreement between HMG and the Ruler of Bahrain
- Survey of the areas of land acquired by HMG in Bahrain
- Question of possible improvements to the aerodromes at Gwadar, Sharjah and Kuwait
- Arrangements for the administration of the land acquired by HMG in Bahrain
- Arrangements for the evacuation of Hengam and the development of facilities at Bahrain
- Appraisal of air facilities on the Arab Coast of the Gulf and suggestions for improvements
- Termination of the lease of the ground on which the landing ground at Manama was situated<sup>439</sup>

*Ex.5.*

Reference: AVIA 2/2800

Title: This file was originally catalogued under more than one subject heading. Those headings, and details of this file, are as follows: AERODROMES: General (Code 4/2): Persian Gulf aerodromes: air agreements with Bahrain, Kuwait and Muscat. COLONIAL AND FOREIGN (Code: 11/1): Persian Gulf aerodromes; Air agreements with Bahrain, Kuwait and Muscat. ROUTES AND SERVICES: Foreign (Code 27/2): Persian Gulf aerodromes; air agreements with Bahrain, Kuwait and Muscat

Description: “This file concerns the civil air agreements made between the UK and Bahrain, Kuwait and the Sultanate of Muscat and Oman. It contains correspondence and minute sheets relating to:

- Appointment of Imperial Airways as agents on behalf of HMG for managing and maintaining civil aerodromes at Bahrain and Kuwait
- Authorisations issued by the Rulers of Bahrain and Kuwait and the Sultan of Muscat and Oman for certain aircraft to operate in and over their territories
- Negotiation of the terms of the Muscat civil air agreement, including the air navigation regulations, the conditions governing the use of the Gwadar [Gwadar] aerodrome, the continuance of the existing service facilities for the RAF and a request from France for authorisation for the use of facilities at Gwadar by French military and civil aircraft
- Arrangements for the payments due to the Rulers of Bahrain and Kuwait and the Sultan of Muscat and Oman under the terms of their civil air agreements
- Question of the future of the maintenance of Gwadar aerodrome
- Question of the exemption from customs duty of petrol and oil imported into Muscat, Bahrain and Kuwait for the use of Imperial Airways

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<sup>439</sup> ROUTES AND SERVICES: Foreign (Code 27/2): Arabian coast route- Bahrain landing ground. 1932-1936. AVIA 2/1902. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/avia/2/1902> (accessed on 1/27/2021).

- Question of informing the Government of the Netherlands of the Bahrain civil air navigation regulations and of forwarding copies of the Muscat air navigation regulations to France and the Netherlands
- Quarterly statements of landings made at Bahrain and Kuwait from 1934-1935
- Question of the collection of landing fees at Kuwait, Bahrain and Gwadar
- Possible revision of the financial clauses of the Kuwait, Bahrain and Muscat civil air agreements<sup>440</sup>

In these two examples (4 and 5), the descriptions of both FAs clearly provide evidence that there is a direct contribution by Gulf entities and key Gulf figures (i.e., Rulers, Sultans). This is sufficient information to rule out singular provenance by the British and lean more toward co-creatorship with the Gulf. From these AGDA FAs alone, provenance can be determined, and there is possible co-creatorship with the British and the Gulf. Even though it is now determined that there is a possibility of co-creatorship from AGDA’s descriptions in these FAs, TNA paired FAs do not provide any information in its descriptions to draw that same conclusion. Rather, I was mostly dependent on the details of provenance in TNA FA. This is stated as, “AVIA - Records created or inherited by the Ministry of Aviation and successors, the Air Registration Board, and related bodies. Division within AVIA -General records relation to aircraft research, development, production and civil aviation.”<sup>441</sup> Based on TNA’s paired FAs, I assumed that it is singular provenance by the British because there is no description within each of the FAs itself, and provenance is explicitly provided in the FA by TNA.

**Ex. 6.**

Reference: CAB 134/2342

Title: Official Committee on the Middle East: Papers: 29-58

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<sup>440</sup> This file was originally catalogued under more than one subject heading. Those headings, and details of this file, are as follows: AERODROMES: General (Code 4/2): Persian Gulf aerodromes: air agreements with Bahrain, Kuwait and Muscat. COLONIAL AND FOREIGN (Code: 11/1): Persian Gulf aerodromes; Air agreements with Bahrain, Kuwait and Muscat. ROUTES AND SERVICES: Foreign (Code 27/2): Persian Gulf aerodromes; air agreements with Bahrain, Kuwait and Muscat. 1934-1937. AVIA 2/2800. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/avia/2/2800> (accessed on 1/27/2021).

<sup>441</sup> This file was originally catalogued under more than one subject heading. Those headings, ... 1934-1937. AVIA 2/2800. The National Archives, UK. <https://discovery.nationalarchives.gov.uk/details/r/C2685160> (accessed on 12/24/2020).

Description: This file contains memoranda for the Official Committee on the Middle East's minutes of meetings from 21 May 1958 to 19 December 1958. Those relevant to the Gulf are the memoranda concerning:

- The transport of oil from the Middle East, including a joint report by US and UK officials discussing ways in which the two governments can prevent the west becoming vulnerable to interference with the flow of oil supplies from the Middle East (29, 32)
- HMG's future policy in Aden, including reference to: the possible changes in the constitutional and political position of Aden, and the effect these changes would have on the Gulf; and the proposal for a federation of states in the western protectorate of Aden (30, 31, 35)
- The agreement between the Arabian Oil Company and the Ruler of Kuwait Sheikh Abdulla Al Salem Al Sabah, whereby the Japanese company will be awarded an oil concession in the Kuwait neutral zone seabed (33)
- The damage of crops in the Middle East caused by drought and locusts (37)
- The effects of a serious stoppage in Middle East oil production, which may occur in 1960 or 1965 (38, 39)
- Economic relations between Britain and the Middle East, including proposals put forward by British officials to promote economic development in the Middle East (39)
- The Baghdad Pact, including summaries of: financial assistance already offered for the economic work of the Baghdad Pact, additional commitments from UK funds for economic developments, the US Development Loan Fund, and the progress being made on joint communications projects such as the Turkey-Iran railway (41)
- Oil supply to Jordan (42)
- The problem of introducing a new currency into the Gulf Sheikhdoms (44)
- HMG's future policy in the Middle East, including reference to: the revolution in Iraq, recent events in Jordan and Lebanon, the movement towards Arab unity, and the question of how Britain's basic requirements in the Middle East can best be secured in the new conditions that are emerging (50, 51, 52, 53, 55, 56, 57)
- The activities and influence of Cairo Radio (54)
- Iraq and the Sterling Area (58)<sup>442</sup>

Like the previous example, this FA description contains evidence for possible co-creatorship by the British, the Gulf, the Japanese, other Middle Eastern nations, the United States, and other entities that are all clearly mentioned within the description of this FA. The

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<sup>442</sup> Official Committee on the Middle East: Papers: 29-58. 1958 May-Dec. CAB 134/2342. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/cab/134/2342> (accessed on 1/21/2021).

description thus provides sufficient information to effectively rule out singular provenance by the British as inferred by its paired FA in TNA.

*Ex.7.*

Reference: FCO 8/137

Title: Visits to Persian Gulf by members of Houses of Parliament

Description: This file relates to visits to the Gulf by MPs after the Six-Day Arab-Israeli War in June 1967 and after Britain's announcement on 16 January 1968 that it intends to withdraw from the Gulf by the end of 1971. In particular it relates to a visit by Reginald Maudling MP to Bahrain, Kuwait, Saudi Arabia, Jordan and the Trucial States between 1-10 August 1967, in response to a suggestion by ministers that member of the opposition should visit some moderate Arab countries to balance visits by other MPs to Israel. He travels with Mr Troubridge from Kleinwort, Benson Limited (a merchant banking firm that Maudling is a director of) to discuss the progress on a hospital for the Saudi Royal Family. Much of the file concerns the itinerary, travel, and other arrangements for this visit. It also contains:

- Statement by Maudling prior to his departure
- Report of his encounter with King Faisal Bin Abdul Aziz Al Saud, who was outspoken about President Gamal Abdul Nasser, alarmed by communism, and suggested greater British support for the Arab States and a harder line against Israel
- Report of his encounter with the Kuwaiti Prime Minister and Minister of Finance and Oil
- British newspaper cuttings of Maudling's visit
- Record of a conversation between Maudling and the Ruler of Abu Dhabi Sheikh Zayed Bin Sultan Al Nahyan, during which Sheikh Zayed offered to finance Britain's continued presence in the Gulf
- Points of interest in the Kuwaiti press of 8 August 1967
- Transcript of a press interview with Maudling in Kuwait
- Record of a conversation with the Minister of State for Foreign Affairs George Thomson, in which Maudling recounted his tour

This file also relates to another visit by Maudling in February 1968. It contains correspondence and reports concerning:

- His meeting with the Kuwait Prime Minister Sheikh Jabir Al Ahmad Al Sabah where Britain's intention to withdraw from the Gulf, the future of the treaties and the future of the Trucial Oman Scouts were discussed
- His visit to Abu Dhabi where seemed to do little to further Conservative Party political aims, but focussed on furthering the interests of a firm of architects and consultants in which he and J G L Poulson are associated, including an interest in the Dubai International Airport terminal building



- His meeting with the Ruler of Bahrain Sheikh Isa Bin Salman Al Khalifa where he asserted that the Conservative Party would reverse HMG's decision to withdraw from the Gulf if it wins the next election
- Assessment of J G L Poulson Associates and the J G L Poulson Consortium by the Board of Trade

This file also contains correspondence relating to:

- Plans for ten MPs/Peers to visit the Gulf in September 1967 to see the work of the armed services overseas
- Suggested list of MPs who might be asked to visit Arab countries
- Visit by three MPs (Frank Judd, Daniel Awdry and Roland Moyle) to Kuwait as part of the Kuwait government's policy of putting the Arab case on Palestine to British MPs
- Visit by Eldon Griffiths MP to the Gulf as a guest of Kuwait, where he gave an interview to *Sawt Al Khalij* about problems in the Middle East and HMG's attitude
- Dispute between Margaret McKay MP and the Sheraton Hotel, Kuwait, regarding an outstanding bill for a delegation of businessmen
- Visit by Colin Jackson MP, at Kuwait's invitation, and the question of whether it is appropriate for him to be accompanied by Parliamentary Private Secretary Ernest Davies<sup>443</sup>

This example clearly provides evidence that there is a direct contribution by Gulf entities and key Gulf figures (i.e., Rulers, Sheikhs), which is found in the description of the FA. There is a clear description of multiple meetings and visits by Gulf rulers and other Gulf-based peoples. This is sufficient information to rule out singular provenance by the British and lean more toward co-creatorship with the Gulf. From this FA alone, there is evidence of possible co-creatorship on the part of the British and the Gulf.

**Ex.8.**

Reference: FCO 8/145

Title: Minister of State's visit to discuss withdrawal proposals

Description: This file relates to the visit to Iran, the Gulf, and Saudi Arabia by the Minister of State for Foreign Affairs Goronwy Roberts in January 1968. The purpose of the visit is to:

- Discuss HMG's impending announcement that it intends to withdraw from the Gulf by 1971

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<sup>443</sup> Visits to Persian Gulf by members of Houses of Parliament. 1967-1968. FCO 8/137. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/137> (accessed on 1/20/2021).

- Encourage cooperation in the Gulf
- Maintain friendly relations

It contains correspondence, briefs and records of the meetings with:

- The Shah of Iran Mohammad Reza Pahlavi
- The Ruler of Kuwait Sheikh Sabah Al Salem Al Sabah
- The Ruler of Bahrain Sheikh Isa Bin Salman Al Khalifa, who feared an Iranian move against Bahrain
- The Ruler of Dubai Sheikh Rashid Bin Saeed Al Maktoum
- The Ruler of Qatar Sheikh Ahmad Bin Ali Al Thani and the Ruler of Abu Dhabi Sheikh Zayed Bin Sultan Al Nahyan, who separately offered to help finance the maintenance of Britain's military presence
- King Faisal Bin Abdul Aziz Al Saud

This file also includes correspondence relating to:

- Brief on the situation for the US
- Details from the passports of Roberts, T F Brenchley, and H J Arbuthnott with physical descriptions
- Enquiries from British journalists about an article in a Beirut newspaper alleging that the purpose of the trip is to make arrangements for a joint defence of the Gulf
- Criticism of the decision to withdraw by Conservative Party MP Eldon Griffiths<sup>444</sup>

This FA provides an example of co-creatorship with the British because it lists a significant number of Gulf peoples by official titles within the description of the records. In the greater context of this FA, these Gulf rulers played a large role in creating and contributing to the records.

In sum, there are a significant number of AGDA FAs that contain details about correspondences, meetings, visits, and so on with Gulf peoples and their organizations that possibly rule out singular provenance by the British as described in its paired TNA FAs. Because singular provenance is sufficiently ruled out, it can then be ascertained from the descriptions of

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<sup>444</sup> Minister of State's visit to discuss withdrawal proposals. 1968. FCO 8/145. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fco/8/145> (accessed on 1/26/2021).

these AGDA FAs that there is a more than likely indication of co-creatorship by the Gulf and the British.

### **Undetermined Provenance**

The following examples are FAs that do not contain sufficient information to either rule out singular provenance by the British or assume multiple provenance and/or co-creatorship. In order to determine provenance in these cases, the reader must refer back to the paired FAs in TNA to find the information on provenance. Additionally, the reader may either refer to the actual materials or speak with a representative from AGDA to further clarify provenance in these cases.

#### ***Ex.1.***

Reference: FO 371/126948

Title: Commercial relations between Kuwait and Soviet Union

Description: This file contains correspondence relating to Kuwait and trade with the Soviet Union and includes a report on the business dealings of younger merchants with the Soviet Union through Egypt or Czechoslovakia (1).<sup>445</sup>

#### ***Ex.2.***

Reference: FO 371/168769

Title: Proposed military airfield in Kuwait

Description: This file contains correspondence relating to the continued discussion about the provision of a separate military airfield in Kuwait (1).<sup>446</sup>

#### ***Ex.3.***

Reference: FO 371/148886

Title: Jurisdiction in neutral zone between Kuwait and Saudi Arabia

Description: This file contains correspondence relating to:

- Road accident in the Neutral Zone. Questions have been raised on whether it is in Kuwait, Saudi Arabia or UK jurisdiction (1)
- UK's position on the jurisdiction in the Kuwait-Saudi Arabia Neutral Zone (2)<sup>447</sup>

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<sup>445</sup> Commercial relations between Kuwait and Soviet Union. 1957. FO 371/126948. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fo/371/126948> (accessed on 1/15/2021).

<sup>446</sup> Proposed military airfield in Kuwait. 1963. FO 371/168769. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fo/371/168769> (accessed on 1/26/2021).

<sup>447</sup> Jurisdiction in neutral zone between Kuwait and Saudi Arabia. 1960. FO 371/148886. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/fo/371/148886> (accessed on 1/17/2021).

These FAs contain minimal information on the key figures, creators or inheritors of the records. They only contain titles and a brief description without any further elaboration or bullet points. The paired FAs in TNA, on the other hand, clearly state the record creator or inheritor.

***Ex.4.***

Reference: FO 1016/121

Title: Orders in council

Description: This file contains correspondence and records of meetings relating to Judge C H Haines's report on judicial arrangements in the Gulf. The report examines the working of the Order in Council, covering a wide range of legislative issues, in each of the five jurisdictions: Bahrain, Kuwait, Qatar, the Trucial States and the Sultanate of Muscat and Oman. It includes recommendations and a memorandum on the operation of joint courts and is part of the ongoing review of the judicial system that followed the end of control by the Government of India. This file also contains the record of a meeting where it was decided that Kuwait Oil Company Limited (KOC) should persuade all European and American employees to make wills appointing an officer of the company as executor and other policies regarding the disposal of estates of foreign employees who die in Kuwait were determined.<sup>448</sup>

In this FA, although the description indicates that the records contain meetings and correspondence based on the report by Judge C H Haines, there is no evidence that describes who is receiving this report or using this report in the meetings held in each of the five jurisdictions. Also, there is insufficient information provided regarding the attendees of these meetings. For this reason, provenance can be determined as singular provenance by the British because there is insufficient data to indicate otherwise.

### **2.2.2. Finding Aids in Arabic**

After completing the close reading of the FAs in English in TNA and AGDA, I then shifted my attention to Research Question B.1.2. that asks, "Was any Arabic description a direct translation from the English description, or did it differ, and if so, in what ways?" This requires

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<sup>448</sup> Orders in council. 1949 Dec 18-1950 Dec 5. FO 1016/121. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/fo/1016/121> (accessed on 1/13/2021).

the close reading of each of the 699 Arabic FAs to compare them to their English counterparts in both TNA and AGDA. I concluded that the Arabic FAs are, in fact, a direct translation of the English description that was added by AGDA but not taken from TNA because there are no descriptions in TNA. This was consistently observed throughout all the FAs through Phase One, which leads to the answer for Research Question B.1.2. It can be concluded that AGDA created their own descriptions but used TNA's references and most of their titles. Then, AGDA directly translated their English FAs into Arabic, using the same description found in their English counterparts. Following up on the previous question, Research Question B.1.3. asks, "If they presented the British description, did they add any commentary to it?" Upon completion of the close reading of AGDA's FAs, I concluded that AGDA created their own descriptions for the English FAs and then translated them into Arabic.

### **2.2.3. Evidence for the Gulf Peoples as Co-creators of the Records and not Simply Subjects**

Phase One also includes the close reading of the 699 FAs of AGDA, in order to address Research Question B.3., which states, "How have the Gulf peoples and their organizations been represented in the finding aids?" A significant number of AGDA's FAs includes the official titles, positions, and full names of the Gulf peoples and organizations and lists them as such in the "Title" and "Description" of the FAs. More specifically, AGDA describes the Gulf peoples (their governments, organizations, and companies) as having a more direct contribution as authority figures who initiate and create agreements, negotiations, regulations, and correspondence with the British government and are directly responsible for the creation of the many records.

This is evident in many FAs that require the approval of the ruler of Kuwait or is dependent on the physical meeting with Gulf rulers. Additionally, many of these key Gulf figures are described with their respective titles, such as “Sheikh/Shaiikh” (ruler), Minister, King, Secretary General, and other notable and official titles that are considered similar to their British counterparts. Furthermore, the FAs describe the Gulf rulers and other Gulf leaders as having a crucial role in determining Gulf-related affairs, land use, trade, oil negotiations, and other important correspondences and political decisions and are described as primary, notable, principal, and main correspondents in many of the FAs pertaining to the Gulf. What is more significant is information regarding petrol negotiations in regards to the British seeking permission from the Gulf rulers to enter the Gulf region. This includes setting up meetings, correspondences, and negotiations between the British and the Gulf peoples to set up these regulations and agreements. This indicates that the Gulf nations are sovereign entities that create their own regulations outside of total British control and also govern their own lands and its natural resources. Hence, although AGDA’s FAs provide insufficient information regarding provenance, there are clear cases in which the information contained within the FAs provides a clearer understanding of multiple provenance and/or co-creatorship rather than the assumed singular provenance by the British, as determined in TNA FAs.

***Ex.1.***

Reference: FCO 8/1201

Title: Islamic diplomacy

Description: This file relates to diplomacy in the Islamic world and contains memoranda and correspondence relating to:

- Conference of Islamic organisation held under the aegis of the Muslim World League in Mecca and the call for jihad against Israel at the Conference
- Aims and aspirations of Malaysia in the wider Islamic community and the International Islamic Conference held in Kuala Lumpur
- Position of Islam in Somalia and the country’s relationship with the Islamic world
- King Faisal Bin Abdul Aziz Al Saud of Saudi Arabia’s call for jihad against Israel

- Question of the doctrinal basis for jihad in Islam
- Copy of a criticism in Arabic of the Iraqi Government by the Secretary General of the Islamic Society in London Sayyed Mahdi Al Hussein Al Khorassani
- Expected arrival of the new head of the Shia community in the UK Abdul Amir Safieddine in London
- Question of relations between Morocco and Mauritania
- Visit of the Moroccan Minister of Secondary and Technical Education Kacem Zhiri to Mali

The file also relates to the Islamic Summit Conference held in Rabat, called by King Hasan II Bin Mohammad Al Alawi of Morocco to coordinate a reaction to the fire at the Al Aqsa Mosque in Jerusalem. It contains memoranda and correspondence relating to:

- King Hasan's reasons, internal and external, for calling the Conference
- Question of the location of the Summit
- Question of whether the Summit should include all Islamic nations or only those in the Arab world
- Tension between the religious and the political aspects of the Summit
- Tour of the Moroccan Foreign Minister Ahmad Mulay Laraki across the Islamic world to gain support for the Summit
- Preparatory conference preceding the Summit
- Uncertain position of Turkey towards the Summit
- Attendance at the Summit, including that of the Ruler of Kuwait Sheikh Sabah Al Salem Al Sabah, King Hussein Bin Talal of Jordan, King Faisal of Saudi Arabia and the Shah of Iran Mohammad Reza Pahlavi at the Summit; and the question of the attendance of representatives from the Gulf States
- Question of the United Arab Republic's (UAR) commitment to the Summit; the President of the UAR Gamal Abdul Nasser's failure to attend, and his criticisms of the lack of sufficient political preparation; and broadcasts on the Voice of the Arabs regarding the UAR's position
- Attendance of delegates from India and the problem of India-Pakistan relations at the Summit
- Admittance of Palestinian Liberation Organisation (PLO) delegates
- Agenda of the Summit
- Texts of the resolution and declaration made by the Summit
- Articles in the *Observer*, the *Guardian*, the *Financial Times*, and *The Times* concerning the Summit
- Radio broadcast outlining Yemeni objections to the Summit
- Report from the British Embassy in Rabat summarising the Conference
- Question of a follow-up meeting of foreign ministers in Jeddah
- Internal political developments in Indonesia, Algeria and Pakistan following the Conference
- Visit of King Faisal and the Foreign Minister of Kuwait Sheikh Sabah Al Ahmad Al Jabir Al Sabah to Geneva after the Summit

- Meeting of King Hasan and the presidents of Algeria and Mauritania after the Summit
- Reactions to the Summit in the Arab media<sup>449</sup>

Personalities:

Faisal Bin Abdul Aziz Al Saud  
 Gamal Abdul Nasser  
 Hussein Bin Talal  
 King Hasan II  
 Mohammad Reza Pahlavi  
 Sheikh Sabah Al Ahmad Al Sabah  
 Sheikh Sabah Al Saleem Al Sabah<sup>449</sup>

**Ex.2.**

Reference: FCO 8/620

Title: Foreign policy

Description: This file relates to the foreign policy of Kuwait. It contains correspondence concerning:

- Prime Minister of Kuwait Sheikh Jabir Al Ahmad Al Sabah's statement explaining the logic of Kuwaiti foreign policy in seeking mediation between its Arab neighbours
- Declaration of martial law in Kuwait in the wake of the June 1967 Arab-Israeli War; and the resulting ban on all non-Arab military planes and warships from its airspace and territorial waters
- Arab League Foreign Ministers' Meeting in Kuwait in the wake of the conflict; and press cuttings from the *Daily Telegraph* concerning this

Personalities:

Sheikh Jabir Al Ahmad Al Sabah<sup>450</sup>

**Ex.3.**

Reference: FO 1016/10

Title: Kuwait: administration of the neutral zone

Description: This file relates to the Kuwait Neutral Zone. It contains correspondence on:

- Agreement regarding the administration of the Neutral Zone between Saudi Arabia and Kuwait
- Letter from Aziz Abdul Rahman Al Faisal Al Saud [Ibn Saud] to Sheikh Ahmad Al Jabir Al Sabah, requesting collaboration in the administration and supervision of the affairs of government in their zone, relating to the importing of material and

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<sup>449</sup> Islamic diplomacy. 1968 Jan 01-1968 Dec 31. FCO 8/1201. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/fco/8/1201> (accessed on 2/3/2021).

<sup>450</sup> Foreign policy. 1967. FCO 8/620. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/fco/8/620> (accessed on 1/13/2021).



equipment for the employees and labourers of the two oil companies. It also contains the Kuwait Political Agent's response

- Report on the boundaries of Kuwait
- Various correspondence on the demarcation of boundaries regarding oil exploitation in the Saudi-Kuwait Neutral Zone

Personalities:

Ibn Saud

Sheikh Ahmad Al Jabir Al Sabah<sup>451</sup>

**Ex.4.**

Reference: FO 1016/510

Title: Kuwait sea-bed oil concession

Description: “This file relates to the oil rights of Kuwait's seabed. It contains:

- Copy of a seabed concession agreement
- Correspondence on Shell's passing to the Ruler of Kuwait Sheikh Abdulla Al Salem Al Sabah a copy of the company's agreement with Qatar
- Notes on the differences between the Qatar agreement and the draft Kuwait agreement
- Map of the seabed area
- Correspondence on the 550 square miles 'safe area' of the future concession, including on Iraq's claim to Khawr Abdulla
- Correspondence on the interest expressed by Standard Oil of New Jersey, which wants to make a geophysical survey; a consortium of BP-Gulf Oil Corporation-Shell; and a consortium of Continental Oil Company Limited-Cities Service Oil Company Limited-Conorada Petroleum Corporation
- Correspondence on the Ruler of Kuwait's wish for US companies to price bids in dollars and HMG's preference for sterling
- Request from the Iranian Embassy in Paris for geographical and geological information
- Correspondence concerning Cities Services, the National Iranian Oil Company and the Iranian offshore oil concession”

Personalities

Sheikh Abdulla Al Salem Al Sabah<sup>452</sup>

**Ex.5.**

Reference: AIR 5/332

Title: Conference at Koweit (Kuwait) between Nejd, Trans-Jordania and Iraq for settlement of boundaries

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<sup>451</sup> Kuwait: administration of the neutral zone. 1949 Feb 21-Dec 13. FO 1016/10. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/fo/1016/10> (accessed on 1/6/2021).

<sup>452</sup> Kuwait sea-bed oil concession. 1956. FO 1016/510. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ac/en/catalogue/tna/fo/1016/510> (accessed on 1/13/2021).

Description: This file relates to the unsuccessful conference at Koweit [Kuwait] for the settlement of borders between Iraq, Trans-Jordania [Transjordan], the Sultanate of Nejd and the Kingdom of Hejaz. It includes details of the arrangements for, and negotiations undertaken at, the conference containing correspondence concerning:

- Implications of the border dispute between Nejd, Iraq and Transjordan on the air route between Transjordan and Iraq
- Sheikh of Mohammerah Khaz'al Bin Jabir Bin Merdaw Al Ka'bi's offer to host the conference
- Arrangement of the location, timing, invitations and expenses of the conference
- Appointment of Colonel G Knox as HMG's representative at the conference; and Knox's illness threatening proceedings
- Unwillingness of the Rulers Amir Abdul Aziz Bin Abdul Rahman Al Saud (Ibn Saud) of Nejd, King Faisal Bin Hussein of Iraq and Amir Abdulla Bin Hussein of Transjordan to attend; and problems relating to the lack of authority afforded to delegates at the conference to make decisions on behalf of their Rulers
- Delays to the commencement of the conference
- Consideration of Ibn Saud's willingness to cooperate
- The 'undesirability' of the representatives at the conference
- King Faisal's suggestion that he be the sole representative of Iraq, Transjordan and Hejaz
- Crisis on the border between Nejd and Hejaz; Iraq and Transjordan's support for Hejaz; and HMG's attempts to induce King Hussein Bin Ali of Hejaz to participate in the conference
- Dispute between Iraq and Nejd concerning cross border raiding by tribal refugees seeking sanctuary in Iraq from Ikhwan tribesmen allied to Ibn Saud; and the large raid across the Iraqi border precluding further negotiations
- Border dispute between Transjordan and Nejd; suggestions for reaching a settlement through plebiscites or a buffer state between Nejd and Transjordan; and efforts to conclude the conference with a six month truce
- Adjournment and subsequent recommencement of the conference
- Ibn Saud's ill health and rumours of his death
- Question of HMG coercing Ibn Saud to make concessions and Knox's suggestions for establishing treaty arrangements with the Saudis
- Termination of the conference without any agreement"

Personalities

Ibn Saud<sup>453</sup>

Here is a great example of a failed conference that did not result in an agreement because of the significantly strong influence of the Gulf rulers' authority in the Gulf region. Without their power and authority to initiate and set agreements regarding many regulations and other trade

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<sup>453</sup> Conference at Koweit (Kuwait) between Nejd, Trans-Jordania and Iraq for settlement of boundaries. 1922-1924. AIR 5/332. Arabian Gulf Digital Archive, Abu Dhabi, UAE. <https://www.agda.ae/en/catalogue/tna/air/5/332> (accessed on 1/9/2021).

and commerce-related issues, the British and other Gulf entities cannot continue trade and business. Thus, this FA shows how influential the Gulf rulers are in setting and maintaining authority within the Gulf region.

### **2.3. Conclusion for TNA-AGDA Paired Cases**

To conclude, there are 699 FAs in TNA with its English and Arabic counterparts in AGDA. Overall, the FAs in both institutions vary greatly in their application of the principle of provenance. TNA does not describe the discrete holdings but consistently applies the traditional principle of provenance to its FAs by clearly providing details on the creators and inheritors as well as the offices in which the records are held. There is a clear indication of singular provenance by the British throughout all of the 699 FAs - regardless of the FAs' descriptions or the possibility of a Gulf creator or contributor to the discrete holdings. On the other hand, the FAs in AGDA do not provide a "Creator" element, nor do they include elements for "Administrative History" or other elements that provide information leading to the determination of provenance. Rather, provenance in this case is subject to interpretation, or the reader can refer back to TNA's FAs to determine provenance. Additionally, the reader can inquire with an AGDA representative, who can further explain AGDA's rationale for not explicitly including information regarding provenance and can further elaborate on any of the FAs in question. Based on my own close reading of AGDA's FAs, there may be a few possibilities for provenance, depending on the FAs: singular provenance by the British, undetermined provenance, or multiple provenance and/or co-creatorship with the Gulf.

Additionally, I interpreted the reasons for why provenance is not clearly provided contrary to TNA. There may be a few reasons for why AGDA does not include the creator/inheritor, even though this information is provided for them in TNA. Some assumptions

for this may be that 1) AGDA does not have professional archivists on its staff who understand provenance and can explain it on the FAs; 2) AGDA may not necessarily adhere to the practice of singular provenance by the British and intentionally leaves out this information; and 3) the FAs do not meet a standard format of archival description due to minimal archival education and training in the Gulf. Provenance may need to be inquired about and further determined in Phase Two, during the interviews with representatives from TNA and AGDA. Thus, it can be concluded that AGDA's FAs are poorly described and lack contextual information.

Consequently, it is difficult to determine if the FAs are created with an assumption of multiple or even singular provenance because of the incomplete information provided in these FAs. For this reason, the current description does not answer the research question of whether or not the FAs were created with an assumption of singular provenance or multiple/co-creatorship by the Gulf.

### **3. Cross-case Patterns: How the Principle of Provenance is Applied by Each of the British-Based Institutions**

Research Question A.2. that has to do with the comparison of the two British cultural heritage institutions states, "Are there any differences between how the BL and TNA applied the principle of provenance in their descriptions of the Gulf records?" In regards to provenance, there are clear differences between how the BL and TNA applied the principle of provenance in their descriptions of the Gulf-based records. When comparing and contrasting the two British-based cultural heritage institutions' application of the principle of provenance, it can be concluded that the BL does not provide the reader with sufficient information regarding creatorship and/or inheritance of the records to confidently determine provenance. The BL also complicates the process of determining provenance. As previously explained, more than one data element must be taken into consideration when trying to determine provenance. However, from

the BL's discrete holdings' "Title" and other data elements such as "Contents and Scope," for instance, there is a strong possibility to draw the conclusion of multiple provenance and/or co-creatorship.

My close reading has also concluded that the BL fails to provide sufficient information regarding the principle of provenance and its application in many of its FAs. Provenance is still vague and subject to my own interpretation, based on the information found in the FA data element alone (without going into the actual materials). Additionally, for the BL's FA data elements, there are a few exceptions. There are data elements titled "Creator," "Custodial History," "Origin," and "History and Origin" that give the creator and provenance information. However, these numbers are fewer than ten in total. However, the majority of the FAs contain information within its data elements that can help the reader determine provenance, especially the "Contents and Scope" and sometimes the "Title."

Since the BL does not explicitly provide creator/inheritor information, there is a greater likelihood of multiple provenance and/or co-creatorship. The BL does include a data element titled, "Collection Area," which provides the office and/or entity that holds the records. However, it is unclear how the BL is utilizing this element in regards to provenance. This changes how the principle of provenance is applied in the BL's Gulf-based FAs that was explained previously. This determination of provenance could be subject to my interpretation of the FAs and might or might not be the case unless possibly clarified by a BL representative.

On the other hand, the structure and content of TNA's FAs provide information that refer to the creator/inheritor of the records, which can help to easily determine provenance. TNA thus applies the traditional principle of provenance as being singular provenance by the British, which could very well be intentional. TNA also provides the reader with detailed information about the

creators/inheritors of the records, their offices, and their office divisions. This leaves virtually no room for subjectivity and indicates that they apply provenance with the intention of singular provenance by the British. This can also be why there is no description included in the FAs of each discrete holding. Overall, both institutions differ in how the principle of provenance is applied. The BL raises the possibility of co-creatorship, whilst TNA clearly practices singular provenance. To further verify this conclusion, I sought to ask a representative from each institution to define the principle of provenance and explain how provenance is applied in the FAs.

#### **4. Cross-case Patterns: How the Principle of Provenance is Applied by Each of the Gulf-Based Institutions**

Research Question B.4. that has to do with the comparison of the two Gulf cultural heritage institutions states, “Are there any differences between how QNL and the NA UAE applied the principle of provenance in their descriptions of the Gulf records?” It can be concluded that both institutions do not provide the reader with sufficient information regarding creatorship and/or inheritance of the Gulf-based records to confidently determine provenance. It is important to note here that it is unknown how each of the Gulf-based cultural heritage institutions define and apply the principle of provenance. Thus, to better understand how provenance is applied in each case, I relied on my own expertise to subjectively determine provenance based on the information provided in the FAs alone. This can later be confirmed or denied by a representative from each institution.

Based on the close reading of the FAs in each Gulf-based cultural heritage institution, the following conclusion on provenance can be made. Firstly, QDL uses the BL descriptions but also includes a unique data element titled “Copyright Information” that includes the authors and

pages from the discrete holdings. QDL seems to lean more toward co-creatorship because they include a separate “Copyright” element that distinctly lists all the authors for each holding. Secondly, AGDA added their own description to their FAs that does not provide sufficient information to determine provenance. This conclusion is based on my own judgment from the information included in the FAs from AGDA alone. In general, most of the FAs do not contain sufficient information to confidently determine provenance. Rather, there are very few exceptions where creatorship is given, so I must subjectively determine provenance. Also, while TNA’s FAs explicitly provide the creators/inheritors of the records, AGDA does not include this information. AGDA also does not incorporate this information in their own FAs. This complicates my ability to determine provenance, and it could be the case that AGDA leaves this element absent to allow for the possibility of multiple provenance and/or co-creatorship.

Overall, the Gulf institutions do not necessarily provide creatorship/inheritor information because it is unclear if these institutions define or apply provenance when creating their FAs for the digitized records shared by their British partners. Their definition and application of the principle of provenance would then need to be defined clearly, in order to better understand how provenance is applied. This can clarify whether a FA is described as having a singular or multiple provenance. Also, both institutions do not provide sufficient information on provenance to make a clear determination of singular or multiple provenance.

## **CHAPTER V: ANALYSIS OF PHASE TWO: THE WRITTEN INTERVIEW RESPONSES**

This chapter discusses the data collected from the Written Interview Responses during Phase Two as described in the Research Methodology and Design Chapter. Phase Two designed to supplement the data collected and analyzed from Phase One - Close Readings of the finding aids (FAs). The written interview responses are secondary and supplementary to the analysis of the close readings of the FAs, therefore, my main research results derive from Phase One.

The written interview questions were sent out to representatives from each of the four cultural heritage institutions around August 2021. Each expert representative received written interview questions specifically tailored to their individual cultural heritage institution. The interview questions are closely aligned to this study's research questions and the findings from the close readings completed in Phase One.

Although the written interview questions were sent out to all of the four cultural heritage institutions: the British Library (BL), Qatar National Library (QNL), The National Archives of the United Kingdom (TNA), and the National Archives of the United Arab Emirates (NA UAE), only two written interview responses with consent were received back from the BL (in November 2021) and TNA (in September 2021) from their respective expert representatives. Thus, I cannot provide an overview of the Gulf-based institutions because they declined to participate in the virtual interviews and did not submit any written interview responses.

Initially, I intended to conduct semi-structured virtual interviews, which consisted of setting up a Skype call after sending a preliminary guide of written questions via email. These written questions were initially meant to serve as a guide for the virtual interview but instead ended up being used as the only responses received from the British expert representatives. The



expert representative from the BL initially welcomed a virtual interview but preferred to submit her responses via email. The expert representatives from TNA declined to participate in a virtual interview and consented to submit written interview responses.

For QNL, I reached out to the Director of Historical Research and Partnerships at QNL but did not receive a response. I subsequently reached out to other representatives of QNL, and was referred to a staff member at the BL. After contacting her, she agreed to answer the written interview questions for the BL. However, she made it clear that she was only expressing her views and expert opinions for the BL and that she could not answer on behalf of QNL.

### **1. A Within-case Analysis: The British Library (BL)**

The expert representative from the British Library was the Head of Curatorial Operations for the British Library's partnership with the Qatar Foundation. She is "responsible for the curatorial side of the British Library/Qatar Foundation Partnership" and holds "post-graduate degrees in Archival Administration, History and Literature."<sup>454</sup> The written interview questions specifically tailored to the BL are based on the research questions as well as the results from Phase One, which will be broken down into the following sections below. I am grateful for the written interview responses she provided although several aspects were left blank. For this reason, many of the interview questions that do not contain an answer are not addressed in this chapter. For the expert representative's responses that are available, the following sections go into further depth regarding how the BL Expert understands the expanded concepts of provenance.

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<sup>454</sup> Interview with British Library (BL) Expert Representative, November 8, 2021.

## 1.1. How the BL Applies the Principle of Provenance

Initially, the BL Expert acknowledged that she is familiar and understands the principle of provenance. Her response in Section Two: Questions Regarding Provenance provides a general archival understanding of the principle, and her definitions come from the ISAD(G): *General International Standard Archival Description* glossary and the Society of American Archivists' *Dictionary of Archives Terminology*. The BL Expert continues to provide definitions in Section Two, Question Three, including newer standards and definitions of provenance and a reference to *Records in Context* rather than directly referring to how these definitions are applied to the Gulf-based records. More specifically, Section Two, Question Three asks, "Are you familiar with the newer archival ideas regarding the nature of provenance, such as simultaneous multiple provenance and co-creatorship, that move away from the traditional principle of singular provenance (e.g., a creator, author or collector) and shift towards the possibility of two or more creators/contributors of the same record?" The BL Expert's responses related to provenance are based on the definitions she provided. She responds, stating "Yes. The 'Statement of Principles' in DACS outlines this. New standards such as *Records in Context* also address this idea."<sup>455</sup> Hence, she does not explain how provenance is practiced by the BL but rather gives me definitions to indicate that she is familiar with this provenance.

Continuing on, Section Two, Question Four asks, "Co-creation acknowledges all the parties that were involved in the creation of a record. Since creation is often reflected as provenance, . . . would you consider the possibility of multiple provenance or co-creatorship in relation to the records pertaining to the Gulf that have recently been digitally shared by the BL

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<sup>455</sup> BL Expert, interview.

with QNL?”<sup>456</sup> Again, the BL Expert does not explicitly state how provenance is applied. She just states, “The India Office records included in the BLQFP have multiple contributors. The British Library uses standards such as ISAAR(CPF) and the MARC Code List for Relators to record people, families and organisations with a relationship to the records being described.”<sup>457</sup> Based on this quote, there is insufficient evidence to determine how provenance is applied to the Gulf-based records according to the BL Expert’s response here.

To further clarify this response, I looked up the *ISAAR(CPF)* and *MARC Code List for Relators*. Essentially, these standards do not explicitly define or refer to simultaneous multiple provenance and/or co-creatorship, nor does the expert representative explain how these standards are explicitly applied to the Gulf-based archival records. Thus, it can be concluded that there is insufficient information on how provenance is applied to the Gulf-based records in the BL, and I cannot adequately answer this research question based on the responses provided by the expert representative.

Since she provides insufficient evidence to determine how the BL applies provenance, I then referred her to a finding from Phase One regarding the data element titled, “Collection Area.” Here, I had determined that there might be a correlation between “Collection Area” and provenance, since it lists the offices that held the records before the BL. This is specifically asked in Section Seven, Question One, which asks, “One of the components found in the finding aids is titled ‘Collection Area,’ especially for many of the finding aids with records that come from the ‘India Office Records and Private Papers.’ How then does the BL view the information provided under ‘Collection Area,’ and what is its relation to provenance?” The BL Expert

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<sup>456</sup> See Appendix 5: Interview Questions for British Library (BL) Representative, Section Two, Question Four.

<sup>457</sup> BL Expert, interview.

responded that “This is an administrative grouping that, for example, allows researcher enquiries relating to the BL collections to be directed to the appropriate team.”<sup>458</sup> My findings from Phase One thus do not align with her answer, which does not mention provenance. I concluded that the “Collection Area” relates to the provenance of the records. However, the BL Expert clarified that the “Collection Area” is more used by the administration to direct research enquiries rather than to refer to the provenance of the records. She redirects me to the aforementioned response when asked for more information in Section Seven, Question Four, “How does the collection’s area relate to provenance?” It can then be assumed from the BL Expert response to Question One that the “Collection Area” does not relate to provenance.

I continued to analyze the written interview responses by taking a look at Section Three, Question Six, which asks, “What can you tell me about the provenance . . . and how it has been described (or not) in finding aids? Was it a factor or discussion point that arose at any point in the creation of the partnership between the BL and QNL, or during the digitization of the Gulf-based records?”<sup>459</sup> The BL Expert did not write a direct response to this question. Instead, she listed at least four website links that refer me to expert articles found on QDL website. One of these expert articles on the India Office Records contains information that may refer to singular provenance by the British as evidenced by the following quote,

*The vast archive known as the India Office Records, occupying approximately nine miles of shelving in the British Library, contains the documents created or received in London by three organisations crucial to the British colonial effort in the period 1600–1858 [emphasis in original].*

The India Office Records comprise the official archives of the India Office (1858–1947) and its predecessors the East India Company (1600–1858) and the Board of

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<sup>458</sup> BL Expert, interview.

<sup>459</sup> See Appendix 5: Interview Questions for British Library (BL) Representative, Section Three, Question Six.

Control (1784–1858), the government body which was set up to oversee the Company in the wake of public concern about its activities.<sup>460</sup>

Based on this quote, it can be concluded that these are all British agencies and thus can be determined as singular provenance by the British. The majority of the archival records that come from India Office Records can be assumed to be singular provenance by the British. However, the BL Expert did not explain what to look for in these websites, so I assumed this is the main point of this article.

The BL Expert pointed me to another expert article on the India Office Private Papers from QDL that discusses an example of a personal diary from Riyadh (Saudi Arabia) but also includes a general statement about “Papers of People from All Walks of Life.” This creates confusion and ambiguity because the example of this personal diary is clearly singular provenance by the British, but the same expert article continues on by referring to other private paper collections that come from Asian people. This is supported by the quote that describes, “The collections have come from people from all walks of life including Viceroy and Secretaries of State, district officials and their families, soldiers, scholars, travellers, missionaries, planters and businessmen. Most of the collections were created by Europeans, but there are a few by Asian people.”<sup>461</sup> Thus, does this article imply or explicitly state co-creatorship? This is unclear. Also, it is unclear what the BL Expert’s intentions are in including this article because provenance cannot be determined based on the article or the information she provides.

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<sup>460</sup> Penny Brook, “The India Office Records,” Qatar Digital Library, 2014, available online at <https://www.qdl.qa/en/india-office-records> (accessed on 11/20/2021).

<sup>461</sup> Penny Brook, “The India Office Private Papers,” Qatar Digital Library, 2014, available online at <https://www.qdl.qa/en/india-office-private-papers> (accessed on 11/20/2021).

The BL Expert again directs me to an expert article that I assumed referred to singular provenance. This is supported by the following quote: “*The vast trove of material held at the British Library that pertains to Britain’s Colonial exploits owe their present organisation in part to the early acknowledgement by officials in the EIC and India Office of the importance of record-keeping*” [emphasis in original].<sup>462</sup> Thus, I assumed that she was more concerned with where the India Office Records acquired and maintained their archives rather than who created or contributed to the archives. She provided *A General Guide to the India Office Records* (referred to hereafter as: *The Guide*) as “a useful publication” in response to Section Three, Question Six, “What can you tell me about the provenance . . . of the records held by the British institutions and how it has been described (or not) in the finding aids?”<sup>463</sup> When reviewing *The Guide*, however, it does not focus on the original creators per se in the descriptive entry. Rather, it uses archival provenance, a type of provenance that is more concerned with how the archives were collected and held. This is evidenced by the following quote in *the Guide*,

Essentially, however, they [descriptive entries] aim to establish the archival provenance of the records concerned, to distinguish the principal series or classes of record included, to indicate their broad subject-matter, and to provide covering dates and quantification. Some of the volume/file totals given are necessarily only approximate, given the extent of the series concerned and the need to carry out further more detailed examinations of their contents.<sup>464</sup>

Thus, it can be inferred from this Guide and from the other articles that the type of provenance the BL practices is archival provenance, which refers to where the archives are acquired, collected, and held rather than who created or contributed to the records. Thus, the BL practices

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<sup>462</sup> Penny Brook, “History of the India Office Records and Private Papers,” Qatar Digital Library, 2015, available online at <https://www.qdl.qa/en/history-india-office-records-and-private-papers> (accessed on 11/20/2021).

<sup>463</sup> See Appendix 5: Interview Questions for British Library (BL) Representative, Section Three, Question Six.

<sup>464</sup> Martin Moir, *A General Guide to the India Office Records* (London: The British Library, 1988), 128.

singular provenance by the British as it pertains to the Gulf-based records. This is further supported by the following quote from *The Guide*,

The official archives now held in the India Office Records (IOR) mainly derive from and reflect the activities and responsibilities of the India Office (1858-1947), the Burma Office (1937-48), the East India Company (1600-158) and the Board of Control (1784-1858). Besides the archives of these four principal bodies - which, of course, all originally accumulated in London - the IOR also holds some smaller groups of records transferred from related institutions in Britain (eg. Haileybury College, the Royal Engineering College at Cooper's Hill, etc.) and from various overseas agencies or departments which were administratively linked for much of their history with one or other of the four main London offices. These include materials from Aden and the Gulf, Afghanistan, the Sub-continent itself, Nepal, Malaysia and China.<sup>465</sup>

*The Guide* states that the BL acquired its Gulf-based archival records from one of the four main London offices, which acquired their materials from other agencies and departments that were all linked together. Thus, the BL is primarily focused on where the materials were acquired, maintained and held rather than the creators - who wrote each and every document, manuscript, diary, note, etc. My research, however, is focused on who created the original materials to begin with rather than how they were acquired by the East India Office Company and now the BL. Thus, I assumed that the BL applies archival provenance, which is more related to who acquired, maintained, and preserved the archival records. In other words, according to the websites and links provided by the BL Expert, it seems that the BL is more focused on the offices, departments and agencies that acquired these records than who created them (i.e., rulers, agents, the British, etc.).

Another reason for why I made this assumption is because of the East India Company's shift from minimal attention paid to the records to a more organized collection acquired by their offices. This is supported by the following quote,

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<sup>465</sup> Moir, *A General Guide*, ix.

The historical chart on p.xi depicts in simplified fashion the main succession of departments responsible for the administration and care of the Records from the eighteenth century to the present.

The East India Company began to take a sustained and positive interest in the maintenance of its historical records from the second half of the eighteenth century onwards. Before this it appears that the records were largely left to accumulate with fairly minimal attention in the offices of the Secretary and other officials at East India House.<sup>466</sup>

Before the eighteenth century, the East India Company's archives were disorganized and not attended to in the offices in which they were housed. Seeing the need to organize these archival collections, the East India Company came up with this aforementioned "historical chart." This chart is basically an example of how the East India Company applies archival provenance: focusing more so on where each archival material was acquired, maintained, and who held these records.

To support this assumption, the following is an example of how I analyzed the BL Expert's responses and concluded that the BL more closely aligns with where the records were collected and not necessarily concerned with the creators or contributors of the records. There is a holding titled "Persian Gulf: Records of the Bushire Bahrain, Kuwait, Muscat and Trucial Coast Agencies, 1763 - 1951" where the archival provenance in the descriptive entry only describes which British office under the East India Company acquired this particular holding and does not include information on the original creator.

These records were received via the Foreign and Commonwealth Office between 1957 and 1973. The main types of records included in each accumulation are set out below. For the most part the material consists of correspondence between the residents/agents and the authorities to whom they were responsible (ie. the Government of Bombay, the Government of India, the India Office etc); also correspondence with subordinate officers or related authorities in the region as well

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<sup>466</sup> Moir, *A General Guide*, x-xii.



as with local rulers and their officials and with non-official bodies such as oil or trading companies. Some Arabic documents are represented.<sup>467</sup>

In this case, the descriptive entry that contains the provenance is more concerned with where the records were received and includes details on that with minimal description on who created or contributed to these records other than a general mention of “[s]ome Arabic documents are represented” by “local rulers and their officials” but does not state their roles as creators or how they contributed to these documents.

## **1.2. How the Gulf Peoples and their Organizations are Represented in the BL Finding Aids**

In Phase One, I conducted a close reading of the FAs and deduced that there might be a significant number of cases of co-creatorship of the Gulf with the British. I wished to verify this result by interviewing an expert representative from the BL. However, this proved to be more confusing than clarifying. The written responses did not adequately answer the questions regarding the practice of provenance as it pertains to my questions regarding the original creators and contributors of the archives. Rather, the BL Expert provided expert articles and definitions that do not specifically answer how the Gulf peoples and their organizations are represented in the FAs or how the descriptions were created. Thus, it is quite difficult to determine how the Gulf peoples and their organizations are represented in the FAs because she referred me back to her answer for Section Two, Question Four.<sup>468</sup> In this question, she states, “The India Office records included in the BLQFP have multiple contributors. The British Library uses standards such as ISAAR(CPF) and the MARC Code List for Relators to record people, families and

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<sup>467</sup> Moir, *A General Guide*, 258.

<sup>468</sup> See Appendix 5: Interview Questions for British Library (BL) Representative, Section Two, Question Four.

organisations with a relationship to the records being described.”<sup>469</sup> It is unclear here what the BL Expert means by “multiple contributors.” Is she referring to the multiple contributors as the ones who acquired, held, and maintained the records by the East India Company, or is she referring to multiple contributors as the ones who created and/or contributed to the original materials that were later acquired, maintained, or held by the East India Company? Again, the BL Expert’s answer is ambiguous, thus making it difficult to determine provenance of the Gulf-based records, when specifically inquiring about the creators and/or contributors to the records and not to where the records were held, acquired or maintained.

Although the majority of the BL Expert responses is quite ambiguous in regards to how the Gulf peoples and their organizations are represented in the FAs, she does provide some standards of practice the BL uses when she is provided with specific examples of FAs. For example, in Section Six, Questions One and Two, I referred the BL Expert to specific discrete holdings that indicate direct contributions to these records by the Gulf peoples and organizations. Question One asks, “. . . how would they [the Gulf peoples and organizations] be regarded in terms of provenance?”<sup>470</sup> The BL Expert references the “Scope and Content” data element of the FA, which does not necessarily have to do with the provenance of the record. She again cites, “the MARC Relator Codes, [which] allows the catalogue to identify contributors to these records.”<sup>471</sup> She does not necessarily define the Gulf contributors as the provenance but rather credits them as simply contributors as allowed by the MARC Relator Codes. Furthermore, Question Two asks, “The finding aids reference direct contributions of Gulf rulers in the creation

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<sup>469</sup> BL Expert, interview.

<sup>470</sup> See Appendix 5: Interview Questions for British Library (BL) Representative, Section Six, Question One.

<sup>471</sup> BL Expert, interview.

of treaties, meetings, and agreements with the British that would not exist without their direct input . . . would it be more accurate to describe the provenance of these records as co-created?”<sup>472</sup> Her answer is, “Numerous individuals, families and organisations created material that is now found in the India Office files. It is a function of the archival description / catalogue to provide information on these different contributors, to provide context.”<sup>473</sup> In this case, these Gulf is not viewed within the definition of provenance but instead as a “function of the archival description/catalogue to provide information . . . to provide context.”<sup>474</sup> In other words, the Gulf is mentioned to provide more information and context of these archival records and not necessarily to define provenance or give actual credit to the Gulf as co-creators or multiple contributors.

Thus, based on the BL Expert’s responses, she acknowledges that the BL does practice the traditional principle of provenance, admitting that the BL “directs us to keep material together that has been created, received, or accumulated by an individual, organisation or family.”<sup>475</sup> However, she also goes on to state, “It doesn’t stop us acknowledging the many different individuals etc who contributed to the creation of the material.”<sup>476</sup> She also acknowledges the expanded concepts of provenance to include co-creation and multiple contributors, but she does not state whether or not the BL actively applies a standard practice nor have they updated their FAs to reflect these expanded concepts as of this study. Rather, these expanded concepts are the exception rather than the standard as she states, “Indeed our

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<sup>472</sup> See Appendix 5: Interview Questions for British Library (BL) Representative, Section Six, Question Two.

<sup>473</sup> BL Expert, interview.

<sup>474</sup> BL Expert, interview.

<sup>475</sup> BL Expert, interview.

<sup>476</sup> BL Expert, interview.

cataloguing standards specifically allow us to record and link different contributors to the relevant records.”<sup>477</sup> This can be interpreted as the BL’s willingness to acknowledge other contributors and potentially include them in the FAs. However, the BL Expert does not make it clear if there is a standard of practice for provenance, whether these acknowledgements (of other contributors) are exceptions or whether singular provenance is indeed the standard, and all other practices of provenance are the exceptions.

This leads to Section Six, Question Three, which asks, “If these and other Gulf peoples might indeed be considered to be co-creators of certain records, is there any possibility of re-describing and updating the finding aids to reflect this?” The BL Expert’s response to this question does offer some possibility of considering multiple provenance and/or co-creatorship. She replies,

The BL catalogues capture information on different contributors through the Scope and Content/Description field of the main catalogue, and more specifically through the use of Authority Files and the MARC Relator Codes. Suggestions for other approaches are welcome. New standards such as Records in Context (currently in draft) address this issue. Changes in technology are leading to opportunities for enhanced context descriptions, for example through improved linking across Authority types (people, places, events, titles of work, etc).<sup>478</sup>

Her response is quite promising and would depend on the updates in the archival standards, as well as changes in technology that could possibly aid in providing the BL’s catalogers with the resources needed to revisit the Gulf-based FAs. There is potential for review and/or updates to these FAs for the BL to take into consideration the expanded concepts of provenance and to what she refers to in the newly updated standards found in *Records in Context* when researching possibilities for crediting other creators and contributors to the records. If the BL Expert admits

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<sup>477</sup> BL Expert, interview.

<sup>478</sup> BL Expert, interview.

there is a possibility for updates and incorporating expanded concepts of provenance, then it follows to ask her how the Gulf states and peoples will be represented. This is asked in Section Nine, Question Two, which inquires, “How would the BL update these finding aids to better represent the Gulf States and peoples?” She responded: “Suggestions are welcome.”<sup>479</sup> Based on her response, it seems like there is no standard or protocol for updating the FAs, nor does she provide adequate answers for the questions under Section Nine. Although, it can be assumed that the BL does not apply an explicitly stated standard or practice of provenance, their representative is open to suggestions on how to apply multiple provenance and/or co-creatorship to their FAs, in the case that there is a possibility in the future for updating their catalogue information. Thus, it seems more than likely that the BL is open to updates and not strict on adhering to singular provenance by the British.

### **1.3. How the Descriptions Reflect Changing Ideas about Provenance in the Archival Field and How this Relates to the Gulf Peoples and their Organizations as Co-creators**

A few of the interview questions inquired about the FAs specifically and if the BL “updated the descriptions at any point to reflect changing ideas about provenance in the archival field that might more directly recognize the Gulf peoples and their organizations as co-creators.”<sup>480</sup> One such question is found in Section Four, Question Four, “Did the BL finding aids for the Gulf-based records already exist before the partnership was created with QNL, or were the finding aids created after the partnership was created and then shared with QNL?” Here,

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<sup>479</sup> BL Expert, interview.

<sup>480</sup> See Research Questions, p. 10-11.

I am asking if the FAs were created before or after the partnership because I want to see if the partnership influenced how provenance is applied by the British after sharing the records with the Gulf. More specifically, I wanted to further understand how the partnership changed the way the British view simultaneous multiple provenance and co-creatorship. The BL Expert responds to this inquiry by stating that, “For the most part, catalogues for the India Office Records existed prior to the Partnership. Some catalogues have been created. All have been enhanced and translated into Arabic by the Partnership, to provide greater accessibility.”<sup>481</sup> Again, she does not fully reply to my question. In regards to the creation of the description/finding aids of the Gulf-based records located in the BL, she states that these were created before the partnership existed. However, there are a significant number of FAs that acknowledge multiple creators/contributors to the archival records - many of them who are Gulf-based rulers, entities, organizations and peoples. Although there seems to be no standard practice of applying simultaneous multiple provenance and/or co-creatorship, there still exists many FAs that give credit to the Gulf as co-creators/contributors to these records. To elaborate further on the enhancements she mentions, it is unclear how these FAs were enhanced, solely based on the answer she provides. I cannot determine what type(s) of enhancements were done because I do not have access to the original FAs that were created prior to the establishment of the partnership with QNL to compare. It is assumed then that this “enhancement” is the addition of Arabic FAs.

Referring back to the BL Expert’s responses, these FAs were supposedly enhanced and translated into Arabic by “The Gulf History cataloguing team [which] is composed of Archivists and Gulf History Specialists.”<sup>482</sup> She provides this answer two times to Section Four, Questions

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<sup>481</sup> BL Expert, interview.

<sup>482</sup> BL Expert, interview.

One and Five. Question One asks, “Is there an archivist on staff who specializes in the Gulf-based records?” and Question Five inquires, “When the BL finding aids for the Gulf-based records were created, was there any consultation with Gulf representatives or archivists?” Again, it is unclear if any of these staff are native Gulf peoples, if they are all British, if they are coming from both the BL and QNL, or only from the BL. However, the BL Expert’s response to Section Four, Question Seven, which asks “Is there a record of who created the finding aids for QDL, and of who digitized the records?” shows that there were no Gulf representatives or archivists who participated in this process. Instead, she states, “The catalogues and digital images were created by BL staff working on the Partnership.”<sup>483</sup> This is verified by the answer from QDL’s cataloger to me that the BL created both the English and Arabic descriptions and shared them with QNL.

To better understand what these enhancements entail, the BL Expert provides an answer in Section Four, Question 11, which asks, “Was it a priority to revise or augment the existing British finding aids for the Gulf-based records when creating the Gulf-based finding aids?” She responds saying, “Enhancement of the existing catalogues, and their translation into Arabic, has been a significant part of the BLQFP, vastly improving access to the material.”<sup>484</sup> Again, it is assumed that these “enhancements” were conducted by the BL partnership staff without any contributions from their Gulf partner. Thus, if the BL staff created the English and Arabic descriptions without the contribution of the Gulf and also “enhanced” the FAs without their Gulf-based partnered institution, then it is difficult to determine from the BL Expert’s written responses how the descriptions reflect changing ideas about provenance in the archival field and

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<sup>483</sup> BL Expert, interview.

<sup>484</sup> BL Expert, interview.

how it relates to the Gulf peoples and their organizations as co-creators because the description does not reflect the Gulf peoples' perspectives. There is no evidence of updating the FAs to reflect the ideas of simultaneous multiple provenance and/or co-creatorship. Instead, her written responses show that the FAs do not take into consideration the narratives of the Gulf peoples because they were created only by the British. Based on my close readings, these "updates" were perhaps to add Arabic translation and include website links to QDL that refer the user back to the digital surrogates of the original materials held at and shared by the BL. Again, this does not dismiss her acknowledgement of co-creation and/or multiple contributors. Rather, her statement shows that these expanded concepts have yet to be applied or put into standard practice by the BL, and specifically with their Gulf-based archival records.

#### **1.4. Responses from the BL's Expert Representative Regarding QDL**

Although no written interview responses were officially received from the expert representative contacted for QNL, one of their catalogers provided me with a few answers to some of my interview questions. To clarify, when I called QNL to follow up on my email inquiry requesting an interview, that call was answered by a cataloger familiar with the partnership. I took advantage of his time by asking him some questions, and he was kind enough to provide a few responses. The cataloger informed me that the English and Arabic FAs in QDL are created by the BL and referred me to the BL Expert for further clarification because he was unable to officially provide responses to the whole interview. When I reached out to the BL representative, she declined to respond on behalf of QNL, so there is insufficient data to analyze the responses for this particular institution. As already noted, the BL Expert responded to my email regarding the BL and provided limited answers that related to the partnership with QNL. She also confirmed that QDL's FAs were indeed translated into Arabic by the partnership.



Because there are no written responses from any of QNL expert representatives and very few answers regarding their FAs from the expert at the BL, it is quite difficult to understand the role of provenance in their FAs for the Gulf-based records. This is further complicated by the BL Expert's response to Section Seven, Question 11, which asks, "With regard to the paired QDL finding aids: QDL uses the BL's description but also includes an additional "Copyright" component that is not found in their paired BL finding aids. This component contains a list of authors' names and page numbers listed separately that the BL does not include in its finding aids. Why is this excluded from the BL's finding aids?" Her response, "The BL and QDL use different software to present the catalogue and related data."<sup>485</sup> The BL Expert does not fully address the differences in software and does not specify how this relates to provenance.

## **2. A Within-case Analysis: The National Archives of the United Kingdom (TNA)**

I worked with two expert representatives from the National Archives of the United Kingdom (TNA). Expert 1 received her degree in History and History of Art (Universities of Deusto and Barcelona) and a post-graduate diploma in the Administration of Archives and Documentary Heritage (University of Deusto and Basque Government).<sup>486</sup> Expert 2 received his Bachelor of Science in Applied and Environmental Geology from Birmingham University (UK). Currently, Expert 1 leads "the Cataloguing, Taxonomy and Data Department (responsible for archival descriptive standards), as well as the operational data management for our archival catalogue and taxonomy tool." Expert 2's role at TNA "is to identify and develop business

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<sup>485</sup> BL Expert, interview.

<sup>486</sup> Interview with The National Archives of the United Kingdom (TNA) Expert Representatives, September 29, 2021.

opportunities for The National Archive that will broaden our income base and supplement our base funding.”<sup>487</sup>

Both Experts provided well-written and thorough responses to each of the interview questions that were specifically tailored to TNA, based on the research questions and the results from Phase One. I am very grateful to both for their time and thoroughness in answering the written interview questions. I was quite privileged to receive responses from Expert 2, who is credited with co-creating the partnership and project with the NA UAE along with his colleagues. As he stated, “I developed the concept, scoped the project and delivered it using various partnerships as well as expertise at TNA and NA.”<sup>488</sup> This lends credibility and validity to the written interview responses and corresponds accordingly with my data findings from Phase One. Expert 1’s contribution to the partnership includes “. . . shar[ing] our editorial guidelines with the project.”<sup>489</sup> The written responses to questions pertaining to the research questions are addressed below.

### **2.1. How TNA Applies the Principle of Provenance**

Expert 1 provides her views on the principle of provenance - how provenance is applied by TNA to the archival records - and how it relates to the Gulf-based archival records. She shares her views on the principle of provenance by defining it as, “keeping together records created or accumulated by a body or a person, in the same way as we all have a personal archive at home with a mix of incoming documents from different people sent to use and a record of our actions

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<sup>487</sup> TNA Experts, interview.

<sup>488</sup> TNA Experts, interview.

<sup>489</sup> TNA Experts, interview.

on them.”<sup>490</sup> Her views are analogous to how “. . . a person or a body or a business or a court or a government undertake their business functions.” In other words, she abides by the traditional principle of provenance, which, in this case, is singular provenance: usually by an entity, government or office that accumulates and keeps the records together. This is evident in her answer to Section Two, Question Two, which asks, “How would you define the principle of provenance as it relates to archival records?” Expert 1 responds, “. . . we work primarily with records of government bodies and regard those government bodies as the creators of our archival holdings (rather than individuals). Our legal and practical basis for preserving and providing access is that the records in our archive are institutional archival records of our government.”<sup>491</sup> In essence, the provenance here would be the government bodies of the archival holdings and not the individuals, subjects or creators of the records.

When further asked about the expanded concepts of provenance in Section Two, Question Three, “Are you familiar with the newer archival ideas regarding the nature of provenance, such as simultaneous multiple provenance and co-creatorship, that move away from the traditional principle of singular provenance (e.g., a creator, author or collector) and shift towards the possibility of two or more creators/contributors of the same record?” Expert 1 acknowledges,

I am familiar with some ideas, which have been in circulation for some time. Chris Hurley’s 1995 article *Problems with Provenance* may serve as an earlier example. There are indeed instances where records may be co-created (for example some datasets come to mind) however, in my view, the resulting record set is one instance of an archival accumulation and as such becomes one archival holding of one provenance. The administrative or business function that generates the record set is

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<sup>490</sup> TNA Experts, interview.

<sup>491</sup> TNA Experts, interview.

at the heart of my understanding of provenance. I should also say that I am interested in but do not agree with all theories and ideas.<sup>492</sup>

Although she does acknowledge that there are indeed instances of co-creatorship, she then dismisses this possibility by stating that the holding ends up being accumulated and held by one provenance, which led me to understand that she is focused more on the accumulation, holding, and maintenance of the records and is less immediately concerned with the original creators/contributors of the records.

Responding to Section Two, Question Four, “Co-creation acknowledges all the parties that were involved in the creation of a record. Since creation is often reflected as provenance, the idea of co-creation implies that records in which multiple parties participated must be multi-provenancial . . . would you consider the possibility of multiple provenance or co-creatorship in relation to the records pertaining to the Gulf . . . ?”<sup>493</sup> She states, “I agree only with the first assertion that co-creation acknowledges all creating parties; the rest of the question seems to be one intellectual interpretation.”<sup>494</sup> She continues, “In my view, co-creation is about collaborative development of tangible products and intellectual assets. . . . To be a co-creator is not the same as being a subject of a record, an agent or even a contributor. . . . Its provenance is that of the unique administrative function that generated it. This is where my interpretation differs from yours.”<sup>495</sup> She clarifies her position by explaining,

The wording of the question suggests that the principle of provenance is at odds with co-creation and that since multiple parties ‘participated’ in a record there is multiple provenance. I have a different understanding of participation. . . . To use the terminology introduced in RiC-CM, the provenance-based record set reflects

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<sup>492</sup> TNA Experts, interview.

<sup>493</sup> See Appendix 7: Interview Questions for The National Archives (TNA) of the United Kingdom Representative, Section Two, Question Four.

<sup>494</sup> TNA Experts, interview.

<sup>495</sup> TNA Experts, interview.

the provenance of the file as a record, not the individual creators of individual papers as record parts.<sup>496</sup>

Taken together, these responses indicate her adherence to the practice of singular provenance. Based on her understanding of these expanded concepts discussed in RiC-CM, she does not see them being applied to the individual papers as record parts. Instead, she views the whole record as an archival accumulation (an instance) with a singular provenance and not as individual files within that archival holding. In other words, it is the record or record series taken as a whole that defines the provenance - not the individual items contained within each record or record series.

To present a clearer argument for her interpretation, Expert 1 offers an analogy of a court case that contains individual criminal files of that case in the following,

I keep thinking, for example, about a series of records created in the . . . criminal court. Multiple parties participate in the proceedings, are actors or agents, . . . coroner's reports, correspondence with police forces involved in the arrest and investigation, etc. Nevertheless, the resulting criminal case file is one archival entity created and accumulated by the court in the running of its business. . . . this criminal file may be about many people, different subjects and places; however, this file is the result of one administrative function (the administration of justice) and one single provenance (the court that recorded and accumulated the proceedings, the court that creates this archive). I do not think that co-creatorship applies to the criminal files in this example or to the records generated by the Foreign and Commonwealth Office or other UK government departments included in the AGDA resource.<sup>497</sup>

This position can be seen again when she responds to Section Three, Question Seven, "Are the Gulf peoples and organizations referenced in the Gulf-based archival records considered in any way to be the provenance of the records?" Her response is clear: "No. Gulf peoples and organisations are featured and referred to in the records. I do consider them the

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<sup>496</sup> TNA Experts, interview.

<sup>497</sup> TNA Experts, interview.

subject matter of many of the records but not part of the provenance of the collection.”<sup>498</sup> Thus, the Gulf peoples are represented only as subjects of the records but not as part of the provenance, a clear indication of singular provenance with no possibility of simultaneous multiple provenance or co-creatorship, in her opinion.

The overall conclusion of the close reading together with the supporting input from the written interview responses is that TNA adheres to the traditional principle of provenance.

## **2.2. How the Gulf Peoples and their Organizations are Represented in TNA Finding Aids**

How then are the Gulf peoples and their institutions and organizations represented in TNA Collections, if not through provenance? According to Expert 1, the Gulf peoples and their organizations come into play when it comes to description. This is supported by Expert 1’s response to Section Two, Question Five, which asks, “When creating your own finding aids for these materials, does the role of the Gulf peoples currently play a part in determining provenance?” The short answer is no. Expert 1 provides a thorough reasoning for why the Gulf peoples and their organizations are not represented under the principle of provenance:

We consider the origin of the files, the administrative unit(s) that generated the records, the use of the records before selection for permanent preservation, their previous record-keeping, custodial history and ownership to establish provenance. We do not consider people and subjects mentioned in the records to determine provenance; these come into play when it comes to description.<sup>499</sup>

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<sup>498</sup> TNA Experts, interview.

<sup>499</sup> TNA Experts, interview.

Thus, the Gulf peoples are not necessarily represented as defined by Expert 1’s definition of provenance, but they are acknowledged as the subjects that are referenced to in the description of the archives.

### **2.3. How the Descriptions Reflect Changing Ideas about Provenance in the Archival Field and How this Relates to the Gulf Peoples and their Organizations as Co-creators**

For TNA, there are no descriptions about the “Scope and Content” of each discrete holding in the FAs. Their adherence to the traditional principle of provenance is evidenced in Expert 1’s response to Section Three, Question Six, which asks, “What can you tell me about the provenance . . . of the records held by the British institutions and how it has been described (or not) in finding aids? Was it a factor or discussion point that arose at any point in the creation of the partnership between TNA and the NA UAE, or during the digitization of the Gulf-based records?”<sup>500</sup> Expert 1 emphasizes this in her response,

The records published through the Arabian Gulf Digital Archive resource held by The National Archives of the United Kingdom are records generated by the UK central government administration. Examples include records from the Foreign and Commonwealth Office, the Foreign Office, the Prime Minister’s Office, the Cabinet and some of its committees, the Treasury and the Treasury Board, etc. The structure of our online catalogue includes information about these various UK government bodies providing context. I believe that records were chosen because of their thematic relevance to the history of the Gulf. I am not aware of any discussions about archival provenance and record creators during the creation of the partnership.<sup>501</sup>

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<sup>500</sup> See Appendix 7: Interview Questions for The National Archives (TNA) of the United Kingdom Representative, Section Three, Question Six.

<sup>501</sup> TNA Experts, interview.

Expert 1's views on provenance is only in regards to ownership of the records and where the records are generated. She states that the selection process for the digitized records for the partnership was based on "thematic relevance," and she is not aware of the role of archival provenance and record creators during the discussions around the creation of the partnership.

Also, Expert 1's response indicates the strict adherence to the traditional practice of the principle of provenance and does not entertain the notion of or suggestion for updates or revisions to their FAs, even though they do not include the scope and content of each holding. TNA has neither updated their definition of provenance, nor have they officially recognized the expanded concepts of multiple provenance and co-creatorship that might more directly recognize the Gulf peoples and their organizations as co-creators. Instead, Expert 1 acknowledges these latter concepts as other theories and ideas of provenance that are subject to interpretation.

More specifically, Expert 1 dismisses evidence for acknowledging co-creatorship and multiple provenance in the examples of FAs I provided, by again referring back to the traditional principle of provenance and defining these arguments under a different archival concept. By dismissing these concepts as a possibility, she is also (by extension) dismissing the possible recognition of the Gulf peoples and their organizations. For example, in Section Six, Question One, I provided the interviewee with a list of specific TNA FAs that might lend evidence to co-creatorship and/or multiple provenance. I ask, "There are a few record collections that contain records written in both English and Arabic script . . . Also, upon closer reading of the descriptions in AGDA, they indicate direct contributions to these records by Gulf peoples and organizations. In these cases, how would they be regarded in terms of provenance? Might that be different to how the British have described the provenance of these records?"<sup>502</sup> Expert 1

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<sup>502</sup> See Appendix 7: Interview Questions for The National Archives (TNA) of the United Kingdom Representative, Section Six, Question One.



provides a thorough breakdown for why these examples are not evidence for provenance. She argues,

The language of a record is a significant part of the content and form of a record but does not affect its provenance. Officers and members of the public may write in multiple languages, particularly when embarking on international and diplomatic activities. We add information about language to our catalogue as much as possible. . . . As the Foreign and later Foreign and Commonwealth Office dealt with diplomatic relations, a lot of the correspondence in those files is logically in the language of those countries.<sup>503</sup>

It follows, therefore, that if language does not determine or at least suggest provenance, then additional creators and contributors to a fonds or series may not be recognized. This is the case in most archives. The important distinction here is between provenance and rights.<sup>504</sup> By implication, the Gulf peoples and their organizations that might have contributed to the record are not treated as co-creators.

Additional interview questions around specific examples probed further on the idea of acknowledging co-creatorship and multiple provenance, for example, Section Six, Question Two, asks, “The finding aids reference direct contributions of Gulf rulers in the creation of treaties, meetings, and agreements with the British that would not exist without their direct input. In these cases . . . would it be more accurate to describe the provenance of these records as co-created?”<sup>505</sup> Expert 1 again responded that these examples do not necessarily support provenance but rather focus on ownership and types of records. She replies very thoroughly, explaining that,

Treaties and agreements are multipart records where each signatory is given a copy. In your example, the Gulf ruler would have kept one copy in its archive and the UK government another one. We only hold the British copies. In addition, ratifications of treaties are exchanged between two parties. This means that a British ratification

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<sup>503</sup> TNA Experts, interview.

<sup>504</sup> If it were a personal collection of letters accumulated by the person who was one of the correspondents, traditional provenance would be granted to them, but copyright remains with the authors of the individual letters.

<sup>505</sup> See Appendix 7: Interview Questions for The National Archives (TNA) of the United Kingdom Representative, Section Six, Question Two.

was given to the other country signing the treaty for their own record-keeping and archiving. The UK government was given and keeps [sic] the ratification received from the other party.<sup>506</sup>

She indicates that TNA holds only the British copy of the original materials, which she agrees includes contributions by the Gulf. Here, she is focused on ownership of the original materials and not necessarily the creators or contributors of the individual records. She furthers her argument about singular provenance by stating,

In addition, it is standard recordkeeping practice for the records of one organisation or person to include individual items that were written or partly written by other people. It is in the nature of correspondence that letters are collected and owned by the recipient, not the sender. Writers or authors of individual items are not necessarily creators or co-creators of sets of archival files.<sup>507</sup>

In other words, what matters is who ultimately owns or holds the records that contain these individual files, and this defines provenance, according to Expert 1 - and by extension - TNA.

Also, the dismissal of the applicability of the concept of co-creatorship and simultaneous multiple provenance in regards to these records is clearly evident in her response to Section Six, Question Three, which inquires, “If these and other Gulf peoples might indeed be considered to be co-creators of certain records, is there any possibility of re-describing and updating the finding aids to reflect this?” She answers, “I would not recommend changes to creator information or other descriptive information regarding provenance in our catalogue.”<sup>508</sup> She essentially turns down the possibility of updating the FAs to reflect the concept of co-creatorship by the Gulf peoples and organizations because she views their contributions as more so having to do with the content and not having to do with provenance of the records. She continues to defend

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<sup>506</sup> TNA Experts, interview.

<sup>507</sup> TNA Experts, interview. When referring to the nature of correspondence, that is physical, not intellectual ownership under copyright law in the US and may also be the case in the UK.

<sup>508</sup> TNA Experts, interview.

this position in Section Nine, Question One, where she is asked, “In your professional opinion, is there a need to redescribe the original and/or the digitized records to better represent the Gulf’s participation in or perspectives on the creation of these materials?” She again replies with a clear answer:

No. Descriptions for these records in TNA catalogue are regarded as adequate and as such we will not prioritise or resource their enhancement over the enhancement of other records. This is a first general answer. We have over 200km of paper records (with over 24 million descriptions in our catalogue) and approximately 1.5 petabytes of digital records with records spanning over 1,000 years. . . . Arguably, the additional descriptions and digitisation created for AGDA did bring more of a Gulf perspective by adding more local detail and a full copy of the record.<sup>509</sup>

Expert 1 repeatedly declines the suggestion to update the FAs to reflect the co-creatorship and contributions of the Gulf peoples and their organizations. However, she does admit that the descriptions created for AGDA through the partnership with TNA did add some representation of the Gulf in the FAs created by the NA UAE (AGDA).

She supports her argument consistently and persistently throughout each section of the written interview questions, insisting that the traditional principle of provenance applies here because it has to do with: 1) the source of these Gulf-based records as being originated by British entities within the Gulf region, 2) the ownership of the records by the British offices and where the records are held (and not necessarily the creators and contributors of the individual materials within the records), and 3) how these records were eventually accumulated and maintained by the British, through their governmental agencies and offices that created and/or housed these records. Again, she reiterates this quite clearly in Section Five, Question Five, which inquires, “Can you tell me any more about the roles played by the FCO and FO that resulted in Gulf-based records?” Her answer very clearly supports adherence to the traditional principle of provenance -

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<sup>509</sup> TNA Experts, interview.

more specifically - singular provenance by the British. She responds, “They, their predecessors and successors were creators, custodians and transferring bodies through their work on diplomatic, foreign and consular relations.”<sup>510</sup> TNA’s adherence to the traditional principle of provenance plays a large and significant role in how the partnership functions, including its involvement in the descriptions/finding aids of its partnered institution, and its consultation on the digitized materials shared with the NA UAE.

#### **2.4. Responses from TNA’s Expert Representatives Regarding AGDA**

After waiting for a significant period of time, I did not receive consent for a virtual interview or written interview responses from the expert representative at the NA UAE. However, questions regarding how the Gulf-based institutions describe the digitized materials shared by the British were also included in the written interview questions sent to their paired British cultural heritage institutions. For this reason, the following responses are from TNA expert representatives. The following questions are answered by Expert 1 and Expert 2 from TNA regarding the partnership with the NA UAE. They make it clear that they do not necessarily answer *for* the NA UAE but rather for the British involvement in the partnership *with* the NA UAE. Fortunately, TNA Experts are both qualified to answer on behalf of the partnership, and they even provide a thorough explanation of the origin of the descriptions/FAs of the Gulf-based records shared with the NA UAE. They explain how these descriptions originated, how they were created, and how the Arabic descriptions were created. When asked about the creation of the description/finding aids, they provided responses that explain TNA’s involvement. For example, in Section Four, Question Four, I ask, “When the Arabian Gulf

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<sup>510</sup> TNA Experts, interview.

Digital Archives (AGDA) finding aids for the Gulf-based records were created, was there any consultation with staff from the British institutions?” Expert 1’s response focuses on her own experiences consulting with staff at TNA. She states how, “The AGDA finding aid was not created from scratch. Data from our live catalogue was used as the basis for AGDA. The Senior Archivist responsible for descriptive standards and I were both consulted regarding descriptive standards.”<sup>511</sup> Expert 1 includes some of the staff’s contributions, stating,

For example, we recommended that the original file titles should be respected, with augmented descriptions being added by the AGDA project editors. We also provided insights into subject and entity categorisation and some tips to manage the data in spreadsheets. Our in-house cataloguing guidelines were available for project staff. Our Head of Modern Collections, the Diplomat and Colonial Records Specialist and other record specialists were also consulted.<sup>512</sup>

Expert 2 concurs with Expert 1, adding to her response, stating that

Enhanced catalogue descriptions were created for the records to supplement the existing information. These were created in the UK by a specialist team of trained cataloguers. The descriptions were then translated into Arabic to aid wider access and engagement. The work was quality assured by the record specialist teams of both TNA and NA. We also ran OCR processes across images of the records to enable deep text searching within the document text as well as the manually created enhanced catalogue descriptions.<sup>513</sup>

Based on both Expert 1 and Expert 2’s responses, TNA provided the data, guidelines, and the existing information to AGDA to create and translate its descriptions/finding aids for the shared, digitized materials. Additionally, specialists from the NA UAE were consulted to review and edit these descriptions throughout the creation process.

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<sup>511</sup> TNA Experts, interview.

<sup>512</sup> TNA Experts, interview.

<sup>513</sup> TNA Experts, interview.

This is further supported by Expert 2's response to Section Four, Question Six, which asks, "Is there a record of who created the finding aids for AGDA, and of who digitized the records?" He continues his answer from Question Six above, explaining how,

Each enhanced catalogue description was a collaborative effort of the team. An initial draft was created by one team member, peer reviewed by a colleague from within the team and then quality assured by record specialists from TNA and NA. Adjustments were made where required at each stage. So, the final published versions are a product of the project team as a whole, rather than a single individual. Digitisation was done by a team of approximately 20 digitisation specialists from within the Digitisation Services Team at TNA.<sup>514</sup>

Although the NA UAE were consulted as part of the project team, it is primarily the data, guidelines, and existing information from TNA that contributed to the creation of the descriptions of the shared digitized materials in AGDA.

### **3. Cross-case Patterns: How the Principle of Provenance is Applied by Each of the British-Based Institutions**

When analyzing the two British cultural heritage institutions, it is evident that provenance is applied very differently to each institution's FAs of the Gulf-based archival records. While both institutions lean more toward singular provenance by the British, both institutions differ in their practice and application of provenance. The BL does not practice provenance consistently throughout its 230 Gulf-based FAs while TNA consistently practices singular provenance in all of their 699 Gulf-based FAs. Based on the BL Expert's written responses, it is more than likely that singular provenance by the British is the most prevalent practice of provenance. However, she is open to the idea of considering simultaneous multiple provenance and co-creatorship if the BL decides to review or update the FAs in the future. As of the date of this study, there is no

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<sup>514</sup> TNA Experts, interview.

evidence that these expanded concepts have been applied to the Gulf-based records. Overall, it seems that practice of provenance is more focused on the accumulation, maintenance, and holdings of the records rather than on the creators/contributors of the records. Thus, this understanding of provenance leans more toward singular provenance by the British, which is very similar to TNA's standard application of provenance.

In regards to TNA, it is quite clear from Expert 1's written responses that TNA practices the traditional principle of provenance, focusing more on the offices/entities that create, inherit, hold, accumulate and maintain the records, more so than on the creators and/or contributors of the individual materials found within each holding. Expert 1 provides answers to the questions regarding provenance by including: the type of provenance applied consistently throughout each TNA FA, how it is viewed in the archival field, which office or entity created or inherited the record, and why it is singular provenance by the British. More specifically, she is very explicit in her answers on why the traditional principle of provenance applies to the holdings within TNA. Expert 1 mentions archival provenance, which refers to the office or entity that creates, inherits, holds, maintains and accumulates the records rather than the individual creators of, or contributors to, the original materials within each holding. She provides an example to explain provenance and likens it to a court case that contains individual documents, files, photos etc. that all belong to one court and one case. While Expert 1 acknowledges the concepts of simultaneous multiple provenance and co-creatorship, she dismisses them as different interpretations and does not see these as acceptable archival provenance practiced by TNA. Additionally, she refuses to consider these expanded concepts as a possibility for updating the FAs of the Gulf-based records to include the Gulf peoples and organizations as possible co-creators/contributors. Thus, while

both institutions lean toward singular provenance by the British, their applications and standards of practice vary greatly.

#### **4. Cross-case Patterns: No Interview Information for How the Principle of Provenance is Applied by Each of the Gulf-Based Institutions**

Although there are no written interview responses received by the Gulf expert representatives, there is little information provided by their paired British expert representatives. Based on the written responses (and one phone call to the QNL cataloger), it is clear that both Gulf institutions apply the principle of provenance differently. QDL does not consistently apply a standard of provenance because, according to QDL's cataloger, it uses the BL's descriptions. However, QDL includes a "Copyright" data element that includes the authors and page numbers for each holding. When the BL Expert was specifically asked about the "Copyright" data element found in QDL's FAs, she responds by stating that the BL and QDL work with different software to display the catalogue data elements for the description, which does not relate to provenance. This reply does not provide an answer for whether or not QDL applies simultaneous multiple provenance and/or co-creatorship in the descriptions of the Gulf-based records. However, since QDL uses the BL's descriptions, it follows that the application of provenance leans more towards singular provenance by the British.

Although Experts 1 and 2 do provide some answers for TNA's partnership with AGDA, they make it clear that they do not speak for AGDA. In regards to their responses regarding AGDA's FAs, they are similar to TNA's FAs because the project editors use the existing data, information and guidelines from TNA to create the FAs for AGDA. However, AGDA also created its own descriptions, which leaves room for interpretation in regards to provenance, but



there is no information specifically answering the provenance for AGDA. Thus, there is no information for how AGDA applies provenance as of the completion of Phase Two.

## CHAPTER VI: DISCUSSION AND REFLECTIONS

### 1. Discussion

#### 1.1. Traditional Provenance and the Need for Expanded Concepts

To refer back to the Statement of the Problem, I argue that the practice of the traditional principle of provenance falls short in representing the provenance of the Gulf-based records digitally shared by the British. Additionally, the traditional principle of provenance fails to take into account the possibility of the Gulf states and peoples as co-creators and contributors to these records and instead views them as simply subjects of the records. For the Gulf peoples and organizations in particular, their participation and contributions that are clearly present and likely also inferable within the British archival records pertaining to the Gulf cannot be formally represented when describing the records using the traditional principle of provenance. In essence, the contributions and influence of the Gulf people resulted in the creation of these records by the British in the first place.

For this reason, the expanded concepts of provenance, introduced by world-renowned archival theorists, expand on the traditional practice to include simultaneous multiple provenance and co-creatorship that specifically credit the possible co-creators and contributors as participants who should be recognized, and hopefully have some measure of input into archival processes relating to these records. Thus, the argument for expanding the traditional practice of provenance is strongly supported because these concepts give credit to and highlight the role of the Gulf peoples as co-creators.

Also, these concepts provide support for a potential archival practice and an ethical stance to promote co-ownership and intellectual control of the digitally shared archival records.

This is already evidenced by the fact that the original, physical materials of the Gulf-based records shared by the British through these partnerships are held in the British cultural heritage institutions, while their digital surrogates are under the stewardship of the Gulf institutions. Thus, the digital sharing of the original Gulf materials presents the archival field with new challenges to the practice of the traditional principle of provenance, and the expanded concepts aim to satisfy a majority of its shortcomings.

To emphasize, the practice of the traditional principle of provenance defaults to a single creator of the records without the possibility of two or more creators. In many circumstances, it leans towards the office or inheritor of the records and not to the original creator(s) or contributor(s) of the original materials. Unlike the traditional principle of provenance, the expanded concepts of simultaneous multiple provenance and co-creatorship move away from singular provenance and shift toward the possibility of more than one creator as well as multiple perspectives and narratives.

Simultaneous multiple provenance is defined by Chris Hurley as, “. . . allowing two or more creators to be identified at one and the same time.”<sup>515</sup> Hurley acknowledges the possibility of two or more creators in the creation of the materials. In conjunction with Hurley’s definition of simultaneous multiple provenance is the concept of co-creatorship. McKemmish and Piggott combine the concept of simultaneous multiple provenance with the concept of co-creatorship and argue, “. . . notions of co-creation and parallel or simultaneous multiple provenance reposition ‘records subjects’ as ‘records agents.’ They support a broader spectrum of rights, responsibilities and obligations relating to the ownership, management, accessibility, and privacy of records in

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<sup>515</sup> Hurley, “Parallel Provenance,” 39.

and through time.”<sup>516</sup> These expanded concepts provide a more accurate description of how the Gulf peoples and organizations are represented in the Gulf-based archival records and could potentially expand their rights and responsibilities to manage and describe the records.

Additionally, these concepts promote the right for the Gulf peoples to be seen as co-creators and contributors of the records and even provide the standard, which can grant them certain equitable rights to the records, especially of the digitally shared materials.

After reviewing the definition of the traditional principle of provenance and the expanded concepts, I argue that these expanded concepts are needed to fully understand and contextualize the meaning of the Gulf-based records. In general, I conducted my research to understand how the principle of provenance is applied in practice to the Gulf-based records. I used both of these expanded concepts to address my research questions through Phase One: Close Reading of the FAs and to draw up the written interview questions for Phase Two: Written Interview Responses. During the course of this research study, I conducted data analysis to determine whether the descriptions/finding aids of the Gulf-based archival records were created following the standards put forth by the traditional principle of provenance or if there were any indications that the expanded concepts applied to these selected Gulf-based records, either explicitly or implicitly.

In general, when describing archival records, it is imperative to capture and document the context of their creation and to provide information about their content and internal structure. Such descriptive practice is known to the archival community as *respect des fonds*. Respect des fonds stems from two essential archival principles: original order (refers to maintaining the arrangement system of the creators) and provenance. In order to place the materials in context and make it better understood, provenance needs to be explicitly stated. This is often achieved

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<sup>516</sup> McKemish and Piggott, “Toward the Archival Multiverse,” 137.

through the provision of an administrative history of the creator(s) when it is a corporate body and biographical details when it is an individual or family who created the records. In regards to provenance specifically, the standard archival descriptive practice rules that, “Record creators and other agents must be described sufficiently to understand the meaning of records.”<sup>517</sup> This is taken, in large part, from the notion that, “All parties agree that description should follow the principle of provenance. At its broadest, this principle requires records to be managed in ways that secure and preserve knowledge of their origins and contexts.”<sup>518</sup>

Overall, the findings of this study revealed the failures to respect provenance in the creation of the descriptions of the Gulf-based records. However, only one institution clearly represented the creators/inheritors of the records, acknowledges and applies the traditional principle of provenance, and dismisses the expanded concepts as other interpretations of provenance. On the other hand, the three other institutions unfortunately did not apply the principle of provenance consistently when describing and representing the records. It was difficult for me to determine how provenance is being applied to the Gulf-based records for those institutions that did not consistently practice provenance. This may be because librarianship does not have quite the same understanding of provenance or, to what Michel Duchein explains as, “Like many principles, however, it is easier to state than to define and easier to define than to put into practice. Although its origins are relatively easy to establish, difficulties arise as soon as an attempt is made to study its theoretical aspects thoroughly and to show its practical

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<sup>517</sup> *Describing Archives: A Content Standard – DACS 2019.0.3*, (Chicago: Society of American Archivists, 2020), xiv, available online at [https://files.archivists.org/pubs/DACS\\_2019.0.3\\_Version.pdf](https://files.archivists.org/pubs/DACS_2019.0.3_Version.pdf) (accessed on 1/8/2022).

<sup>518</sup> Geoffrey Yeo, “Debates about Description,” in *Currents of Archival Thinking*, edited by Heather MacNeil and Terry Eastwood, (Santa Barbara, CA: Libraries Unlimited, an imprint of ABA-CLIO, LLC, 2017), 164.

applications.”<sup>519</sup> The application of provenance is indeed difficult to apply into practice, which I discovered upon completion of both Phase One and Phase Two.

Furthermore, the expanded concepts of provenance are still not widely accepted and/or applied by some archivists in the field for various reasons. According to Hurley “A theory of simultaneous multiple provenance (allowing two or more creators to be identified at one and the same time) represents a more fundamental challenge to descriptive thinking that has been toyed with - both in theory and in application.”<sup>520</sup> This is supported by Expert 1’s dismissal of the practice of simultaneous multiple provenance and co-creatorship when asked about co-creation and its implication that multiple parties that contributed means that provenance must be multi-provenancial. Her response essentially reduced these practices to an “intellectual interpretation” of the traditional principle while admitting to the “. . . assertion that co-creation acknowledges all creating parties.”<sup>521</sup>

The principle of provenance is often met with critical debate, with many theorists proposing newer concepts for its shortcomings. In fact, they even provide their own reasonings for why some of these challenges persist. An example of these challenges is found in the following quote from the recent International Council on Archives, *Records in Context*:

*Conceptual Model, Consultation Draft v0.2:*

In recent decades, theorists and practitioners have intellectually and ethically challenged the traditional understanding of the Principle of Provenance. While accepting the traditional understanding of Respect des fonds, the intellectual criticism argues that a fuller understanding must include recognizing that provenance is much more complex, that the origins and history of records include not only the person or group that accumulated a body of records, but also other

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<sup>519</sup> Duchein, “Theoretical Principles and Practical,” 64.

<sup>520</sup> Hurley, “Parallel Provenance,” 39.

<sup>521</sup> TNA Experts, interview.

persons and groups directly related to the records, and the activities that were and are being performed in relation to the records.<sup>522</sup>

These challenges are clearly apparent in the complex case of the Gulf-based records and can even be seen in determining how the Gulf peoples and organizations played a direct role in the creation of the records, even though the original materials are physically located in the UK. This justifies my argument to adopt and practice the expanded concepts of simultaneous multiple provenance and co-creatorship and to also include them when creating a modernized standard for how to apply provenance in general to any archival records that show evidence of co-creators, contributors, and/or multiple provenance.

## **1.2. Findings of Phase One: The Close Readings**

The expanded concepts of provenance were taken into consideration in the formulation of the research questions and used to interpret the findings of Phase One. I completed a close reading of the paired institutions' FAs (BL-QNL and TNA - NA UAE) and conducted a within-case analysis and cross-pattern analysis to determine whether simultaneous multiple provenance and co-creatorship are applied to the Gulf-based records descriptions in each case study. For the BL, my findings showed that provenance is not clearly stated in the FAs, and more than one data element and their contents were needed to draw a conclusion on provenance, based on my interpretation. However, I did not rule out the possibility of co-creatorship and provided evidence of this possibility through several examples of FAs where the content of more than one data element was needed to interpret the provenance.

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<sup>522</sup> *Records in Context: Conceptual Model Consultation Draft v0.2*, (International Council on Archives Expert Group on Archival Description, July 2021), 7, available online at [https://www.ica.org/sites/default/files/ric-cm-02\\_july2021\\_0.pdf](https://www.ica.org/sites/default/files/ric-cm-02_july2021_0.pdf) (accessed on 12/22/2021).

For QDL, since their FAs are taken from the BL, I drew the same results. There is the addition of the “Copyright” data element, however, that provided me with a list of authors and page numbers, but I could not determine how the “Copyright” section related to provenance. Thus, in this case, provenance is also undetermined because I needed to understand the purpose of the “Copyright” data element, which was not clear from the information found in the FAs.

For TNA, the provenance is explicitly listed in the FAs as the creators and/or inheritors of the records. Although most of the titles of the holdings do not necessarily reflect the creators of these records, their provenance is still clearly listed at the top of the FAs indicating the creator or inheritor of the records and the offices where these records were held. I determined that TNA adheres to the practice of the traditional principle of provenance, and there is no room for interpretation, based on the information found directly in the FAs.

Although AGDA primarily uses the “Reference” and “Title” of TNA, there is also the addition of a “Description” data element to their FAs that includes the content and scope of the records. Also, while AGDA uses the acronyms found in the paired TNA’s “Reference,” they exclude the full names of the offices that created or inherited the holdings referred to in the paired TNA FA. I had to refer back to TNA to understand what these acronyms are. This information is clearly missing from AGDA. For example, the “Reference” states the acronym “FO” but does spell out “Foreign Office” that is found in its paired FA in TNA, and a user might not know what FO stands for. While it is assumed that AGDA follows singular provenance by the British by default, there is room for interpretation based on the newly added descriptions to the FAs. Here, I did not fully rule out the possibility of simultaneous multiple provenance and co-creatorship in the FAs of AGDA. Thus, throughout Phase One, I supported my argument for the possibility of simultaneous multiple provenance and co-creatorship for BL-QDL and AGDA



by providing several examples of FAs that can indicate the application of these expanded concepts, which could not be verified in Phase Two.

### **1.3. Findings of Phase Two: The Written Interview Responses**

After completing Phase One, I used my analysis of the close readings, the expanded concepts of provenance, and my research questions to draw up interview questions for the expert representatives of each cultural heritage institution. More specifically, I wanted to further clarify the uncertainties raised in Phase One and determine whether or not my findings from Phase One align with the expert representatives' responses. For my written interview questions, I wanted to use each institution's unique findings to formulate and draw up the written interview questions.

For the BL, the Expert's answers did not fully address my intentions nor did they explain how the BL applied provenance in the FAs. Hence, I concluded that provenance remains undetermined as of this study. However, she also stated that the BL is willing to consider the expanded concepts but did not mention how these will be practiced. For the BL's paired institution, the expert representative for QDL did not respond or provide any answers to the written interview questions. However, the BL Expert did provide a limited number of responses regarding the partnership, the creation of the FAs, and the enhancements to the Gulf-based records.

For QDL, their FAs are taken from the BL. However, when asked about the addition of the "Copyright" data element found in QDL's FAs, the BL Expert explained that it was because they use a different software. She does not mention if "Copyright" relates to provenance. Additionally, in regards to the enhancements of the QDL FAs, it seems like only the translation into Arabic is what is referred to as the enhancement. Otherwise, the contents of the data elements of the FAs are practically identical.

For TNA, my findings concluded that TNA adheres to the practice of the traditional principle of provenance. Although the representatives acknowledged the expanded concepts, they viewed these concepts as other interpretations of provenance and do not necessarily agree with them. Additionally, the representatives dismissed my argument for the possibility of co-creatorship and multiple provenance. In fact, TNA's representatives clearly provided their definition of provenance as singular provenance by the British, how it is explicitly stated and applied consistently throughout TNA's FAs, and their justification for dismissing all other concepts of provenance that do not follow the practice of the traditional principle of provenance.

For TNA's paired institution, the expert representative from TNA who worked closely on the partnership with AGDA provided some answers that relate to the partnership. Most of their answers were related to questions regarding the creation of AGDA's FAs. TNA's representatives explained how AGDA uses the guidelines provided by TNA, as well as the "Reference" and "Title" of TNA's holdings to create the FAs for AGDA. However, the addition of the "Description" in AGDA was created by the partnership's project team of experts from both institutions. I cannot determine the provenance for AGDA based on the limited responses received from TNA representatives.

#### **1.4. Results from the Findings of Phase One and Phase Two**

Upon the completion of the data collection, data analysis and review of the written interview responses, it can be concluded that the findings from Phase Two mostly support my findings from my close readings conducted in Phase One. For the BL, the findings from the expert representative mostly support the conclusion that provenance is undetermined from the FAs without it explicitly being stated or gathered from more than one data element. This is supported by the BL Expert's responses in Phase Two, which did not clearly state the

provenance of the Gulf-based records. Thus, it can be concluded that the principle of provenance in both Phase One and Two does not follow archival standards nor does BL properly provide provenance consistently throughout the FAs. Although the findings from Phase One and Phase Two align, there is a discrepancy in my understanding of “Collection Area” in Phase One versus the Expert’s clarification in Phase Two. I understand the “Collection Area” as relating to the provenance of the record, but the Expert clarifies that this has to do with the administrative grouping to allow staff to find BL collections that researchers are interested in searching. For example, the majority of the FAs that were closely examined listed India Office Records and Private Papers under the “Collection Area” data element. For this reason, I assumed that the “Collection Area” relates to provenance because the majority of the FAs do not provide a “Creator” data element. However, the Expert’s response in Phase Two did not verify this assumption and instead clarified that this data element is used by the BL staff for research purposes.

For QNL, I completed my findings for Phase One but received no written interview responses for Phase Two. However, the BL Expert and QNL Cataloger do provide some responses regarding the BL-QNL partnership, which were then used to compare and contrast the findings for Phase One and Two. I determined that QDL’s FAs follow the BL’s application of provenance because it uses the description from the BL’s FAs. QDL also includes the “Copyright” data element, which lists the authors and page numbers found with each discrete holding. Again, this raises the question of why QDL uses the term “author” and not “creator.” I believe that, since only the term “author” is used throughout the “Copyright” section of each FA, the QDL is using the incorrect term, according to diplomatic theory, which supports my suggestion for more archival education in the Gulf, archival training, and workforce, which can

lead to more robust descriptive practices in the Gulf-based cultural heritage institutions. Thus, the use of the term “author” here should be replaced with the term creator because its application more accurately follows diplomatic theory.

Bringing it back to this study specifically, my interest in learning more about the “Copyright” data element in QDL led to my inquiry about its purpose. In Phase Two, I specifically inquired about the “Copyright” data element, which was clarified by the BL Expert to only be attributed to a difference in software. I then made the assumption that the software used by QDL includes a feature that extracts bibliographic information about each document within each discrete holding to find the authors and page numbers. Also, it could be assumed that this software is mostly used by librarians, and the term “author” is built into the software rather than the archival terms “creator” and/or “contributor,” which would explain why the term “author” is used rather than “creator” in this case. This could also account for why multiple provenance/co-creatorship is resisted by these institutions, because it is not a feature of the software. Another point to mention is, since the QDL expert representatives did not reply, I continue to question why the “Copyright” data element is added and whether it relates to provenance or not.

For this reason, it is undetermined how provenance is applied and whether or not there is a possibility for multiple provenance and/or co-creatorship. Additionally, according to the limited responses received by the BL Expert and QNL cataloger, there seems to be an unequal contribution by QNL in the partnership with BL, since QDL’s FAs mostly follow the BL descriptions. Hence, I did not explicitly see a distinct Gulf perspective in these FAs, and there is no clear indication that QDL plays a participatory role in this partnership. Instead, I mainly see the QNL FAs as following a British perspective because the FAs are written by the British and

not the Gulf, even before the partnership existed. The Arabic FAs are also a translation of the British's English FAs, so there is no addition of any Gulf commentary or description - even in the Arabic FAs.

Shifting now to TNA, the findings from Phase One and Two determined that the principle of provenance is clearly understood to be singular provenance by the British with no possibility of simultaneous multiple provenance or co-creatorship as introduced and defined in this study. Additionally, in Phase Two, the expert representatives and I differed in our interpretation and application of provenance. More specifically, my interpretation of provenance aligns more with the expanded concepts of simultaneous multiple provenance and co-creatorship whereas the expert representatives follow the traditional principle of provenance, dismiss these expanded concepts, and view them as intellectual interpretations. Thus, the findings on provenance from Phases One and Two closely align, and I concluded that TNA follows the traditional principle of provenance as singular by the British. Hence, the Gulf peoples and organizations are viewed by TNA as simply subjects of the records and not co-creators or even contributors, and TNA's expert representatives even admitted that there is no possibility for future updates to the FAs that will include the application of these expanded concepts.

For the NA UAE, there are no written interview responses received by the expert representatives. However, there are a limited number of responses from TNA's expert representatives regarding the partnership with TNA. Thus, it is quite difficult to verify the findings from Phase One with the written responses from Phase Two. Overall, although the NA UAE uses the guidelines for its FAs from TNA as well as its "Reference" and "Title" data elements, AGDA created their own descriptions for their FAs that are not found in their paired TNA FAs. However, AGDA's descriptions are missing significant information related to

provenance. Unlike TNA, AGDA's FAs do not explicitly mention the creators or inheritors of the records, nor does AGDA include the full office name in the FAs. Instead, AGDA uses only the acronyms, presumably of the offices referenced to in the paired FA of TNA. I then conclude from the findings of Phase One that there could be a few scenarios for why this is the case. One scenario is the lack of AGDA staff who are educated in archival science and cannot fully apply the archival standards to the FAs of AGDA. This could possibly explain why AGDA is missing essential data elements from its FAs but are found in its paired TNA FA - especially creator information. A second scenario might be that AGDA excludes these specific data elements from the FAs because the staff may view the Gulf peoples and organizations as possible co-creators and/or contributors and intentionally moves away from singular provenance by the British. Third scenario is that since TNA provides the guidelines for the description, project staff, and the "Reference" and "Title" data elements that were used in the creation of AGDA's FA, it can be assumed that there is an unequal partnership between TNA and the NA UAE because the project seems to be made up mostly by the British staff and archivists from TNA. Thus, these three scenarios support the need for simultaneous multiple provenance and co-creatorship as potential practices for AGDA's FAs because these expanded concepts will enable AGDA staff to: 1) create data elements that acknowledge all creators and contributors to the records; 2) view the Gulf peoples as co-creators and contributors who then may have certain equitable rights to these records; and 3) create their own guidelines for the description and update AGDA's FAs to include the addition of the Gulf's narratives and perspectives.

My argument for the practice of the expanded concepts of provenance to the Gulf-based records is supported by the inconsistent practice of provenance already in existence. Thus, I am proposing that not only should the expanded concepts of provenance be applied to the Gulf-

based archival records, but I am also arguing that these concepts of provenance should be applied to these records in an explicit and consistent manner that aligns with the standards defined in the archival field. Additionally, since TNA does not leave room for the possibility of viewing the Gulf peoples as co-creators and contributors, its partnership with the NA UAE has the possibility of updating their FAs to include the perspective of the Gulf peoples and organizations as co-creators and contributors and not as simply subjects of the records. There is strong support for both Gulf institutions to bring awareness to the Gulf peoples' contributions to their own history in the region and create a voice in the archival descriptions for the Gulf-based records.

Based on the findings, the current descriptions of the Gulf-based records as represented by the four cultural heritage institutions failed to accurately indicate the appropriate type of provenance when initially creating the FAs. As a result, the descriptions did not document the context of the creation of these records, which leads to an incomplete understanding of the intent and meaning of these materials. Thus, the expanded concepts of provenance need to be adopted and be put into practice, in order to describe the context in which the Gulf-based records were originated, created/co-created, and used, as well as to describe the contexts of current and future use of the records. Thus, there is a need to re-describe the context in which the Gulf-based records were created, maintained, and used over time.

As of this study, there is no in-depth analysis of the Gulf-based records digitally shared by the British with their Gulf-based partners to the best of my knowledge. Additionally, the expanded concepts of simultaneous multiple provenance and co-creatorship have not been researched in the context of transactional archives, as well as in the case of digitally shared materials through the partnership between the British and the Gulf. The notion of how provenance is practiced is unique in this situation because there is an argument between what is

more relevant: the creators/inheritors of the records or the original creators/contributors of each individual material within the holdings. This issue was raised several times in Phase Two by the two British institutions and needs to be further studied to distinguish and redefine provenance, as I introduced versus as the expert representatives apply it as singular provenance. This brings up issues in modern archival theory because provenance needs to be more clearly defined and explicitly stated in the FAs. Additionally, modern archival theorists need to provide more thorough archival standards and guidelines that include detailed definitions and labels of the types of provenance and how these are specifically applied in the actual field.

Until today, there are no guidelines or standards that dictate what to do about the provenance in the case of archival records pertaining to one group that are created and/or held by another group and recently digitally shared. How is provenance then practiced in a case where the original materials are held and maintained by one institution while their digital surrogates are currently being shared with another institution? Who has stewardship and ownership of these digitally shared records? Does the practice of the traditional principle of provenance still apply in this case? For example, guidelines and standards need to be drafted to address the unique situation in which a colonizer or protector of a region: 1) created records about and/or with the colony or protectorate; 2) kept these records with them; and 3) now are digitally sharing these records with their formerly colonized or protected peoples. More specifically, attention needs to be paid to the digitally shared records that pertain to a colonized/protected people but are still physically located with the colonizers/protectors and where more agents played a role in the creation and contributions of the records pertaining to the colonized/protected peoples. This is the case for the Gulf: the Gulf-based institutions requested the British archival records pertaining to the Gulf from the British-based institutions in which these records are currently held.



### **1.5. Support for How Useful Provenance is for the Shared Digitized Records**

This dissertation presents a unique and novel situation in which the British are now sharing digitized records with the Gulf. This differs from digital repatriation because the creators of the records hold their copies and are sharing them with the Gulf nations whose entities did not maintain their own copies of records created through transactions to which they were party. The British institutions, therefore, own the only remaining original copies and administer them in accordance with their own practices and interests. They are digitizing and sharing these records with the Gulf states because those states do not have their own copies or other recorded history and are interested in what they can learn from the British records about the past history of the Gulf. This raises a new dimension, if not in law (since ownership of these materials is not in question), but perhaps in professional ethics, regarding how provenance is claimed and implemented by the British institutions when they hold the only remaining copies of the records and raises the overarching research question: How useful is the principle of provenance with regard to the arrangement and description of the shared digitized records, bearing in mind that in standard archival practice, singular provenance guides not only how the records are arranged, but also is the lens through which the materials are described and copyright or ownership is asserted?

Three scenarios present themselves in this case for how provenance might be practiced, specifically for the shared digitized records: 1) singular provenance – the British government agencies are responsible for creating these materials and arrangement and description remain the same as they are for the physical materials; 2) British singular provenance as implemented through current arrangement and description remains, but additional description is added to what has already been created to show the roles played and potentially the terminology employed by the Gulf peoples and organizations in creating these records; and 3) the Gulf institutions (QDL

and AGDA) take on a larger stewardship role over the digitally shared materials and reprocess them locally, potentially realigning their arrangement and developing new descriptions/finding aids in Arabic to better reflect how these records and the activities they represent are viewed and understood today and to make them more accessible to their own citizens. In this scenario, changing the original order would not necessarily be a big concern, as the original order is still available and described in the original British records. The practice of provenance in arrangement and description therefore becomes increasingly complex, but potentially more useful, as one moves through these options. The more complex practices may allow for more participation, creating a space for negotiation in which different entities share stewardship and recognize that these digitally shared records are created by, for and with many communities. The stewardship and responsibilities of these communities in turn reflect wider community values, practices, beliefs, and needs.

Lastly, provenance recognizes the power and authority of the creator of the original physical materials. However, when these materials are digitally shared, this power then may become shared, allowing for more equity between the creator and possible co-creators of the source community. Potentially then certain rights in records can be extended to the co-creators such as the right to use their own names and terminology, create narratives that reflect their perspectives of how events transpired, and determine access conditions for and reproduction of the digitized materials.

## 1.6 How Provenance is Currently Practiced and its Shortcomings

For review, the traditional principle of provenance is defined as, 1) “the origin or source of something.”<sup>523</sup> 2) “Information regarding the origins, custody, and ownership of an item or collection.”<sup>524</sup> And 3) “the relationship between records and the organizations or individuals that created, accumulated and/or maintained and used them in the conduct of personal or corporate activity.”<sup>525</sup> In the case of the Gulf-based records, unfortunately, these categories fall short in defining two important agents for determining provenance. Therefore, two or more of the aforementioned categories under the practice of the traditional principle of provenance need to be considered in order to more accurately represent the provenance of the shared digitized records.

The current practice needs to consider two more additional categories: 1) Who are the co-creators/contributors of the records? and 2) Who is currently maintaining the shared digitized records (i.e., stewardship of the records)? The question then arises: Does there need to be several different types of provenance, in order for this conundrum and ambiguity to be addressed in the practice of provenance especially in the case of the digitally shared records? These types of provenance need to then; 1) clearly state the role of the source in the creation of the records; 2) acknowledge and accredit all parties involved directly or indirectly in the creation and preservation of the records; and 3) clearly indicate the stewardship of the records. In this case, there are potentially two stewards of the records: the British, who hold the original materials, and the Gulf, who currently preserve the digital records.

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<sup>523</sup> Society of American Archivists, “Provenance.”

<sup>524</sup> Society of American Archivists, “Provenance.”

<sup>525</sup> *ISAD(G): General International Standard Archival Description*, 11.

To conclude, while I present a clear argument for why the practice of the traditional principle of provenance falls short in representing the Gulf-based records, I cannot generalize this shortcoming to other cases. This is an unprecedented research study in which the FAs for the Gulf-based records do not explicitly state the origin or source of the records, the creators, co-creators, and contributors of the records, or the context of creation. These findings are specific to this research study and show how the practice of the traditional principle of provenance does not currently apply to the Gulf-based records. For this reason, I cannot generalize my findings to other cases because I am only studying one single phenomenon pertaining to the case of the Gulf-based records. However, these findings strengthen the need for the expanded concepts of simultaneous multiple provenance and co-creatorship to be more widely accepted and practiced by archivists.

## **2. Reflections**

### **2.1. Lack of Archival Education and Access to Gulf Archivists**

During the journey of this study, I noticed a few issues that affected the timeline and some of the findings that play a significant role in how the FAs represent the Gulf-based archival records. One such issue that proved troublesome was the inability to contact expert representatives from both Gulf-based institutions. This may be due to the fact that Archival Science is still a growing field in the Gulf states, and there are not enough expert representatives within their institutions to provide archival-based answers regarding my inquiries. This then results in a lack of information and resources for me, historians, and others who are interested in the history and archival records pertaining to the Gulf. This translates into the need for more education and funding for archival science in the Gulf to meet the needs of the field and honor

the demands of the Gulf people's interests in learning more about their history and archives, their roles in the past, and their relationship with the rest of the world today and in the future.

As of this date, there are roughly three universities in the Gulf that offer a Bachelor's degree and/or Master's degree in Records Management and Archival Science. One of these universities is a French satellite campus in Abu Dhabi, Sorbonne University, that collaborates with the NA UAE to provide students with access to archives in their studies. This is a relatively new program that was recently introduced to the Gulf in addition to the previously established Middle East College in the Sultanate of Oman that offers a Bachelor of Science program in Archives and Records Management. Other Gulf states offer some archives and records management-related courses, which is usually offered through the Library and Information Sciences departments of the respective universities. For this reason, there are relatively few archivists in the Gulf region, and the need for more education and resources is crucial to the Gulf peoples' growing interests in their history and archival records.

Firstly, I believe that as a result of this lack of archival education, I was unable to receive the written interview responses - specifically from the Gulf-based institutions. When I attempted to follow up on my inquiry with AGDA, the customer service representative admitted that the AGDA staff cannot provide me with information regarding the description (metadata) of the archival records but were willing to assist with accessing the original materials (physical or digital), which was not the initial query. Similarly, for QDL, I did not receive any written interview responses and instead had to refer back to the BL's expert representatives to try to get answers for QDL because a cataloguer for QNL admitted that the FAs were directly taken from the BL - even the Arabic translations.

Secondly, the lack of archival education also resulted in limited availability of trained Gulf archivists in the Gulf-based institutions during the establishment of the partnerships. This possibly resulted in less awareness on the part of the Gulf institutions when negotiating partnership agreements about what they might wish to build into the agreements, especially in terms of whether or how existing descriptions of the records should be shared as is, translated, augmented, or even completely re-done for the digitized versions of the materials. Thus, in the case of QDL, they ended up with an agreement to make available a copy of the current descriptions but without clarity as to the copyright of either the materials described or indeed of the descriptions themselves; they only thought about copying of the actual materials. For example, questions that could be raised in such partnership negotiations might include: 1) Should new or existing metadata be used to provide access to the digitized materials? 2) Should that metadata be translated and if so, by whom and according to whose perspective and semantics? 3) Who is going to be responsible for metadata creation and updating? and 4) Is it possible that an entirely new FA could be created for the digitized materials, and if so, who should most appropriately create it, carry the cost, and how should it be made available and, if necessary, differentiated from the existing descriptions?

While the absence of addressing the aforementioned points in this case are possibly attributable in part to a lack of awareness and professionally trained archivists in the participating Gulf states, the points themselves are not specific only to the Gulf case or to other instances of digital sharing. In fact, they should also be clarified and addressed in any digital repatriation agreements.

## 2.2. Copyright Versus Fair Use of the Descriptions/FAs of the Records

Another issue that was raised during the course of this research study was the confusion on how copyright applies to the descriptions/FAs of the records. Both QDL and AGDA provide copyright statements in their FAs that refer to their permission to use the original materials from their paired British institutions. However, since this applies mostly to the original materials, which I did not use, how then does copyright apply to the use of only the descriptions of the records? This raises an important ethical question on the issue of copyright infringement versus fair use for research purposes that are not clearly evident in all four institutions' FAs or Home page.

While it seems that the metadata and description found in the four institutions FAs are free to reuse and share, I remain uncertain, however, whether these descriptions are subject to copyright or whether they are free to reuse and share. It is important to know that these descriptions are original expressions written by archivists, and intellectual property rights may apply. This raises a few questions: Does copyright protection apply to the FAs? Do the FAs need to be copyrighted? Do I need to seek permission to use the metadata in my research study? Since none of the institutions provided any policies or guidelines regarding access and use of the descriptions, I was unsure if these fall under copyright or fair use for research purposes in this case.

Additionally, none of the institutions credit the archivists who created the descriptions, so I was also unsure whether or not these fall under intellectual property where copyright applies or falls under fair use. The question of fair use also arose because I was using the descriptions only for Phase One and not the original materials, which I have fully cited in this dissertation and which I have solely used for academic research purposes. This then brings up the question, do I

need to seek permission from the copyright holder to use the descriptions in the research study if copyright explicitly states the protection of the original materials? I thus propose that there needs to be a clear statement regarding the use of the description of the record to avoid any copyright infringement and to encourage fair use for research purposes. More specifically, these institutions need to provide guidelines and/or policy statements informing users if there are copyright-protected expressions in the metadata, how to reuse and share the description, and how to seek permission to use the copyrighted material for research purposes.

### 2.3. Transparency and Accountability

Transparency and accountability refer to following the practices put forth by the field and observing the professional codes of ethics. In archival science,

Accountability is inextricably linked to the use of records to explain past actions, where the physical or juridical persons involved cannot themselves provide the required or needed account. It is understood that responsibility to provide an accounting of facts, acts, and events is a key reason for creating institutions that support preservation of the archives. Understanding a juridical system, the *context* of records creation, the *recordkeeping systems* [emphasis in original]. in place to manage records use, disposition, selection, arrangement, description, access, and preservation, are critical steps in determining archives' effectiveness as tools for accountability.<sup>526</sup>

Based on this notion of accountability, I determined that all four cultural heritage institutions did not fully adhere to an ethical application of accountability. First, the institutions failed to mention when the FAs were originally created, by whom, and if they were updated. This is specifically addressed in *Describing Archives: A Content Standard*, which states,

Archivists must document and make discoverable the actions they take on records. Archivists and archival repositories are agents whose actions affect records and the ways that all users can access and interact with those records. Archivists have an

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<sup>526</sup> Lara Wilson, "Accountability," in *Encyclopedia of Archival Science*, edited by Luciana Duranti and Patricia C. Franks, (Rowman & Littlefield: New York, 2015), 5.



obligation, based on professional values of accountability and responsible custody, to thoroughly and transparently describe their own interventions in the course of their work. These interventions may potentially affect the users' understanding of records and are an essential part of archival description.<sup>527</sup>

I discovered that there are no distinct data elements that indicate when the FAs were created, when they were created, and who created them and likely, for earlier FAs created prior to the implementation of archival descriptive standards, this information might not have been recorded. Moreover, I noticed that there is no archivist's note to report who made any changes to these FAs after they were created that are available for public use.

More specifically, I distinctly call out the BL for making changes to specific FAs without any transparency or accountability to what led to the changes in the FAs in the first place. In this case, I argue that the BL failed to be transparent and accountable as supported by the following quote, which states, "Adherence by *archivists* to accountability as a principle flows from their custodianship, their responsibilities with respect to the practices of *appraisal, selection, arrangement, description* [emphasis in original], provision of access, and preservation of archives, and their observation of professional codes of ethics."<sup>528</sup> This lack of accountability by the BL is evident in Phase Two by the changes made after receiving a specific question about some FAs from me in Phase One that were missing information for certain data elements. I ask the BL Expert in the written interview, Section Seven, Question Five, "There are three other finding aids that do not contain information about "Collection Area" [IOR/L/PS/12/3919, IOR/L/PS/18/B333, as well as Photo 667/4(497)]. Two of these reference numbers start with IOR but are missing information under "Collection Area." Where do these records come from? How is their provenance determined if the collection area information is missing?" The BL

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<sup>527</sup> *Describing Archives: A Content Standard*, p. xv.

<sup>528</sup> Wilson, "Accountability," 3-4.

Expert admits, “All of these are glitches in the online catalogue. Thank you for spotting them.”<sup>529</sup> Content was added shortly after she received the written interview responses with the specific “Reference” provided by me. The BL made these changes without any notifications or updates to these FAs.

Ethically, the archival standards specifically state a guideline (mentioned above) of how to remain transparent and accountable when making any changes to the descriptions in the FA. I only noticed the changes because the original content in my earlier writings did not match the content after receiving the written interview responses during Phase Two. Thus, the BL does not provide a metadata trail (or edits) indicating the changes made to the FA’s information found under the specific examples brought up to the BL Expert after the changes were applied to the FA. As a result, there is no way of knowing that changes were made to these specific FAs without having brought up the discrepancies in the first place. I know these FAs were changed because I brought up the discrepancies, but these changes still remain unknown to the public.

This issue raises a few questions. Should any researcher and/or historian of colonial concerns be able to access the information about the creation of metadata and view the old trail of the metadata and see whether the archivists are transparent and accountable? Also, how important are transparency and accountability in the description of the archival holdings and, more specifically, in the partnership between the Gulf and Britain? For example, does the BL know that I am aware of these changes? How do these changes affect the interpretation of the FA? Do any of these changes (and any future updates/modifications) only relate to transparency and accountability of the institution, or can it also affect the interpretation of the FA? All these questions are raised within the ethical codes of transparency and accountability but can

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<sup>529</sup> BL Expert, interview.

potentially influence other aspects of the archives and its understanding in the greater context of research in archival science.

#### 2.4. Variations in Archival Terminologies in the US and UK

Another issue raised during Phase Two was brought up by the expert representatives from TNA regarding the variations in archival terminologies used in the United States versus the United Kingdom. The confusion is in reference to the archival concepts that I use that may differ slightly between the UK and the USA. Although these terms may vary, they tend to refer to the same concept in archival science (e.g., a finding aid and a catalogue description are both used to refer to the descriptive metadata created for the records). In fact, a few variations arose between how I used the terminology and how Expert 1 interpreted or understood the question based on how she uses different wording to refer to the same thing. For example, U.S. archivists often broadly use the term “collection” to refer to an individual collection or a discrete holding of records (whether it includes an individual file, volume, or memorandum), but UK archivists tend to use these terms differently, depending on the arrangement level, such as “file,” “volume,” or “item” to refer to what I refer to as a discrete holding or record collection. For example, when I asked an interview question using the term “record collections” to refer to an individual collection or discrete holding by different creators or inheritors, Expert 1 became confused. In Section Six, Question One,<sup>530</sup> Expert 1 attempts to clarify this confusion by reiterating, “Your question refers to record collections but gives specific examples of **individual files** rather than to collections or **record sets** [emphasis in original]. I find this confusing.”<sup>531</sup>

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<sup>530</sup> See Appendix 7: Interview Questions for The National Archives (TNA) of the United Kingdom Representative, Section Six, Question Two, p. 334-335.

<sup>531</sup> TNA Experts, interview.

Another variation is my use of the term “finding aid,” which again confused Expert 1 who assumed that I was referring to “catalogue description.” Expert 1 highlights these differences in her written interview response to Section Seven, Question One<sup>532</sup> when replying, “I do not know what 699 **finding aids** you are referring to and wonder whether the concept ‘finding aid’ is defined differently in the USA and in the UK (and other European countries). Our online catalogue is one finding aid. Do you refer to each **catalogue description** as a finding aid [emphasis in original]? Or perhaps to each series metadata within a catalogue?”<sup>533</sup> This can create some confusion to both U.S. archivists and UK archivists because it can become unclear as to what each person is trying to describe when it comes to explaining or describing a specific archival record, records collection, individual file, and so forth.

Another variant found that raised confusion is the use of the term “personalities” in the AGDA FAs to refer to related “persons,” “individuals,” or “people.” The use of the term “personalities” could either be a translation error or human error. For AGDA, the use of the term “personalities” may be due to language used (English versus Arabic) and how it was then translated.

A possible reason for these variations in descriptive traditions may be due to the fact that TNA created the description/FAs before the introduction of the Encoded Archival Description (EAD in 1996). The EAD is an international standard that archivists use to encode data that describe corporate records and personal papers. The standard offers different terms for archival description, such as finding aids and catalogues,<sup>534</sup> which possibly explains the confusion

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<sup>532</sup> See Appendix 7: Interview Questions for The National Archives (TNA) of the United Kingdom Representative, Section Seven, Question One, p. 335.

<sup>533</sup> TNA Experts, interview.

<sup>534</sup> Daniel V. Pitti, “Encoded Archival Description: An Introduction and Overview,” *D-Lib Magazine* 5, 11 (1999), available online at <http://www.dlib.org/dlib/november99/11pitti.html> (accessed on 1/25/2022).

between the US terms I used versus the terms used by the UK expert representative from TNA. Thus, although both of us are using the correct terminology, the adoption and use of certain terms vary from the US to the UK.

## **2.5. Strengths and Limitations of the Study**

This is the first research study that notes the limitations of the practice of the traditional principle of provenance as it applies to the digitally shared records of the Gulf and argues for the expansion to include simultaneous multiple provenance and co-creatorship to give credit to and recognize the narratives of the Gulf peoples and organizations in the creation of and contribution to these archival materials. I want to emphasize that Gulf-based records could not have been created without the direct involvement of the Gulf peoples and argues for the rights, ownership, and stewardship of the digitally shared records. In order to support my study, I conducted my research using the interpretivist tradition and inductive reasoning to better understand how the British viewed the Gulf region to create these original materials and describe these records. My use of inductive reasoning further studies this specific phenomenon and discovers that the traditional principle of provenance needs to be expanded to properly describe the context and meaning of these records. This research approach and reasoning style add strength to the study because they use a specific case (or cases) to support a general principle or theory. Basically, I move from the specific following a bottom-up approach and then move to the general using these particular instances as evidence for the generalization of my proposed argument.

This is further strengthened by the use of two research approaches: close readings completed in Phase One and a written interview conducted in Phase Two. I first conducted a close reading of the FAs to determine the provenance of the Gulf-based records for all four institutions and then used my findings to interview each institution's expert representative. Their

responses either validated or clarified my findings from Phase One and lent more credibility to the findings of the study.

Additionally, the use of both research approaches was further strengthened by my decision to adopt a two paired methods strategy, “within-case analysis” and “cross-case patterns.” By including a thorough write up of each cultural heritage institution, I familiarized myself with each institution’s strengths and weaknesses and was able to use these findings to compose written interview questions specifically targeting some of these discrepancies. The cross-case patterns method was especially helpful in analyzing the data collected from the interview responses and verifying them with my findings from the close readings. These analyses were further strengthened by reporting each case individually and then comparing and contrasting: 1) each pair of cases, 2) within the two British cases, and 3) within the two Gulf cases. These findings from Phase One were then used to compose the written interview questions for Phase Two.

Overall, the research design, approach and methodology proved to be quite strong in analyzing the data and interpreting the findings of the study. I was able to successfully argue for the expansion of provenance to include simultaneous multiple provenance and co-creatorship by presenting a unique situation of the Gulf-based records digitally shared by the British, thus using a very specific phenomenon to argue for the generalized expansion of provenance. This was further supported by the use of two approaches, the close reading and interviews, which allowed me to validate my interpretations while the use of the two paired methods strategy provided a thorough analysis of the findings. However, even though these research strategies were quite strong, limitations arose during the course of the study, which is expected.

One such limitation arose during Phase Two. After I wrote thorough and detailed written interview questions specifically tailored to each institution, I followed up within the time span of three months. During those three months, only the expert representatives from the two British institutions returned their consent with the written interview responses and declined a virtual interview. The expert representatives from the Gulf institutions did not respond and eventually declined to participate altogether. This was indeed unexpected and affected the validation of my interpretation of the FAs from Phase One. I then made the assumption that there is an unequal share of responsibilities in the partnership between the BL and QDL because the Cataloguer himself kept referring me back to the BL and was unable to provide answers.

## CHAPTER VII: CONCLUSION, RECOMMENDATIONS, AND FUTURE STUDIES

### 1. Conclusion

The findings of this research study present several challenges to the field of archival science, ultimately focusing less on answering the original research questions, and shifting more toward acknowledging and understanding the fact that they may not necessarily be answered. In other words, the essence of this research study deals with relatively new archival theories and concepts and their interrelated issues that needed first to be introduced before they could be answered. It brings to the surface the shortcomings of archival theories and concepts that are reactive to other historical contexts and actions and do not quite fit with the unique situation of the Gulf-based records digitally shared by the British. It also reveals that some of these archival theories and concepts, primarily developed in North America and Australia, are neither accepted by some current archivists elsewhere nor explicitly addressed in descriptive archival standards and the work practices of major archival institutions, thus remaining primarily part of theoretical discourse.

The first challenge is determining a suitable definition for the Gulf-based records that were created during the British presence in the region and better understanding the unique and amicable relationship between the British and Gulf states. Historically speaking, the Gulf states' relationship with the British does not traditionally fit under the definition of colonies but rather more of protectorates with their own sovereignty and leadership over their internal affairs. Therefore, I proposed that the type of archives shared by the British with the Gulf do not fully fit under the rubric of colonial archives or even of displaced archives. Rather, the Gulf-based records created and shared by the British with the Gulf institutions mainly dealt with economic influence and political control through the diplomatic relationship between the British and the



Gulf rulers and authorities, documenting British business functions and transactions with the Gulf people and organizations. This led me to come up with a new term: *transactional archives*, to specifically define the archives that documented the British's day-to-day activities during their presence in the Gulf region between the 16th century through 20th century such as trade, protection treaties, and economic agreements between the British and the Gulf states. Taken altogether, the concepts of colonial and displaced archives, to some extent, define these archives, but now transactional archives more completely define the types of archives created by the British with the Gulf states.

The second challenge is that the partnership agreements between the British and the Gulf cultural heritage institutions are for digitizing and providing access to the original materials held in the UK and not for exchanging or extending their ownership and control. These partnership agreements are more accurately described as digital sharing. Although digital sharing provides access to the materials, it does not recognize a set of rights or any particular responsibilities or protections that can be associated with digital repatriation. The latter, on the other hand, has the possibility of recognizing source community rights in the records, such as a measure of intellectual control over the shared materials, and the rights to represent their original narratives and perspectives and set access conditions to these materials.

The findings of this study revealed that the British institutions provided their paired Gulf partners with the descriptions for the shared digitized records. For example, the BL provided QDL with the descriptions for the digitally shared records and translated them into Arabic. In a similar finding, TNA provided AGDA with the guidelines and influenced how AGDA described the digitally shared records. This affected how the Gulf-based institutions represented the shared materials because neither Gulf institutions created the descriptions nor represented Gulf's

narratives and perspectives to these shared materials. These examples from the findings then raise questions about the degree of intellectual control that can be exercised over the digitized materials by the Gulf-based institutions as well as the extent to which the Gulf-based institutions are currently professionally equipped to exercise such control. As a result, I concluded that the partnership between the British cultural heritage institutions and their paired Gulf institutions is not necessarily equal, even if the diplomatic and commercial relationships between these countries were considered to be amicable. I therefore propose a solution to secure and grant rights in the shared records for the Gulf people and argue that digital sharing needs to be brought under the umbrella of digital repatriation.

The third challenge is related to the well-established and agreed upon archival principle that guides the arrangement and description of archival materials. My stance in undertaking this dissertation was that the Gulf-based records were not necessarily created by the British alone. Instead, the British created these records *with* the Gulf peoples, and thus current practice of the traditional principle of provenance does not fully express this unique situation. The historically accepted practice implementation of provenance focuses on singular provenance by one creator or inheritor and does not recognize those who have contributed to the record creation process or those who have been affected by its actions as co-creators. For this reason, I introduced the expanded concepts of simultaneous multiple provenance and co-creatorship, as argued by world-renowned archival scholars and theorists, to account for the possibilities of acknowledging the co-creation and contributions of the Gulf peoples.

Co-creatorship, in particular, recognizes the participation of the Gulf in the creation of these records and thus supports an argument for extending certain rights in records to the Gulf peoples as to those accorded to the British agents who are currently recognized as the creators of

the original materials. Rights in records specifically offer the possibilities of 1) acknowledging the British as the creators and the Gulf as the co-creators, 2) giving the Gulf grounds for claiming some input regarding the intellectual if not physical control of the materials, and 3) encouraging the Gulf institutions to redescribe and represent their own perspectives and narratives as co-creators of the shared materials. My argument for simultaneous multiple provenance and co-creatorship has been strengthened by the finding that provenance is undetermined for three of the four institutions. Furthermore, the research questions related to provenance could not fully be answered precisely because the practice of the traditional principle of provenance is limited in this context, thus supporting the argument for the expanded theory of simultaneous multiple provenance and the concept of co-creatorship. Although a few archival theorists and scholars have looked in detail at what might be involved in practically implementing these expanded notions of provenance and have provided guidelines, this study suggests that archivists and their institutions may still not be on board with the idea, or perhaps just see it as too complicated to implement. One of the reasons for this is because the newer archival standards, including RiC, do not sufficiently provide guidelines on how to objectively represent multiple provenance simultaneously to include both creators and co-creators. Another reason is that, practicing archivists may dismiss co-creatorship as a purely intellectual interpretation of provenance and continue to adhere to the traditional principle of provenance of one creator or inheritor of the records.

The final challenge has to do with the lack of awareness of rights in records by the Gulf institutions. Although not juridically sanctioned rights, the concept of rights in records provides ethical precepts that support ways to respect and acknowledge creators, co-creators, and all those who directly and indirectly contributed to the records creation and preservation. In regards to

provenance and the description of the records, specifically, Gilliland and McKemmish support “Acknowledging both the creators and the co-creators/subjects of records when appraising, describing, and making accessible those materials.”<sup>535</sup> In my study, it was clear that: 1) the Gulf institutions did not create their own descriptions of these shared records; 2) the Gulf peoples’ narratives and perspectives are largely absent from the descriptions of the shared records; and 3) the Gulf peoples are not explicitly stated as co-creators of the records. These concerns then lead to the conclusion that the Gulf institutions either lack the awareness and the archival education of the concept of rights in records, and they perhaps even view themselves as only subjects of the records and not as the co-creators and contributors, even though many of the examples presented in this study show how they played a participatory role in the creation of the records.

This would explain why the Gulf institutions followed the British institutions’ application of the principle of provenance and used their descriptions (QDL) and guidelines (AGDA) for their own FA versions. Their lack of assertion of possible rights in these records may also explain why the Gulf did not include their own narratives and perspectives. This, in turn, suggests that recognition of rights in records is an important need in archival science, especially when forming partnerships between different parties, often in inequitable power or expertise relations, that include the possibility of co-creatorship and hence multiple provenance. It is understood that provenance implies a certain level of power and authority over the records. What complicates provenance further and may make its conceptual expansion controversial is when there should legally or ethically be a sharing of this power between the original creator and other parties involved in the record, either as co-creators or as contributors or subjects. However, in archival practice, recognizing and enacting provenance in arrangement and description should

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<sup>535</sup> Gilliland and McKemmish, “Rights in Records as a Platform,” 374.

not be that difficult once all the parties' roles and rights in these records are acknowledged and are engaged participatively. That engagement might include criteria for identifying differing levels of rights in records in accordance with the roles played by individual parties and their proximity to the original records creation (e.g., creator, co-creator, relative or descendant of their subsequent holders of the same position). Obviously, the notion of rights in records as it pertains to creators and co-creators is also a complex subject that still requires more agreement and operationalization in archival science and is, therefore, beyond the capacity of this particular research project to tackle beyond raising the possibility.

Because of the power imbalance of the partnerships in this case, where the Gulf institutions did not hold the original records and also relied upon the professional expertise of the two British institutions, I am left wondering whether this might be why the expert representatives from the Gulf institutions did not respond to my request for an interview and declined to submit any written responses. Not receiving written responses from the Gulf meant that I was not able to fully verify and validate the findings of provenance from Phase One, and my suspicion that the expanded concepts of provenance (as well as rights in records and digital repatriation as relatively newer concepts in archival science) have not fully permeated professional practice yet, especially in the Gulf.

In addition to the aforementioned challenges, this dissertation raises two crucial questions that have yet to be answered. The first critical question arises from the QDL "Copyright" data element. Unfortunately, since I could not verify from Phase Two the intention of this element, provenance becomes difficult to determine. However, if the QDL's expert acknowledged that the intention of the "Copyright" element was to recognize all the creators, co-creators, and contributors of the records, is that considered sufficient acceptance of co-creation, or does co-

creation explicitly need to be acknowledged in the main fields of the finding aids? This question, thus, remains unanswered, for now.

The second critical question that arises from this dissertation relates to analyzing the British's original intention and audience when creating and describing the records. A fundamental ontological difference may be at work here. On the one hand, the British institutions are carrying out their description assuming it is for a British audience that is similar in culture and understands the historical role of these creator/inheritor agencies. They are also assuming that the correspondents and people with whom those agencies had contracts would retain their own set of records and maintain their own archives. On the other hand, in cases where nations or communities lack the resources to do that or simply cannot do that, or where maintaining archives is actually antithetical to the culture, the question then becomes: are there additional obligations for broader description for the repository that keeps the only copy? To expand on this further, should the need to broaden existing descriptions be part of a digital sharing agreement, and if so, who should create those? In this case, the Gulf states' culture at the time of the Persian Gulf Residency did not record their history or maintain archives related to their day-to-day interactions with the British and other entities in the Gulf region. For this reason, the partnerships between the two regions were established because the Gulf now sees the importance of learning about their past culture and their history through the British's meticulous collections of archival records pertaining to the Gulf. All of these interrelated issues raised many challenges during the course of this study and led me to recommend some suggestions and even open the door to future studies that specifically address these challenges.

## **2. Recommendations**

The case presented in this study of digitally shared materials, where the original is held in one institution and digitally shared with another institution, is a phenomenon that raised more questions than answers and surfaced many shortcomings of some traditional archival theories as well as related descriptive standards and guidelines. As a result, I make some recommendations below to address these interrelated issues.

### **2.1. Transactional Archives as a New Category of Archives**

The first recommendation tackles the lack of a term to define the specific type of archives created by the protectors with the peoples and organizations of the protectorate. More specifically, the protectors were welcomed through trade negotiations, treaties, agreements, and other business-related day-to-day transactions, which resulted in the creation of the records in the first place. In this case, these records were created by the British with the Gulf peoples and organizations, held in the UK, and recently digitally shared with Gulf states at their initiative and with their funding. I recommend “transactional archives” as a new term to more accurately categorize these archives that were created to record the business transactions, trade agreements, protection treaties, military presence, and the use of the region’s resources and waterways during their presence in the region. Although coined in this regional context, it could certainly be extended to other historical relationships with similar dimensions since the notion of a transaction implies that more than one entity or party was involved. Additionally, this term could also be used today to describe the transactional records digitally shared between the Gulf and the British.

## 2.2. Digital Sharing as a Facet of Digital Repatriation

The second recommendation is to incorporate digital sharing into existing conceptualizations of digital repatriation in order to support co-creators and all contributors to the records in their assertions of the rights and protections relating to shared or repatriated records. After researching the unique partnerships between the British and Gulf institutions, I determined that the term “digital repatriation” inadequately applies to these partnerships because the British institutions are not necessarily *returning* the original or digitized copies of the archival materials to the Gulf. Rather, they are only digitizing the materials and sharing them with the Gulf institutions. Since digital sharing as conceived in this relationship has not apparently contemplated or guaranteed rights and protections to the co-creators and contributors, there is a high risk that the Gulf’s access and use of the archives could be suspended at any time if the amicable partnerships with the British institutions are terminated or discontinued for any reason.

It does not seem from the current digital sharing agreements that Gulf partners have rights to claim stewardship, set conditions of access, or take intellectual control over the materials. Such rights would be more likely to be negotiated in a digital repatriation scenario and potentially would then enable multiple partners and parties in the records to include their own narratives and perspectives when representing the materials to the world via their online portals and to set access condition. Once digital sharing is more widely understood to be another aspect of digital repatriation, then a participatory ethos that is based on respectful consultation and mutual understanding that has come to be regarded as best practice in digital repatriation will hopefully be extended to co-creators and other parties to the creation of the records. Digital



repatriation is much more a professional ethical commitment or stance rather than granting rights in records.

### **2.3. Re-negotiating the Partnership Agreements with Trained Gulf Archivists**

A third recommendation relates to how digital sharing partnership agreements are negotiated. In the event that the partnerships are renewed or expanded to include other states, or entirely new partnerships are proposed, then it would be important to ensure that professionally trained archivists are involved on each side in those negotiations who are familiar with the kinds of metadata, rights and ethical concerns raised through this research and can ensure that each party's perspectives and interests are addressed. The partnership agreement would have to include processes for resolving any disputes about metadata and administration of digitally shared content.

### **2.4. Amending Archival Descriptive Standards**

The fourth recommendation is to amend the archival descriptive standards to provide rules and guidelines for how to apply multiple provenance simultaneously and co-creatorship when representing the archives in the descriptions/FAs. These rules and guidelines can further be adopted by the International Council on Archives (e.g., RiC and other archival descriptive standards) to more accurately represent provenance. If they are incorporated into standards and guidelines from the outset, software developers will (re)design systems that can accommodate them and put these expanded concepts into practice. Currently, these guidelines are being discussed, but there is no official update as of the date of this study. As a result, provenance is still practiced through the traditional principle (which is singular) as more and more records are being digitally shared that could fall under the expanded applications of provenance. It is not

sufficient to capture information on co-creators and contributors of the records and list them in the Scope and Content data element but still claim singular provenance. These standards need to be updated to reflect simultaneous multiple provenance and co-creatorship and promote putting them into practice by providing practical guidelines and a set of rules that archivists can follow when describing records with multiple contributors.

## **2.5. Updating Current Descriptions**

The fifth recommendation suggests that all four cultural heritage institutions revisit their current descriptions at a minimum for the shared digitized materials to more fully document provenance (creators, co-creators, and others who maintained the records), and acknowledge and give credit to all those who contributed to the records creation and preservation processes. Additionally, all four institutions need to provide consistent data elements to explicitly include the “Archivist’s Note,” and “Date(s) of Description” data elements in their FAs. These are relatively unmentioned data elements that were not found in any of the FAs of all the cultural heritage institutions in this study. The “Archivist’s Note” is needed to understand who prepared the description and what sources were used to prepare it. The “Date(s) of Descriptions” data element also needs to be included because it provides the date for when this description was added or updated in the FA. These specific elements relate to transparency by each institution to inform those who access the FAs of any changes and/or updates made to the descriptions, dates of these changes, and the reasons for these changes. Three of the four institutions (the BL, QDL and AGDA) need to include the following data elements in their FAs: 1) the “Creator” to clearly determine provenance, 2) “Administrative/bibliographical History” to place the records in context, and 3) “Custodial History” to accurately describe those who created and shaped the

records. More specifically, I address each cultural heritage institution's current descriptions to suggest updates to improve their FAs and make them easier to determine provenance.

For the BL, the "Creator" element was already included for only a few FAs, but I recommend that all the FAs include this element to better determine provenance. QDL needs to revisit their current descriptions and add commentary to the British descriptions to include their own perspective and narratives. Although TNA practices singular provenance in their FAs, I would like to see an update to recognize the Gulf's role as co-creators of these records. Furthermore, since AGDA did not use TNA's provenance information, they would need to update their FAs to include the "Creator" data element to credit the original British creators, the Gulf co-creators, and all other contributors to the records. However, these are merely suggestions and currently the Gulf cannot (due to lack of staffing) or may not (due to partnership agreements) simply create an alternative description/finding aid themselves in Arabic although they can add descriptive access points in the English and Arabic languages to make finding certain topics of these records easier to search. For example, British Arabic names can be transliterated into Arabic to facilitate name-based searching by those who are not experts in searching using archival descriptions.

### **3. Future Studies**

This dissertation raises some aspects that could be addressed in future studies delving further into putting into practice the expanded concepts of provenance and could potentially lead to a richer body of archival studies related to the Gulf and even similar cases (e.g., previously colonized communities, former protectorates).

One area is how the expanded concepts of provenance can appropriately be applied and used in other similar cases where the archival records contain materials from the source

community but are located outside the source community. For example, this study could be replicated looking at Gulf-based records located in Portugal, The Netherlands, and France - all former Imperialist powers that were present in the Gulf region, but which operate under different legal and cultural structures to those in place in the UK.

A second area would be to examine what it would actually take to have simultaneous multiple sets of archival descriptions - for example, one from the British (original creators) and one from the Gulf (co-creators) and/or other entities that utilized the region during that time (i.e., Indian interests) and how this might be implemented.

A third study might focus on the expert articles included at the end of each FA in QDL. These articles provide historical background to the digitized materials. A study might determine if these articles actually help readers understand the archives and whether the contextual information that supplement these records serves its intended purpose. It could also analyze the extent to which these expert articles are actually used by readers.

Another possible study might look at archival records of other British colonies during the same time period to better understand how provenance has been applied by these same British institutions. It might focus on how the source community is represented in the FAs and if there is a significant difference between how they are represented in a colony versus a protectorate.

Finally, and closely tied with this idea would be a study that analyzes the types of archives created by the British with their colonies and whether and/or how these differ from the archives created in/with the Gulf protectorates. Since the Gulf region shared an amicable relationship with the British, most of the archives in the region reflect that friendliness and mainly document their day-to-day business affairs. It would be interesting to study how the

records that remain reflect the relationship between the British and a colonized source community and also whether this relationship affects the types of archives created.

## APPENDICES

### Appendix 1: A Brief Description of the British Library (BL)

The British Library (BL), also known as the National Library of Great Britain was established in 1973 under the British Library Act. The BL united the following institutions over several years:

“Under the Act the following institutions were administratively combined to form the British Library: the library departments of the British Museum (which included the National Reference Library of Science and Invention), the National Central Library, and the National Lending Library for Science and Technology (the centre for interlibrary lending, located at Boston Spa in Yorkshire). In 1974 the British National Bibliography and the Office for Scientific and Technical Information joined the UK’s new national library. Two additional institutions subsequently became part of the Library increasing the breadth of its collections: the India Office Library and Records (1982) and the British Institute of Recorded Sound (1983).”<sup>536</sup>

Today, the BL is recognized as one of the world’s largest libraries. It houses over 25 million printed books as well as a vast number of periodicals, microfilms, and rare manuscripts, amongst other collections. Most importantly, the BL offers a special collection from the Oriental and India Office Collections, which were “transferred from the Foreign and Commonwealth Office in 1982), the National Sound Archive (formerly the British Institute of Recorded Sound, incorporated into the library in 1983).”<sup>537</sup> The BL also houses collected materials from the Gulf during their presence there and includes a large percentage of materials from the India Office Collections that contain records pertaining to the Gulf.

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<sup>536</sup> British Library, “History of the British Library,” 2010, available online at [https://imagesonline.bl.uk/?service=page&action=show\\_page&name=history-page&language=en](https://imagesonline.bl.uk/?service=page&action=show_page&name=history-page&language=en) (accessed on 05/07/2020).

<sup>537</sup> *Encyclopedia of Britannica*, “British Library,” 2020, available online at <https://www.britannica.com/topic/British-Museum> (accessed on 05/07/2020).

## Appendix 2: A Brief Description of Qatar National Library (QNL)

Qatar National Library (QNL) is a non-profit organization and a member of the Qatar Foundation for Education, Science, and Community Development. As a collecting institution, QNL “acts as a steward of Qatar’s national heritage by collecting, preserving and making available the country’s recorded history.”<sup>538</sup> The Qatar Digital Library (QDL) was inaugurated in 2018 from a partnership between Qatar Foundation, QNL and the BL known as the 10-year Memorandum of Understanding that started in 2010 and entered into a formal partnership agreement in 2012. This formal partnership was implemented in three phases. The first phase was initiated in 2012 when the QDL website was officially launched, and the first half million of the digitally shared records were open to the public.<sup>539</sup> In addition to materials from the BL, the QDL houses materials from QNL and other institutions.<sup>540</sup> The digitally shared materials from the BL include items “such as documents, photographs, maps, reports, and manuscripts related to the Gulf and Islamic history.”<sup>541</sup> After the QDL website was launched, the partnership entered into phase two. The “digitisation of 1,125,000 pages of rare, historical documents” began in 2015 and was completed in 2018. Phase three “will focus on digitizing historical documents from Britain’s Indian Office Archive including papers of the Political and Secret Department, political

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<sup>538</sup> Qatar National Library, “About the Library,” 2019, available online at <https://www.qnl.qa/en/about/about-the-library> (accessed on 5/7/2020).

<sup>539</sup> Davies, “British Library Qatar Foundation Partnership,” 7.

<sup>540</sup> Al-Mutawa, “Qatar Digital Library,” 1.

<sup>541</sup> Al-Mutawa, “Qatar Digital Library,” 1.

and military records, letters, photographs, maps and medieval manuscripts relating to Gulf and Arab regional history.”<sup>542</sup>

The QDL website includes descriptions of materials in both English and Arabic. They also supplement these materials with historical background and other information in over 150 *expert articles* that cover “topics from basic introductory articles to major themes that sit across the collections.”<sup>543</sup> These expert articles were first written by content specialists in 2012 during phase one, and more articles are currently being added to the website. These experts come from around the world in order to contextualize the digitized materials and bring a different perspective, since most of the descriptions “are inherently Western-centric, being written by the British for the British.”<sup>544</sup>

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<sup>542</sup> Qatar National Library, “Second Phase of Qatar Foundation, Qatar National Library and British Library Partnership Launched,” 2019, available online at <https://qnl.qa/en/about/news/second-phase-qatar-foundation-qatar-national-library-and-british-library-partnership> (accessed on 5/7/2020).

<sup>543</sup> Davies, “British Library Qatar Foundation Partnership,” 10-11.

<sup>544</sup> Al-Mutawa, “Qatar Digital Library,” 4.



### **Appendix 3: A Brief Description of The National Archives of the United Kingdom (TNA)**

The National Archives of the United Kingdom (TNA) was originally established after four government bodies formed into a single organization between 2003 - 2006. These include: the Public Record Office (1838), the Royal Commission on Historical Manuscripts (1869), Her Majesty's Stationery Office (1786), and the Office of Public Sector Information (2005), "each specialising in particular aspects of managing information."<sup>545</sup> TNA is an executive agency of the Ministry of Justice and are "the official archive of the UK government and for England and Wales."<sup>546</sup> The TNA is one of the oldest, and their historical archival collections contain some of the most significant records dating back to 974 C.E. As of 2010-2011, there are roughly 11 million public records, and the number of records continues to grow each year.<sup>547</sup> The TNA is a national archive and looks after, preserves, and protects records from the UK as well as from around the world, including countries such as India, Egypt, and the Gulf States. Since the 11<sup>th</sup> century, the British have become one of the leading authorities on preserving, protecting and keeping records that document their day-to-day transactions, diplomatic affairs, trade and business dealings, international treaties, government-related events, and other significant and historical events. Because of their meticulous recordkeeping practices, they also created records during their time period in the Gulf States.

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<sup>545</sup> The National Archives, "Our History," n.d., available online at <https://www.nationalarchives.gov.uk/about/our-role/what-we-do/our-history/> (accessed on 5/7/2020).

<sup>546</sup> The National Archives, "Annual Report and Accounts of The National Archives 2010-2011," 2011, available online at <https://www.nationalarchives.gov.uk/documents/annualreport-10-11.pdf> (accessed on 5/7/2020): 6.

<sup>547</sup> The National Archives, "Annual Report and Accounts of The National Archives," 6.

## **Appendix 4: A Brief Description of the National Archives of the United Arab Emirates (NA UAE)**

The National Archives of the United Arab Emirates (NA UAE) “collects documents of special historical value to the UAE, Gulf Cooperation Council states and the Arabian Peninsula, both from within the UAE and from abroad.”<sup>548</sup> Because many of the original documents on the UAE and the Gulf were scattered in other countries’ archives, and access can be challenging for those who do not know where they are located, the late Sheikh Zayed Bin Sultan Al-Nahyan established the Documents and Research Bureau in 1968 as a way to collect “documents and information relating to the history and culture of the Arabian Peninsula in general and the United Arab Emirates in particular, from primary sources in Arab and foreign countries.”<sup>549</sup> The name was later changed in 1972 to the Center for Documentation and Research (CDR). In 2008, Federal Law No. (7) was enacted to create the National Center for Documentation and Research (NCDR) but was later changed in 2014 again after Federal Law No. (1) was enacted. This then changed the name to National Archives. The current NA serves as both a national archive and collecting institution for the United Arab Emirates.<sup>550</sup> The NA is considered to be one of the first cultural heritage institutions of its kind in the UAE and organizes a large number of documentations pertaining to the Gulf region.<sup>551</sup>

The Arabian Gulf Digital Archive (AGDA) is the online initiative that was recently launched from a partnership between the NA UAE and TNA to begin the digital sharing of the

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<sup>548</sup> “About Us,” Arabian Gulf Digital Archives.”

<sup>549</sup> The United Arab Emirates National Archives, “About Us,” 2018, available online at <https://www.na.ac/en/aboutus/aboutna.aspx> (accessed on 5/7/2020).

<sup>550</sup> The United Arab Emirates National Archives, “About Us.”

<sup>551</sup> The United Arab Emirates National Archives, “About Us.”

records pertaining to the Gulf during the time the British were in the region. This digital archive is freely available online and houses primary source materials about the Arabian Gulf shared by TNA, with descriptions in English and Arabic.

## **Appendix 5: Interview Questions for British Library (BL) Representative**

### **Section 1: Introductory Questions**

1. Please state your name and official title.
2. Please briefly describe your institutional role.
3. Please state your educational background.
4. Please state whether or not you consent to be interviewed.
5. How familiar are you with the recent partnership between the British Library (BL) and its partnered Gulf-based institution –Qatar National Library (QNL)?
6. Would you recommend that I also speak with anyone else about this partnership and the digitization and description of these archival records?

Please answer the following questions about this partnership and your experiences with it to the best of your knowledge.

### **Section 2: Questions Regarding Provenance**

1. Could you please share with me your knowledge and understanding of the principle of provenance?
2. How would you define the principle of provenance as it relates to archival records?
3. Are you familiar with the newer archival ideas regarding the nature of provenance, such as simultaneous multiple provenance and co-creatorship, that move away from the traditional principle of singular provenance (e.g., a creator, author or collector) and shift towards the possibility of two or more creators/contributors of the same record?
4. Co-creation acknowledges all the parties that were involved in the creation of a record. Since creation is often reflected as provenance, the idea of co-creation implies that records in which multiple parties participated must be multi-provenancial. Given these kinds of ideas, would you consider the possibility of multiple provenance or co-creatorship in relation to the records pertaining to the Gulf that have recently been digitally shared by the BL with QNL?
5. When creating your own finding aids for these materials, does the role of the Gulf peoples currently play a part in determining provenance?

### **Section 3: Questions Regarding the Partnership**

1. What do you see to be the significance of sharing the digital surrogates of the Gulf-based records located in the UK with Gulf citizens and institutions?
2. How did this partnership between the BL and QNL form?
3. How has the Gulf played a role in the selection process of the Gulf-based record collections located in the British-based cultural heritage institution?
4. What factors determined which Gulf-based records would be selected for digitizing and sharing (e.g., age of material, economics, accessibility, complete collection, relevance, importance...)?
5. In what ways is the process of selecting, digitizing, describing, and sharing records pertaining to the Gulf documented?
6. What can you tell me about the provenance (i.e., the creator, collector or other origins) of the records held by the British institutions and how it has been described (or not) in finding aids? Was it a factor or discussion point that arose at any point in the creation of the partnership between the BL and QNL, or during the digitization of the Gulf-based records?
7. Are the Gulf peoples and organizations referenced in the Gulf-based archival records considered in any way to be the provenance of the records?
8. Has the partnership between the BL and QNL changed how the British view the Gulf peoples in terms of the provenance of the records?

### **Section 4: Questions Regarding the Creation of the Description/Finding Aids**

1. Is there an archivist on staff who specializes in the Gulf-based records?
2. Have you yourself worked with (or are familiar with) any of the Gulf-based archival records?
3. Who maintained and housed the original Gulf-based archival records?
4. Did the BL finding aids for the Gulf-based records already exist before the partnership was created with QNL, or were the finding aids created after the partnership was created and then shared with QNL?
5. When the BL finding aids for the Gulf-based records were created, was there any consultation with Gulf representatives or archivists?

6. Is there a record of the original processing dates of the Gulf-based records and of their digitization, as well as of the creation of the finding aids and any versions or updates thereof? If so, would you be able to share that information with me?
7. Is there a record of who created the finding aids for QDL, and of who digitized the records?
8. What written manuals, guidelines, or standards have been followed when creating the online finding aids for the Gulf-based records in the BL?
9. Have any formal/informal descriptive policies or procedures been adopted when describing the Gulf-based records? If so, please describe them.
10. What is the main descriptive access point in your finding aids? In which ways can a digital finding aid be searched and retrieved in your systems?
11. Was it a priority to revise or augment the existing British finding aids for the Gulf-based records when creating the Gulf-based finding aids?
12. Do you believe that the way information professionals within the BL view the role of the Gulf peoples and organizations in these Gulf-based records influences or re-shapes how they think about provenance when developing finding aids for these records? If so, in which ways?

#### **Section 5: Questions Regarding BL's Gulf-based Records from the India Office Records (IOR)**

1. Where did the BL acquire its Gulf-based records?
2. Why do most of the Gulf-based records from the BL refer to India Office Records (IOR)?
3. Why does the BL have India Office Records (IOR)?
4. What role did the East India Company or India Office play in relation to the Gulf-based records?

#### **Section 6: Questions Regarding the Record Collections of the Gulf**

1. There are a few record collections that contain records written in both English and Arabic script [e.g., IOR/L/PS/10/1003, IOR/L/PS/12/1961, and IOR/R/15/1/469]. Also, upon closer reading of the description in the BL, they indicate direct contributions to these records by Gulf peoples and organizations. In these cases, how would they be regarded in

terms of provenance? Might that be different to how the British have described the provenance of these records?

2. The finding aids reference direct contributions of Gulf rulers in the creation of treaties, meetings, and agreements with the British that would not exist without their direct input. In these cases (see reference numbers: IOR/R/15/1/561, IOR/L/PS/12/3733, IOR/R/15/1/646, IOR/R/15/2/1860, IOR/R/15/1/639, and IOR/R/15/1/644), would it be more accurate to describe the provenance of these records as co-created?
3. If these and other Gulf peoples might indeed be considered to be co-creators of certain records, is there any possibility of re-describing and updating the finding aids to reflect this?

### **Section 7: Questions Regarding BL's FA**

The following questions relate specifically to the BL's 230 finding aids of the collections of records digitized and shared by the BL with QNL. Some of the questions will refer back to the BL and its partnership with QNL.

1. One of the components found in the finding aids is titled "Collection Area," especially for many of the finding aids with records that come from the "India Office Records and Private Papers." How then does the BL view the information provided under "Collection Area," and what is its relation to provenance?
2. All of the records that come from the India Office Records have a reference number that starts with IOR. However, there are a few record collections [Photo 667/4(496) and Photo 667/4(498)] that belong to the Visual Arts Collection Area as well as [IOR/X/3630/20/3] that belongs to Map Collections that do not have a reference number that starts with IOR because they indicate other collection areas. Also, there are record collections that belong to the India Office Records and Private Papers, as stated in their "Collection Area" component, that do NOT have reference numbers that start with "IOR." For example, [Mss Eur A230, Mss Eur C600/3, Mss Eur F111/354 and Mss Eur F226/28]. Why do these reference numbers start differently, even though the "Collection Area" states they are all from India Office Records and Private Papers?
3. How does the collection's reference number relate to provenance?
4. How does the collection's area relate to provenance?

5. There are three other finding aids that do not contain information about “Collection Area” [IOR/L/PS/12/3919, IOR/L/PS/18/B333, as well as Photo 667/4(497)]. Two of these reference numbers start with IOR but are missing information under “Collection Area.” Where do these records come from? How is their provenance determined if the collection area information is missing? (See next question for further elaboration)
  - a. If related to provenance: Ok, but there is one record collection with no reference number in BL’s finding aids (and that must be searched for by its title: *PZ 1070/40(1) ‘Transmission of F.O. secret packets to & from Consulates etc., abroad’*) while its paired finding aid in Qatar Digital Library (QDL) does contain a reference number [IOR/L/PS/12/338], why is this, and how is its provenance determined?
  - b. If the information under “Collection Area” is not related to provenance, then how is the collection area information gathered, and what is its purpose?
6. There is a number of finding aids that include a component titled “Digital Version.” This component links the reader to QDL where s/he can access the digital surrogate of the record collection or the digitized version. There are a few finding aids that are missing this component [e.g., IOR/L/PS/12/231, IOR/L/PS/12/277, IOR/L/PS/12/278, IOR/L/PS/12/365, and IOR/R/15/1/646]. Why is this component found in many of the finding aids but is missing in others?
7. Were the descriptions of these finding aids updated after the addition of the “Digital Version” component? If so, how and why?
8. There are only two finding aids that include a component titled “Creator” [IOR/L/PS/10/977 and Mss Eur A230]. Other finding aids mentioned the creator under “Contents and Scope” [e.g., IOR/L/PS/12/3715A, IOR/L/PS/20/153, and IOR/L/PS/12/3720A]. However, other finding aids do not provide sufficient information on the creator(s) and/or contributor(s) of the records [IOR/L/PS/18/B333, IOR/R/15/1/731(1), IOR/R/15/1/731(2), and IOR/R/15/1/727]. Why is “Creator” information not readily available?
9. Are you familiar with the Gulf-based records’ finding aids of the QDL?
  - a. If not, then this does not apply.
  - b. If yes, then:



- i. The QDL's finding aids are taken word for word from the BL's finding aids "Contents and Scope" component. The QDL's paired finding aids all have descriptions, even for finding aids with no "Contents" in the BL [IOR/L/PS/12/1010, IOR/L/PS/12/339 and IOR/R/15/2/878]. How were these finding aids' descriptions created for QDL, and who created the missing descriptions for QDL?
  - ii. If the BL created the descriptions for QDL: Why are they still missing from the aforementioned finding aids in the BL?
10. There are some finding aids with "Custodial History" component [IOR/R/15/1/727 and IOR/L/PS/20/153]. There is one finding aid with the "Origin" component [IOR/L/PS/12/3811]. There are two finding aids with the "History and Origin" component [IOR/R/15/2/71 and Mss Eur F226/28]. Lastly, there is one finding aid with "Creator, History, Origin, Immediate Source of Acquisition" [Mss Eur A230]. Why does the majority of the finding aids lack these components: "Custodial History," "Origin," "Creator, History, Origin, Immediate Source of Acquisition"? How do these components relate to provenance?
11. With regard to the paired QDL finding aids: QDL uses the BL's description but also includes an additional "Copyright" component that is not found in their paired BL finding aids. This component contains a list of authors' names and page numbers listed separately that the BL does not include in its finding aids. Why is this excluded from the BL's finding aids?

## **Section 8: Questions Regarding Copyright**

1. Are there any copyright laws that apply to the digitally shared materials?
2. Are there specific British or Gulf copyright laws or other restrictions regarding how the digitized materials are used?
3. If yes, does copyright law relate to how provenance is recognized?
4. Do these copyright laws or other restrictions affect how QNL creates its description for the Gulf-based records digitally shared by BL?
5. In general, there are three types of ownership: 1) ownership over the physical materials; 2) ownership over the digitized materials; and 3) ownership over the description or

finding aids. Do any of these types of ownership of the Gulf-based record collections shared digitally by the BL apply to QNL? In other words, does QNL claim ownership over any of these?

6. Does the partnership agreement with QNL describe the type of ownership of these records?

### **Section 9: Questions Regarding the Possibility of Updating and Re-describing BL Finding Aids**

The following questions will discuss the descriptions of the finding aids and how Gulf peoples and organizations are viewed in the finding aids.

1. In your professional opinion, is there a need to redescribe the original and/or the digitized records to better represent the Gulf's perspectives and the Gulf itself?
2. How would the BL update these finding aids to better represent the Gulf States and peoples?
3. Would a "Provenance" component be added? If so, what might be its scope?
4. Is there any possibility of sharing more digitized materials with QNL/QDL in the future? If so, how might provenance be applied to the descriptions of these future collections?

End of Interview Questions

Thank you for your cooperation and participation in this research study.

Sakena A. Alalawi

Doctoral Candidate, Information Studies, University of California, Los Angeles

## **Appendix 6: Interview Questions for Qatar National Library (QNL) Representative**

### **Section 1: Introductory Questions**

1. Please state your name and official title.
2. Please briefly describe your institutional role.
3. Please state your educational background.
4. Please state whether or not you consent to be interviewed.
5. How familiar are you with the recent partnership between the British Library (BL) and its partnered Gulf-based institution–Qatar National Library (QNL)?
6. Would you recommend that I also speak with anyone else about this partnership and the digitization and description of these archival records?

Please answer the following questions about this partnership and your experiences with it to the best of your knowledge.

### **Section 2: Questions Regarding Provenance**

1. Could you please share with me your knowledge and understanding of the principle of provenance?
2. How would you define the principle of provenance as it relates to archival records?
3. Are you familiar with the newer archival ideas regarding the nature of provenance, such as simultaneous multiple provenance and co-creatorship, that move away from the traditional principle of singular provenance (e.g., a creator, author or collector) and shift towards the possibility of two or more creators/contributors of the same record?
4. Co-creation acknowledges all the parties that were involved in the creation of a record. Since creation is often reflected as provenance, the idea of co-creation implies that records in which multiple parties participated must be multi-provenancial. Given these kinds of ideas, would you consider the possibility of multiple provenance or co-creatorship in relation to the records pertaining to the Gulf that have recently been digitally shared by the BL with QNL?
5. When creating your own finding aids for these materials, does the role of the Gulf peoples currently play a part in determining provenance?

### **Section 3: Questions Regarding the Partnership**

1. What do you see to be the significance of sharing the digital surrogates of the Gulf-based records located in the UK with Gulf citizens and institutions?
2. How did this partnership between the BL and QNL form?
3. How has the Gulf played a role in the selection process of the Gulf-based record collections located in the British-based cultural heritage institution?
4. What factors determined which Gulf-based records would be selected for digitizing and sharing (e.g., age of material, economics, accessibility, complete collection, relevance, importance...)?
5. In what ways is the process of selecting, digitizing, describing, and sharing records pertaining to the Gulf documented?
6. What can you tell me about the provenance (i.e., the creator, collector or other origins) of the records held by the British institutions and how it has been described (or not) in finding aids? Was it a factor or discussion point that arose at any point in the creation of the partnership between the BL and QNL, or during the digitization of the Gulf-based records?
7. Are the Gulf peoples and organizations referenced in the Gulf-based archival records considered in any way to be the provenance of the records?
8. Has the partnership between the BL and QNL changed how the British view the Gulf peoples in terms of the provenance of the records?

### **Section 4: Questions Regarding the Creation of the Description/Finding Aids**

1. Is there an archivist on staff who specializes in the Gulf-based records?
2. Have you yourself worked with (or are familiar with) any of the Gulf-based archival records?
3. Who maintained and housed the original Gulf-based archival records?
4. Upon receiving the digital surrogates from the BL, who catalogued and described or created the finding aids for the Gulf-based records for Qatar Digital Library (QDL)?
5. When the QDL finding aids for the Gulf-based records were created, was there any consultation with staff from the British institutions?

6. Is there a record of the original processing dates of the Gulf-based records and of their digitization, as well as of the creation of the finding aids and any versions or updates thereof? If so, would you be able to share that information with me?
7. Is there a record of who created the finding aids for QDL, and of who digitized the records?
8. What written manuals, guidelines, or standards have been followed when creating the online finding aids for the Gulf-based records in QDL?
9. Have any formal/informal descriptive policies or procedures been adopted when describing the Gulf-based records? If so, please describe them.
10. What is the main descriptive access point in your finding aids? In which ways can a digital finding aid be searched and retrieved in your systems?
11. Was it a priority to revise or augment the existing British finding aids for the Gulf-based records when creating the Gulf-based finding aids?
12. Do you believe that the way information professionals within QNL/QDL view the role of the Gulf peoples and organizations in these Gulf-based records influences or re-shapes how they think about provenance when developing finding aids for these records? If so, in which ways?

### **Section 5: Questions Regarding the Record Collections of the Gulf**

1. There are a few record collections that contain records written in both English and Arabic script [e.g., IOR/L/PS/10/1003, IOR/L/PS/12/1961, and IOR/R/15/1/469]. Also, upon closer reading of the description in the QDL, they show direct contributions to these records by Gulf peoples and organizations. In these cases, how would they be regarded in terms of provenance? Might that be different to how the British have described the provenance of these records?
2. The finding aids reference direct contributions of Gulf rulers in the creation of treaties, meetings, and agreements with the British that would not exist without their direct input. In these cases (see reference numbers: IOR/R/15/1/561, IOR/L/PS/12/3733, IOR/R/15/1/646, IOR/R/15/2/1860, IOR/R/15/1/639, and IOR/R/15/1/644), would it be more accurate to describe the provenance of these records as co-created?

3. If these and other Gulf peoples might indeed be considered to be co-creators of certain records, is there any possibility of re-describing and updating the finding aids to reflect this?

## **Section 6: Questions Regarding QDL's Finding Aids**

The following questions relate specifically to the QDL's 230 finding aids for collections of records digitized and shared by the BL with QNL. Some of the questions will refer back to the BL and its partnership with QNL. In all the record collections pertaining to the Gulf, the researcher noticed that the QDL is using the exact same descriptions as those created by the BL, except for a few finding aids. In those cases, the following differences were noted:

1. Some finding aids in QDL are missing components found in their BL counterparts.
2. Some QDL finding aids have changed labels for some of the finding aid components from the original finding aid created by the BL.
3. The information found under the component labels in QDL's finding aids differ from the information found under the same component labels in its paired BL finding aids.
4. Missing information in the BL finding aids is included in their QDL counterparts.

Please see the examples below for more details. Please explain the differences in each (if known or applicable). What went into the decision-making process for these actions?

1. Information included in the BL's finding aids but missing in QDL's finding aids:
  - a. The "Creator" component is missing from QDL's finding aid but is included in the paired BL finding aid. There are missing components that exist in the BL finding aids but not in the QDL finding aids [OR/L/PS/10/977] and [Mss Eur A230].
2. The labeling of the components changes in QDL's finding aids and differs from BL's finding aid components. Here are some examples of these changes. Would you please tell me the reason behind changing these labels? Please explain the decision-making process behind these changes in each example below.
  - a. The "Custodial History" component of paired BL finding aid is relabeled as "Provenance" in QDL. The information contained under the component "Provenance" in QDL is identical to the information under the component

- “Custodial History” in the BL. Their reference numbers are: IOR/R/15/1/727 and IOR/L/PS/20/153.
- b. The “History: Origin” component of the finding aids in the BL is relabeled as “Context of Creation” in the paired QDL finding aids. The same information is found under both of these components, even though the labeling differs. These differences can be seen in the paired QDL finding aids with the reference numbers: IOR/L/PS/12/3811, IOR/R/15/2/71, and Mss Eur F226/28.
  - c. There is a finding aid where two or more components are changed in the QDL. The “Creator” component exists in the BL but is missing from the QDL finding aid. Also, in the same finding aid, the “History: Origin” component in the BL has been changed to “Context of Creation” in the QDL. However, QDL kept the “Immediate Source of Acquisition” component label the same as the BL’s finding aid. The reference number is Mss Eur A230.
3. The QDL’s finding aid component labels are the same but the information is different from its paired BL finding aid:
- a. There are two cases in which the information found under the “Title” component in the QDL does not match the information in the “Title” component in their paired BL finding aids. The reference numbers for these finding aids are: IOR/L/PS/10/990 and IOR/R/15/2/724.
4. Missing Information in BL finding aids but included in QDL counterparts
- a. There is one finding aid in QDL that contains a reference, but the paired finding aid in the BL does not contain a reference: IOR/L/PS/12/338.
  - b. There are two finding aids in QDL where the “Collection Area” component is added but it is not found in the paired finding aids in the BL: IOR/L/PS/12/3919 and Photo 667/4/497.
  - c. The QDL added a description under “Content” that is not found in the “Contents and Scope” in the BL. There are three record collections in this example where these descriptions are missing from the BL but found in QDL and happen to follow the same writing style of the rest of the BL description used by QDL. The reference numbers for these three record collections are: IOR/L/PS/12/1010, IOR/L/PS/12/339, and IOR/R/15/2/878.

5. For those finding aids with these missing descriptions in BL, who wrote the descriptions for these record collections in QDL?
6. For each QDL finding aid under the component “Archive Information for this Record,” there is a sub-component titled “Access & Reference” that includes the phrase, “Original held at British Library: India Office Records and Private Papers.” Why is this added to each finding aid?
7. Does this component relate to provenance? If so, how?

### **Section 7: Questions Regarding Copyright**

1. Are there any copyright laws that apply to the digitally shared materials?
2. Are there specific British or Gulf copyright laws or other restrictions regarding how the digitized materials are used?
3. If yes, does copyright law relate to how provenance is recognized?
4. Do these copyright laws or other restrictions affect how QNL/QDL creates its description for the Gulf-based records digitally shared by the BL?
5. In general, there are three types of ownership: 1) ownership over the physical materials; 2) ownership over the digitized materials; and 3) ownership over the description or finding aids. Do any of these types of ownership of the Gulf-based record collections shared digitally by the BL apply to QDL? In other words, does QNL claim ownership over any of these?
6. Does the partnership agreement with the BL describe the type of ownership of these records?
7. There is a component titled “Use and Share this Record.” Under this component, there is a sub-component titled, “Copyright: How to Use this Content.” What is the intended purpose of this sub-component?
8. Why are the authors’ names included, and what was the decision made regarding the inclusion of this information?
9. Why are the authors under the “Copyright” component included in QDL but not found in the paired BL counterparts?
10. Why are these authors’ names listed separately as well as the page numbers?



11. These authors' names are found under the Copyright component of the finding aid. Why is it specifically placed there?
12. How do you think this "Copyright" component, especially including listing the authors, relates to provenance and co-creatorship?

## **Section 8: Questions Regarding the Possibility of Updating and Re-describing QDL**

### **Finding Aids**

The following questions will discuss the descriptions of the finding aids and how Gulf peoples and organizations are viewed in the finding aids. Also, these questions will ask about the possibility of making changes to the finding aids to reflect QNL's perspectives on the role of the Gulf peoples and organizations in the creation of and contributions to the record collections.

1. In your professional opinion, is there a need to redescribe the original and/or the digitized records to better represent the Gulf's perspectives and the Gulf itself?
2. How would QNL/QDL update these finding aids to better represent the Gulf States and peoples?
3. Would a "Provenance" component be added? If so, what might be its scope?
4. Is there any possibility of adding more digitized materials from the physical record collections of the BL in the future? If so, how might provenance be applied to the descriptions of these future collections?

End of Interview Questions

Thank you for your cooperation and participation in this research study.

Sakena A. Alalawi

Doctoral Candidate, Information Studies, University of California, Los Angeles

## **Appendix 7: Interview Questions for The National Archives of the United Kingdom (TNA) Representative**

### **Section 1: Introductory Questions**

1. Please state your name and official title.
2. Please briefly describe your institutional role.
3. Please state your educational background.
4. Please state whether or not you consent to be interviewed.
5. How familiar are you with the recent partnership between The National Archives (TNA) of the United Kingdom (UK) and its partnered Gulf-based institution – the National Archives of the United Arab Emirates (NA UAE)?
6. Would you recommend that I also speak with anyone else about this partnership and the digitization and description of these archival records?

Please answer the following questions about this partnership and your experiences with it to the best of your knowledge.

### **Section 2: Questions Regarding Provenance**

1. Could you please share with me your knowledge and understanding of the principle of provenance?
2. How would you define the principle of provenance as it relates to archival records?
3. Are you familiar with the newer archival ideas regarding the nature of provenance, such as simultaneous multiple provenance and co-creatorship, that move away from the traditional principle of singular provenance (e.g., a creator, author or collector) and shift towards the possibility of two or more creators/contributors of the same record?
4. Co-creation acknowledges all the parties that were involved in the creation of a record. Since creation is often reflected as provenance, the idea of co-creation implies that records in which multiple parties participated must be multi-provenancial. Given these kinds of ideas, would you consider the possibility of multiple provenance or co-creatorship in relation to the records pertaining to the Gulf that have recently been digitally shared by TNA with the NA UAE?

5. When creating your own finding aids for these materials, does the role of the Gulf peoples currently play a part in determining provenance?

### **Section 3: Questions Regarding the Partnership**

1. What do you see to be the significance of sharing the digital surrogates of the Gulf-based records located in the UK with Gulf citizens and institutions?
2. How did this partnership between TNA and the NA UAE form?
3. How has the Gulf played a role in the selection process of the Gulf-based record collections located in the British-based cultural heritage institution?
4. What factors determined which Gulf-based records would be selected for digitizing and sharing (e.g., age of material, economics, accessibility, complete collection, relevance, importance...)?
5. In what ways is the process of selecting, digitizing, describing, and sharing records pertaining to the Gulf documented?
6. What can you tell me about the provenance (i.e., the creator, collector or other origins) of the records held by the British institutions and how it has been described (or not) in finding aids? Was it a factor or discussion point that arose at any point in the creation of the partnership between TNA and the NA UAE, or during the digitization of the Gulf-based records?
7. Are the Gulf peoples and organizations referenced in the Gulf-based archival records considered in any way to be the provenance of the records?
8. Has the partnership between TNA and the NA UAE changed how the British view the Gulf peoples in terms of the provenance of the records?

### **Section 4: Questions Regarding the Creation of the Description/Finding Aids**

1. Is there an archivist on staff who specializes in the Gulf-based records?
2. Have you yourself worked with (or are familiar with) any of the Gulf-based archival records?
3. Who maintained and housed the original Gulf-based archival records?
4. When the Arabian Gulf Digital Archives (AGDA) finding aids for the Gulf-based records were created, was there any consultation with staff from the British institutions?

5. Is there a record of the original processing dates of the Gulf-based records and of their digitization, as well as of the creation of the finding aids and any versions or updates thereof? If so, would you be able to share that information with me?
6. Is there a record of who created the finding aids for AGDA, and of who digitized the records?
7. What written manuals, guidelines, or standards have been followed when creating the online finding aids for the Gulf-based records in TNA?
8. Have any formal/informal descriptive policies or procedures been adopted when describing the Gulf-based records? If so, please describe them.
9. What is the main descriptive access point in your finding aids? In which ways can a digital finding aid be searched and retrieved in your systems?
10. Was it a priority to revise or augment the existing British finding aids for the Gulf-based records when creating the Gulf-based finding aids?
11. Do you believe that the way information professionals within TNA view the role of the Gulf peoples and organizations in these Gulf-based records influences or re-shapes how they think about provenance when developing finding aids for these records? If so, in which ways?

#### **Section 5: Questions Regarding TNA's Gulf-based Records from the Foreign and Commonwealth Office and predecessors (FCO) and the Foreign Office (FO)**

1. When did TNA acquire its Gulf-based records?
2. From which organizations or offices did TNA acquire its Gulf-based archives/records? Under what circumstances?
3. Does TNA currently house any Gulf-based records created under the auspices of the India Office?
4. Can you tell me any more about the roles played by the FCO and FO that resulted in Gulf-based records?

#### **Section 6: Questions Regarding the Record Collections of the Gulf**

1. There are a few record collections that contain records written in both English and Arabic script [e.g., FCO 8/2171, FCO 8/3143, FCO 8/3447, FCO 8/3813, FCO 8/545, FCO

8/626, FCO 8/914, FO 1016/124, FO 1016/126, FO 1016/14, FO 1016/189, FO 1016/214, FO 1016/514, FO 1016/835, FO 1016/837, FO 371/109821, FO 371/109891, FO 371/109908, FO 371/126960, FO 371/126967, FO 371/132509, FO 539/109, and FO 93/137]. Also, upon closer reading of the descriptions in AGDA, they indicate direct contributions to these records by Gulf peoples and organizations. In these cases, how would they be regarded in terms of provenance? Might that be different to how the British have described the provenance of these records?

2. The finding aids reference direct contributions of Gulf rulers in the creation of treaties, meetings, and agreements with the British that would not exist without their direct input. In these cases (see reference numbers: FO 1016/173, FCO 8/2210, AVIA 2/1902, AVIA 2/2800, CAB 134/2342, FCO 8/137, and FCO 8/145), would it be more accurate to describe the provenance of these records as co-created?
3. If these and other Gulf peoples might indeed be considered to be co-creators of certain records, is there any possibility of re-describing and updating the finding aids to reflect this?

### **Section 7: Questions Regarding TNA's FA**

The following questions relate specifically to TNA's 699 finding aids for archival collections digitized and shared by TNA with the NA UAE. Some of the questions will refer back to TNA and its partnership with the NA UAE.

1. What purpose do the links and sublinks serve on the top left of the finding aids?
2. Do these links also indicate how the principle of provenance is being applied?

### **Section 8: Questions Regarding Copyright**

1. Are there any copyright laws that apply to the digitally shared materials?
2. Are there specific British or Gulf copyright laws or other restrictions regarding how the digitized materials are used?
3. If yes, does copyright law relate to how provenance is recognized?
4. Do these copyright laws or other restrictions affect how the NA UAE creates its description for the Gulf-based records digitally shared by TNA?

5. In general, there are three types of ownership: 1) ownership over the physical materials; 2) ownership over the digitized materials; and 3) ownership over the description or finding aids. Do any of these types of ownership of the Gulf-based record collections shared digitally by TNA apply to AGDA? In other words, does AGDA claim ownership over any of these?
6. Does the partnership agreement with the NA UAE describe the type of ownership of these records?
7. A copyright statement is found at the end of each of AGDA's finding aids: Copyright Information: "© Crown Copyright Images reproduced by courtesy of The National Archives, UK." What does this copyright statement mean for how the digitized copies were described as well as made available by AGDA?

### **Section 9: Questions Regarding the Possibility of Updating and Re-describing TNA Finding Aids**

1. In your professional opinion, is there a need to redescribe the original and/or the digitized records to better represent the Gulf's participation in or perspectives on the creation of these materials?
2. If so, how might TNA update these finding aids to better represent the Gulf States and peoples?
3. Might a "Provenance" component be added? If so, what might be its scope?
4. Is there any possibility of sharing more digitized materials with the NA UAE/AGDA in the future? If so, how might provenance be applied to the descriptions of these future collections?

End of Interview Questions

Thank you for your cooperation and participation in this research study.

Sakena A. Alalawi

Doctoral Candidate, Information Studies, University of California, Los Angeles

## **Appendix 8: Interview Questions for the National Archives of the United Arab Emirates (NA UAE) Representative**

### **Section 1: Introductory Questions**

1. Please state your name and official title.
2. Please briefly describe your institutional role.
3. Please state your educational background.
4. Please state whether or not you consent to be interviewed.
5. How familiar are you with the recent partnership between The National Archives (TNA) of the United Kingdom (UK) and its partnered Gulf-based institution – the National Archives of the United Arab Emirates (NA UAE)?
6. Would you recommend that I also speak with anyone else about this partnership and the digitization and description of these archival records?

Please answer the following questions about this partnership and your experiences with it to the best of your knowledge.

### **Section 2: Questions Regarding Provenance**

1. Could you please share with me your knowledge and understanding of the principle of provenance?
2. How would you define the principle of provenance as it relates to archival records?
3. Are you familiar with the newer archival ideas regarding the nature of provenance, such as simultaneous multiple provenance and co-creatorship, that move away from the traditional principle of singular provenance (e.g., a creator, author or collector) and shift towards the possibility of two or more creators/contributors of the same record?
4. Co-creation acknowledges all the parties that were involved in the creation of a record. Since creation is often reflected as provenance, the idea of co-creation implies that records in which multiple parties participated must be multi-provenancial. Given these kinds of ideas, would you consider the possibility of multiple provenance or co-creatorship in relation to the records pertaining to the Gulf that have recently been digitally shared by TNA with the NA UAE?

5. When creating your own finding aids for these materials, does the role of the Gulf peoples currently play a part in determining provenance?

### **Section 3: Questions Regarding the Partnership**

1. What do you see to be the significance of sharing the digital surrogates of the Gulf-based records located in the UK with Gulf citizens and institutions?
2. How did this partnership between TNA and the NA UAE form?
3. How has the Gulf played a role in the selection process of the Gulf-based record collections located in the British-based cultural heritage institution?
4. What factors determined which Gulf-based records would be selected for digitizing and sharing (e.g., age of material, economics, accessibility, complete collection, relevance, importance...)?
5. In what ways is the process of selecting, digitizing, describing, and sharing records pertaining to the Gulf documented?
6. What can you tell me about the provenance (i.e., the creator, collector or other origins) of the records held by the British institutions and how it has been described (or not) in finding aids? Was it a factor or discussion point that arose at any point in the creation of the partnership between TNA and the NA UAE, or during the digitization of the Gulf-based records?
7. Are the Gulf peoples and organizations referenced in the Gulf-based archival records considered in any way to be the provenance of the records?
8. Has the partnership between TNA and the NA UAE changed how the British view the Gulf peoples in terms of the provenance of the records?

### **Section 4: Questions Regarding the Creation of the Description/Finding Aids**

1. Is there an archivist on staff who specializes in the Gulf-based records?
2. Have you yourself worked with (or are familiar with) any of the Gulf-based archival records?
3. Who maintained and housed the original Gulf-based archival records?



4. Upon receiving the digital surrogates from TNA, who catalogued and described or created the finding aids for the Gulf-based records for Arabian Gulf Digital Archive (AGDA)?
5. When the AGDA finding aids for the Gulf-based records were created, was there any consultation with staff from the British institutions?
6. Is there a record of the original processing dates of the Gulf-based records and of their digitization, as well as of the creation of the finding aids and any versions or updates thereof? If so, would you be able to share that information with me?
7. Is there a record of who created the finding aids for AGDA, and of who digitized the records?
8. What written manuals, guidelines, or standards have been followed when creating the online finding aids for the Gulf-based records in AGDA?
9. Have any formal/informal descriptive policies or procedures been adopted when describing the Gulf-based records? If so, please describe them.
10. What is the main descriptive access point in your finding aids? In which ways can a digital finding aid be searched and retrieved in your systems?
11. Was it a priority to revise or augment the existing British finding aids for the Gulf-based records when creating the Gulf-based finding aids?
12. Do you believe that the way information professionals within the NA UAE/AGDA view the role of the Gulf peoples and organizations in these Gulf-based records influences or re-shapes how they think about provenance when developing finding aids for these records? If so, in which ways?

#### **Section 5: Questions Regarding the Record Collections of the Gulf**

1. There are a few record collections that contain records written in both English and Arabic script [e.g., FCO 8/2171, FCO 8/3143, FCO 8/3447, FCO 8/3813, FCO 8/545, FCO 8/626, FCO 8/914, FO 1016/124, FO 1016/126, FO 1016/14, FO 1016/189, FO 1016/214, FO 1016/514, FO 1016/835, FO 1016/837, FO 371/109821, FO 371/109891, FO 371/109908, FO 371/126960, FO 371/126967, FO 371/132509, FO 539/109, and FO 93/137]. Also, upon closer reading of the descriptions in AGDA, they indicate direct contributions to these records by Gulf peoples and organizations. In these cases, how

would they be regarded in terms of provenance? Might that be different to how the British have described the provenance of these records?

2. The finding aids reference direct contributions of Gulf rulers in the creation of treaties, meetings, and agreements with the British that would not exist without their direct input. In these cases (see reference numbers: FO 1016/173, FCO 8/2210, AVIA 2/1902, AVIA 2/2800, CAB 134/2342, FCO 8/137, and FCO 8/145), would it be more accurate to describe the provenance of these records as co-created?
3. If these and other Gulf peoples might indeed be considered to be co-creators of certain records, is there the possibility of re-describing and updating the finding aids to reflect this?

### **Section 6: Questions Regarding AGDA's Finding Aids**

The following questions relate specifically to AGDA's 699 finding aids of the collections of records digitized and shared by TNA with the NA UAE. Some of the questions will refer back to TNA and its partnership with the NA UAE.

1. Upon close reading of each finding aid, there is information missing with regard to the provenance of the records described in many of the finding aids.
  - a. How is provenance determined, given the absence of this information?
  - b. Why is this information not included in most of the finding aids?
2. Many of the finding aids use acronyms without reference to what they stand for. For example, the acronym FO and FCO are fully spelled out in TNA finding aids. AGDA is missing this crucial information.
  - a. Why is that the case?
  - b. Was this intentional?
3. Here is an example of a title of an office without any background or full title to determine where this file originated. The record collection reference FO 539/109 is described as: "This file contains a collection of Foreign Office papers on Bahrain, Kuwait, Qatar, the Trucial States, and the Sultanate of Muscat and Oman, from 1913 to 1952." In this example, which country's "Foreign Office" is referred to, and can it be assumed that the Gulf reader will automatically know this information, based on the finding aids alone?

## **Section 7: Questions Regarding Context of Creation**

1. It seems that AGDA's description focuses more on the content of the records. How then does AGDA view the context of creation? Is this as important as the content of the records?
2. Do you think that provenance can be determined more accurately if the context of creation is provided?
3. AGDA does not include where the original record collections are held in their FAs. Why is this information not included?

## **Section 8: Questions Regarding Copyright**

1. Are there any copyright laws that apply to the digitally shared materials?
2. Are there specific British or Gulf copyright laws or other restrictions regarding how the digitized materials are used?
3. If yes, does copyright law relate to how provenance is recognized?
4. Do these copyright laws or other restrictions affect how the NA UAE creates its description for the Gulf-based records digitally shared by TNA?
5. In general, there are three types of ownership: 1) ownership over the physical materials; 2) ownership over the digitized materials; and 3) ownership over the description or finding aids. Do any of these types of ownership of the Gulf-based record collections shared digitally by TNA apply to AGDA? In other words, does AGDA claim ownership over any of these?
6. Does the partnership agreement with TNA describe the type of ownership of these records?
7. A copyright statement is found at the end of each finding aid: Copyright Information: "© Crown Copyright Images reproduced by courtesy of The National Archives, UK." What does this copyright statement mean for how the digitized copies were described as well as how they were made available by AGDA?

## **Section 9: Questions Regarding the Possibility of Updating and Re-describing AGDA Finding Aids**

The following questions will discuss the descriptions of the finding aids and how Gulf peoples and organizations are viewed in the finding aids. Also, these questions will ask about the possibility of making changes to the finding aids to reflect the NA UAE's perspectives on the role of Gulf peoples and organizations in the creation of and contributions to the record collections.

1. In your professional opinion, is there a need to redescribe the original and/or the digitized records to represent the Gulf's perspectives to more accurately represent the Gulf?
2. How would the NA UAEA update these finding aids to better represent the Gulf's perspectives and the Gulf itself?
3. Would a "Provenance" component be added? If so, what might be its scope?
4. Is there any possibility of adding more digitized materials from the physical record collections of TNA in the future? If so, how might provenance be applied to the descriptions of these future collections?

End of Interview Questions

Thank you for your cooperation and participation in this research study.

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## Appendix 9: Citations for the Descriptions/Finding Aids

This Appendix includes the citations and their links to each cultural heritage institution's descriptions/finding aids that I closely examined during Phase One of the data collection. The links are categorized in the following order:

### 1. The British Library, London, United Kingdom

'86/1 IX Kuwait Oil (D 111).' 21 Dec 1934-30 Apr 1935. IOR/R/15/1/645. India Office Records and Private Papers.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228110&indx=1&recIds=IAMS040-000228110&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620287072510&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FR%2F15%2F1%2F645%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228110&indx=1&recIds=IAMS040-000228110&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620287072510&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FR%2F15%2F1%2F645%22&vid=IAMS_VU2) (accessed on 10/9/2020).

'86/1 VIII Kuwait Oil D 106.' 1 Jul 1934-31 Dec 1934. IOR/R/15/1/644. India Office Records and Private Papers.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228109&indx=1&recIds=IAMS040-000228109&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620258059213&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FR%2F15%2F1%2F644%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228109&indx=1&recIds=IAMS040-000228109&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620258059213&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FR%2F15%2F1%2F644%22&vid=IAMS_VU2) (accessed on 9/5/2020).

'86/1 X Kuwait Oil (D 131).' 24 Apr 1935-13 May. 1937. IOR/R/15/1/646. India Office Records and Private Papers.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228111&indx=2&recIds=IAMS040-000228111&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257132464&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FR%2F15%2F1%2F646%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228111&indx=2&recIds=IAMS040-000228111&recIdxs=1&elementId=1&renderMode=poppedOut&displayMode=full&frbrVersion=&dscnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257132464&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FR%2F15%2F1%2F646%22&vid=IAMS_VU2) (accessed on 10/8/2020).

'Air navigation regulations for civil aircraft for the territory of Koweit, and conditions governing the use of the aerodrome at Koweit, approved by His Excellency Sheikh Sir Ahmad al-Jabir As-Sabah, KCIE, CSI, Ruler of Koweit.' c 1934. IOR/L/PS/18/B441. India Office Records and Private Papers.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563589&indx=1&recIds=IAMS040-](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563589&indx=1&recIds=IAMS040-)

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563539&indx=1&recIds=IAMS040-000563539&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259078112&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FL%2FPS%2F18%2FB441%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563539&indx=1&recIds=IAMS040-000563539&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259078112&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FL%2FPS%2F18%2FB441%22&vid=IAMS_VU2) (accessed on 10/26/2020).

‘British political relations with Koweit.’ 29 Mar 1922. IOR/L/PS/18/B391. India Office Records and Private Papers.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563539&indx=1&recIds=IAMS040-000563539&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619939781230&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FL%2FPS%2F18%2FB391%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000563539&indx=1&recIds=IAMS040-000563539&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619939781230&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FL%2FPS%2F18%2FB391%22&vid=IAMS_VU2) (accessed on 10/10/2020).

Coll 6/56 ‘Saudi-Arabia: Prevention of use of Bahrein and Kuwait as bases for activities against Nejd (Ibn Hithlain).’ 10 Jul 1933-31 Jul 1936. IOR/L/PS/12/2123. India Office Records and Private Papers.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000557143&indx=1&recIds=IAMS040-000557143&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259281941&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FL%2FPS%2F12%2F2123%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000557143&indx=1&recIds=IAMS040-000557143&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620259281941&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FL%2FPS%2F12%2F2123%22&vid=IAMS_VU2) (accessed on 10/27/2020).

Coll 30/5(3) ‘Bahrein [sic] Residency Monthly Letter - Summary of Events.’ 16 Feb 1948-25 Feb 1950. IOR/L/PS/12/3715B. India Office Records and Private Papers.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558784&indx=1&recIds=IAMS040-000558784&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619936507571&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FL%2FPS%2F12%2F3715B%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558784&indx=1&recIds=IAMS040-000558784&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619936507571&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FL%2FPS%2F12%2F3715B%22&vid=IAMS_VU2) (accessed on 9/7/2020).

Coll 30/5(3) ‘Persian Gulf Bahrain Residency Monthly Letter - Summary of Events.’ 12 Sep 1946-21 Jan 1948. IOR/L/PS/12/3715A. India Office Records and Private Papers.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558783&indx=1&recIds=IAMS040-000558783&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619936445248&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FL%2FPS%2F12%2F3715A%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558783&indx=1&recIds=IAMS040-000558783&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsnt=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619936445248&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FL%2FPS%2F12%2F3715A%22&vid=IAMS_VU2) (accessed on 9/7/2020).

Coll 30/9(2) ‘Admin. Reports of the Persian Gulf - 1945 -.’ 18 Aug 1941-31 Jul 1946. IOR/L/PS/12/3720A. India Office Records and Private Papers.

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[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558803&indx=1&recIds=IAMS040-000558803&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscent=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619938562226&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FL%2FPS%2F12%2F3720A%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000558803&indx=1&recIds=IAMS040-000558803&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dscent=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1619938562226&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FL%2FPS%2F12%2F3720A%22&vid=IAMS_VU2) (accessed on 10/7/2020).

Coll 30/21(2) 'Persian Gulf: Kuwait - Blockade by Ibn Saud.' 14 May 1935-27 Sep 1937. IOR/L/PS/12/3733. India Office Records and Private Papers.

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Coll 30/91(1) 'Kuwait Oil Concession: Agreement between the Shaikh of Kuwait and the Kuwait Oil Company.' 12 Jan 1934-23 Dec 1934. IOR/L/PS/12/3811. India Office Records and Private Papers.

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Coll 30/45 'Persian Gulf Diaries: Kuwait Intelligence Summaries, 1932-1936.' 14 Feb 1933-19 Jan 1937. IOR/L/PS/12/3757. India Office Records and Private Papers.

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Coll 30/181 'Development of Education in the Arab States.' 16 Jan 1939-1 Apr 1948. IOR/L/PS/12/3919. India Office Records and Private Papers.

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‘CONFIDENTIAL 86/28 - I Vol. D. 173 KUWAIT SULPHUR.’ 27 Jan 1940-2 Dec 1945. IOR/R/15/1/697. India Office Records and Private Papers.

[http://searcharchives.bl.uk/primo\\_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228162&indx=1&recIds=IAMS040-000228162&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsent=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257884689&srt=rank&mode=Basic&&dum=true&vl\(freeText0\)=%22IOR%2FR%2F15%2F1%2F697%22&vid=IAMS\\_VU2](http://searcharchives.bl.uk/primo_library/libweb/action/display.do?tabs=detailsTab&ct=display&fn=search&doc=IAMS040-000228162&indx=1&recIds=IAMS040-000228162&recIdxs=0&elementId=0&renderMode=poppedOut&displayMode=full&frbrVersion=&dsent=0&frbg=&scp.scps=scope%3A%28BL%29&tab=local&dstmp=1620257884689&srt=rank&mode=Basic&&dum=true&vl(freeText0)=%22IOR%2FR%2F15%2F1%2F697%22&vid=IAMS_VU2) (accessed on 9/28/2020).

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