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CONTENTS

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PUBLICATION REVIEWS

Articles and reviews in this issue were submitted in 2009 and 2010 and accepted in 2009 and 2010.

EDITORIAL POLICY

Archival Issues, a semiannual journal published by the Midwest Archives Conference since 1975, is concerned with the issues and problems confronting the contemporary archivist. The Editorial Board welcomes submissions related to current archival practice and theory, to archival history, and to aspects of related professions of interest to archivists (such as records management and conservation management). We encourage diversity among topics and points of view. We will consider for publication submissions of a wide range of materials, including research articles, case studies, review essays, proceedings of seminars, and opinion pieces.

Manuscripts are blind reviewed by the Editorial Board; its decisions concerning submissions are final. Decisions on manuscripts generally will be made within six weeks of submission, and will include a summary of reviewers' comments. The Editorial Board uses the current edition of *The Chicago Manual of Style* as the standard for style, including endnote format.

Please send manuscripts (and inquiries) to Chair William Maher. Submissions are accepted as hard copy (double spaced, including endnotes; 1-inch margins; 10-point or larger type), or electronically (Microsoft Word, WordPerfect, or .rtf files) via E-mail attachment or CD-ROM.

Publication Reviews

Archival Issues reviews books, proceedings, Web publications, and other materials of direct relevance or interest to archival practitioners. Publishers should send review copies to Publication Reviews Editor Jennifer Thomas. Please direct suggestions for books, proceedings, Web publications, other materials for review, and offers to review publications to the publication reviews editor.

Subscriptions

Subscriptions to *Archival Issues* are a part of membership in the Midwest Archives Conference; there is no separate subscription-only rate. Membership, which also includes four issues of *MAC Newsletter* and reduced registration fees for MAC's two yearly meetings, is $30 per year for individuals and $60 per year for institutions. See http://www.midwestarchives.org/page/membershiptypes for more information about memberships. Members outside of North America may elect to have the journal and newsletter mailed first class rather than bulk mail, at additional cost.

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Please direct inquiries regarding membership and purchase of journal copies to Greg Brooks, Administrative Services Liaison, Midwest Archives Conference, 4440 PGA Boulevard, Suite 600. Palm Beach Gardens, FL 33410, E-mail: membership@midwestarchives.org.

Advertising

Awards

A panel of three archivists independent of the journal's Editorial Board presents the Margaret Cross Norton and New Author awards for articles appearing in a two-year (four-issue) cycle. The Norton Award was established in 1985 to honor Margaret Cross Norton, a legendary pioneer in the American archival profession and the first state archivist of Illinois. The award recognizes the author of what is judged to be the best article in the previous two years of *Archival Issues* and consists of a certificate and $250. The New Author award was instituted in 1993 to recognize superior writing by previously unpublished archivists, and may be awarded to practicing archivists who have not had article-length writings published in professional journals, or to students in an archival education program. Up to two awards may be presented in a single cycle.

Margaret Cross Norton Award

The winner of the Margaret Cross Norton Award, given to the author of the best article published by any author in volumes 29 and 30, was Joel Wurl, for his article, "Ethnicity as Provenance: In Search of Values and Principles for Documenting the Immigrant Experience," in volume 29:1. In making the award, the committee noted that the article will become a classic in the field because he used his personal experience to write an essay challenging archivists to rethink provenance for ethnic archives in which stewardship replaces custodianship.

New Author Award

For the New Author Award, which recognizes superior writing by previously unpublished archivists, the committee chose Colleen McFarland, for her article, "Documenting Teaching and Learning: Practices, Attitudes, and Opportunities in College and University Archives," in volume 29:1. The committee found the article was both interesting and provocative about an area that is relatively unknown to archivists, the scholarship of teaching and learning. It reminds archivists to look beyond the walls of scholarship to enhance understanding of areas we are trying to document and by proposing a new strategy for documenting teaching and learning.

THE EDITORIAL BOARD

HOW CAN I HELP YOU?: BECOMING USER-CENTERED IN SPECIAL COLLECTIONS

BY VALERIE HARRIS

***ABSTRACT*:** This study reports the results of a 2008 survey of 148 users of the Special Collections and University Archives Department at the University of Illinois at Chicago (UIC Special Collections). Data are examined to determine if the quality of services provided by UIC Special Collections at the Richard J. Daley Library meets our users' expectations for services, collections, and comfort.

Results show a high level of satisfaction with the services, collections access and comfort, but also a desire for services designed to improve research productivity such as longer and more convenient reading room hours, more digitized primary sources, and faster and cheaper duplication services. The study also offers examples of new service initiatives at UIC Special Collections based on user feedback.

Introduction

Users of special collections have different experiences from users of general library collections, although the basic needs of the two groups are comparable. Like users of general collections, special collections users need to find information sources, access them, and know that the information sources are authentic. People come to special collections to use rare books, organizational records, personal papers, photographs, and memorabilia, among other types and formats of material. Because of the different formats and rarity of special collections, users of them face descriptions of collections and procedures for accessing them that differ from those of general collections.

Many special collections materials are old, fragile, and unique, and so in the past the overriding goal of special collections librarians and archivists has been to describe items or collections for intellectual and physical control and to protect them from destruction by providing stable storage and closely monitoring use. These measures led to policies and procedures that could prove daunting to users of special collections. But as special collections libraries increasingly are active in instruction and outreach, librarians and archivists need to put as much care and innovation into public services programs as they have in developing processes for description, access, and preservation. Creating a user-centered model of special collections public service for the University of Illinois at Chicago (UIC) Library is the motivation for this survey and report. This study will share the results and outcomes of a survey of the department's on-site and remote users and make recommendations for how special collections librarians can better serve users based on survey results.

Description of the Study Library

The University of Illinois at Chicago (UIC) is a public land grant university located in the heart of one of the nation's largest metropolitan areas. UIC was formed in 1982 when the University of Illinois Medical Center was consolidated with the University of Illinois at Chicago Circle (UICC). The origins of undergraduate education on a Chicago campus of the University of Illinois date to 1946, when the Chicago Undergraduate Division was constituted as a two-year college and located at Navy Pier to serve the educational needs of increased numbers of high school graduates and the influx of World War II veterans. A new four-year campus opened in 1965, built in Chicago's historic Near West Side. Today, UIC's student body is around 25,000 (roughly 60 percent undergraduate, 30 percent graduate, 10 percent professional schools) with 12,000 faculty and staff members, comprising 15 colleges.[1] UIC ranks as one of the most ethnically diverse Research I institutions in the country and consistently leads the Big Ten in minority enrollments.[2]

The UIC Library supports the teaching, research, and service mission of the University. Although its primary mission is to serve the university community, the Library is open to all users.

The Special Collections and University Archives Department (UIC Special Collections) has two sites, one at the main library, and one at the health sciences library. The department is comprised of three sections: manuscripts, rare books and printed materials, and university archives. The manuscripts section comprises around five hundred processed collections totaling around 20,000 linear feet, notably the Hull House Collection, the Chicago Urban League records, records of the Century of Progress Exposition of 1933–34, and the corporate archives of the Chicago Board of Trade. Its collecting focus is on the nineteenth and twentieth centuries, particularly the social, political, and cultural history of Chicago. The rare books collection numbers around 50,000 cataloged titles ranging from the fifteenth century to the present. The rare book collection is strong in the health sciences, Chicagoana, and houses a premier set of pre-fire (i.e., pre-1872) Chicago imprints. The university archives measures over five thousand linear feet, and includes the records of the UIC medical campus, colleges, departments, and administration, as well as selected personal and professional papers of faculty, students, and alumni.

UIC Special Collections at the main library is staffed by five professional librarians or archivists—four with faculty status: the department head, a reader services librarian who also manages the rare books collection, two archivists for manuscript collections, and an archivist/records manager for the institutional archives who splits time between the main library and the health sciences library; three paraprofessionals; and a varying number of graduate and undergraduate student assistants. One full-time paraprofessional, a half-time librarian, as well as several graduate student assistants staff special collections at the health sciences library.

Description of UIC Special Collections Public Services and Users

UIC Special Collections offers a standard array of public services, including free and open access to cataloged collections, fee-based duplication, remote reference, online finding aids, exhibits, and digital collections. The UIC Special Collections staff is active in instruction and outreach.

On-site use of materials at the main library has remained steady over the last five years, while the number of E-mailed questions has increased significantly, from 72 in FY 2003 to 330 in FY 2008. In academic year 2005–2006, Special Collections instructional programs attracted individual students, but no classes. In 2006–2007, the unit's staff taught class sessions for courses from Urban Planning, English, History, and the Honors College, plus students from high schools and other universities. In 2007–2008, there were 619 people attending our sessions, including 218 UIC students in 11 classes. In FY 2009, the instruction and outreach program introduced UIC Special Collections to 678 students and educators, including 238 UIC students in eight classes.

Around 70 percent of UIC Special Collections users are not affiliated with UIC. Approximately 90 percent of E-mailed and telephone reference queries come from users not affiliated with UIC, and the ratio of non-UIC to UIC users of our collections on-site has increased over the last three fiscal years. In FY 2007, 46.2 percent of users were non-UIC, in FY 2008, that proportion was 49.9 percent and in FY 2009, 59.3 percent.

Typical users of UIC Special Collections are scholars and students of nineteenth and twentieth century American history. From 2005 through 2008, the most-used collections were the organizational records of Industrial Areas Foundation (Saul Alinsky), A Century of Progress World's Fair, Chicago Federation of Settlements and Neighborhoods, Hull House Collection, Hull House Association, Juvenile Protective Association, Immigrants Protective League, Chicago Urban League, Metropolitan Planning and Housing Council, as well as photographs from the Jane Addams Memorial Collection. About twice as many boxes of manuscript material as rare books circulate, and about three times as many boxes of manuscript material as university archives boxes are paged for users.

Rationale for the Study

Library literature shows that librarians should be aware of user perceptions of the profession as a first step in becoming user-centered. In her 2001 examination of several studies of user expectations and manager perceptions in the field of academic library services, Rowen Cullen suggests that "librarianship has high ideals, and these lead to a somewhat paternalistic view that we know what patrons need and want and can be trusted to deliver it. This view may be interfering with a clear focus on customer satisfaction as a measure of service quality and may be preventing library managers from having confidence in users to decide their own needs and priorities."[3]

"Since at least the mid-1980s, archival literature has called attention to the importance of a user-centric perspective.[4] One can trace a line from Elsie Freeman's seminal 1985 Midwestern Archivist article, "Buying Quarter Inch Holes" to Mary Jo Pugh's guide, Providing Reference Services for Archives & Manuscripts. Pugh's book provides an excellent framework for developing a comprehensive reference and reader services program in archives and special collections libraries, and discusses the importance of measuring and evaluating the use of the repository, concluding, "examination of the use of archives by all archivists will contribute to the development of standards of practice for the profession."[5] Among the many user studies published over this period, Paul Conway's analysis of the use of the National Archives and Records Administration (NARA) explored the role of archivists in the research process from the user's perspective. In 1994, he wrote of the challenge of applying evaluative research data, saying "the business of studying users increases the tension between the investigator's traditional mandate to be a neutral observer and the administrator's often natural resistance to those research findings that point to the need for organization change. . . . This, too, is the challenge now faced by the National Archives, and the one we all face as professionals—to question, to learn, and to change."[6]

In the academic library field, a March 2006 survey of 123 Association of Research Libraries (ARL) members to measure public service in special collections libraries comprising rare books, manuscripts, archives, visual resources, and other primary source collections, suggests that special collections librarians still are not evaluating user services vigorously enough. The survey found that while 96 percent of the respondents collected informal feedback and general observations, less than 40 percent conducted formal user assessment in the form of comment forms (36 percent), patron surveys (30 percent), exit interviews (19 percent), and focus groups (3 percent). Around 52 percent of respondents discussed an increase in their public programming and outreach activities with a concerted effort to encourage use of rare books and archives by undergraduate students and K–12 students, audiences that traditionally were not users of special collections.[7] However, there is little published evidence that the feedback is being used to create change in services or as the motivation for outreach to new audiences.

Finding less than 40 percent of the ARL-surveyed repositories conducting formal user assessment, Turcotte and Nemmers note that "libraries are systematically gathering quantitative data to measure services, but relatively few libraries are actively assessing the quality and effectiveness of their public services" and "the passive nature of these evaluative techniques" (e.g., informal feedback) should be a point of concern in the professional community in light of efforts to engage new audiences and to develop new services.[8]

The Turcotte and Nemmers report indicates that during the five years between the Cullen study and the ARL survey, special collections librarians did not systematically assess user services and continued to rely on their perceptions of user satisfaction instead of evaluating outcomes.

As the ARL survey found to be typical, the UIC Special Collections unit long has used visitor and correspondence logs to measure use. These logs record collections accessed, hours of visits to the reading room, users' institutional affiliation, and some information about research topics. These statistics are quantitative and give a broad demographic overview of who is using UIC Special Collections. The survey of UIC Special Collections users was conducted to accrue foundational data for measuring user satisfaction and to guide service planning and priorities.

Methodology

The survey instrument in Appendix 1 incorporated questions raised by UIC Special Collections staff and loosely adapted questions from ARL's LibQUAL+ survey. According to their Web site, "LibQUAL+ is a suite of services that libraries can use to solicit, track, understand, and act upon users' opinions of service quality" on topics of service, information control, and library as place.[9] Also helpful in constructing the UIC's survey was an on-line survey posted by the Washington State University Libraries.[10] But because neither the ARL nor Washington State surveys focused exclusively on special collections and archives, they were consulted for structural features and inspiration only. The Archival Metrics Toolkits was not available at the time of the UIC Special Collections survey, but promises to provide archivists with instruments for collecting comparative data.[11] We tested a pilot survey on a group of five UIC librarians, academic professionals, and students familiar with special collections research and the survey questions were adjusted for clarity as a result of the feedback. The study then was reviewed and approved by UIC's Institutional Review Board for protection of human subjects. The users of special collections at the main library were subjects of this study.

We sent a link to the survey, using Survey Monkey, to E-mail addresses collated from reader registers and remote reference data forms collected for 18 months between January 2007 and June 2008. Remote users contacting UIC Special Collections via the QuestionPoint "Ask a Librarian" service or through direct E-mail during the survey time period also were invited to respond to the survey. The survey was active June 18, 2008, to July 10, 2008. Of 671 invitations, 72 were rejected because of invalid E-mail addresses, nine recipients opted out, and 145 people responded for an overall response rate of 24.2 percent. Of those taking the survey, 87.6 percent completed it. The completion rates for specific questions show that respondents were selective in answering questions (see Appendix 1).

The survey respondent demographic is similar to the user demographic, with 67.5 percent of those answering the survey not affiliated with UIC (while around 69.8 percent of UIC Special Collections users are non-UIC). Eighty-three and one-half percent of respondents used UIC Special Collections five or fewer times in the two previous years.

All UIC Special Collections users, regardless of age or institutional affiliation, were invited to participate. We informed subjects that participation was voluntary and that all responses would remain confidential. Surveys from participants under the age of 18, however, were discarded because of Institutional Review Board policies requiring parental consent for the study of children, a step deemed outside the scope of this particular project. No participant was asked to provide race or gender information.

Data were stored in a password-protected on-line survey application (Survey Monkey) with no personal identification numbers or names.

Results and Discussion

The data were aggregated and presented in textual, tabular, and graph forms. Reporting was by percentage of subjects answering a particular question. Data were collated by user group, i.e., UIC and non-UIC undergraduates, UIC and non-UIC graduate students, UIC and non-UIC faculty and staff, independent researchers, and high school students (question 5), and analyzed to determine issues of primary importance to users in each group and overall. Because of the age restriction, most responses from high school students were discarded. To better serve local-area high school-aged students, a group that we identify as core constituency, a further targeted study is in order.

The survey data provided information about the needs and desires of researchers using a special collections library. Respondents indicated that librarians' and archivists' instincts regarding service are, for the most part, sound. That is, a large majority of respondents reported satisfaction with the quality of research assistance (87.0 percent), access to the reading room and/or collections (66.1 percent), photo duplication and photocopying (55.4 percent), and courteousness of staff (91.5 percent).

Some of the results were used to illuminate questions of local concern, such as the comfort, lighting, and noise level of the UIC Special Collections reading room. This report highlights those findings with broader implications and applications for special collections libraries generally.

Users Want More Digital Resources

The survey asked several questions (12, 17–20, 26, 27) about electronic resources, including whether and why special collections materials such as rare books, photographs, and archives should be more widely available as digital surrogates, and whether faculty-initiated digitization of primary sources for course reserves would be useful.

More than 94 percent of respondents favored access to digitized versions of primary source materials. And while the overall interest in offering special collections materials as part of electronic course reserves was a modest 47.8 percent, 80.0 percent of undergraduates and 78.6 percent of faculty and staff reported being either somewhat or very interested in the service. These are the audiences who traditionally use course reserves. Special collections librarians have the opportunity to provide access to collections digitally for asynchronous class use and capitalize on the expertise of course reserves staff for assistance with implementation.

Users Want Longer and More Convenient Hours

At the time of the survey, UIC Special Collections offered reading room hours Monday–Friday, 10:00 AM–4:30 PM and the second Saturday of each month, 10:00 AM–2:00 PM. When asked how the department might extend hours (question 10), respondents called for later weekday hours and expanded weekend hours (Figure 1).

When asked to identify specific hours that would make their research time more convenient (question 11), respondents chose 1:00–5:00 PM Saturday as the most convenient time overall. Generally speaking, users prefer to conduct library research in the afternoon and want some "after hours" availability on weekday evenings and weekends.

Faculty and staff and undergraduate students identified 1:00–5:00 PM on weekdays as their most convenient time; independent researchers prefer 10:00 AM–1:00 PM on Mondays and Saturdays; and graduate students prefer after 5:00 PM on weekdays and 1:00–5:00 PM on Saturdays.

Comments from respondents included, "longer hours for out of town researcher would be much appreciated," "maybe a few more Saturdays during history fair (December through February)," "open on every Saturday when school is in session," "any additional opening hours would be beneficial for me. I usually only have a week or two to get as much research done in a short period," and "given the necessary slow pace of this kind of research, MOST repository hours are too short." While 67.6 percent of respondents acknowledged that the current hours were sufficient to conduct their research, respondents desired to have more hours to better accommodate their schedules. Students working under the pressure of assignment due dates and traveling researchers looking to make the most of research allowances especially felt a desire for expanded hours.

Based on user feedback, UIC Special Collections extended hours on Wednesdays to 7:00 PM, added an additional Saturday (now open the second and fourth Saturday of the month) and changed Saturday hours from 10:00 AM–2:00 PM to 12:30–4:30 PM. The addition of Saturday afternoon hours proved especially successful. The department accomplished schedule changes with existing staff and budgets and also benefited interested staff members by offering some amount of flexibility in their workweek routine.

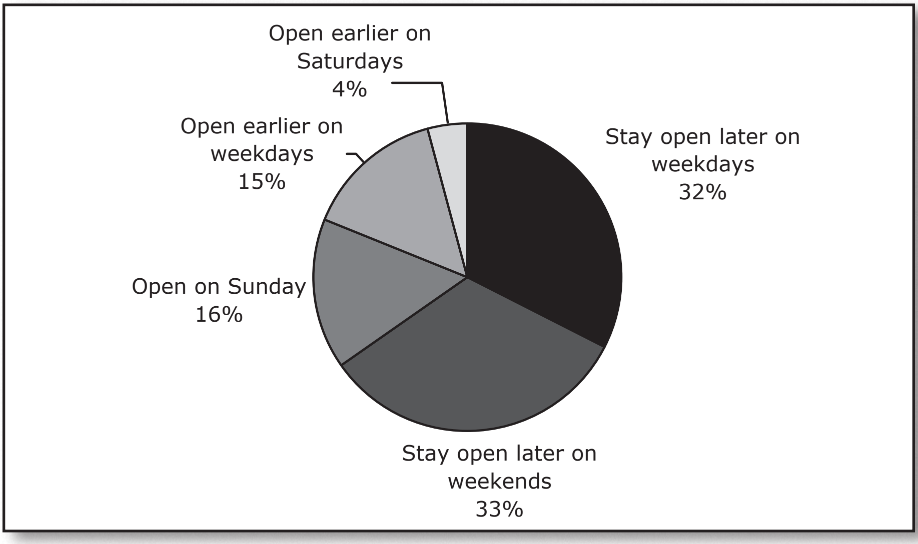


Figure 1: Preferred times for extended reading room hours.

Users Want Knowledgeable Librarians to Connect Them with the Information They Need

Most users (85.3 percent) said they were somewhat to very satisfied with the quality of reference assistance they received. One user commented on the importance of research assistance in helping to develop ideas even when a repository's collections might not contain the specific information the user seeks. This user said, "Whereas the actual data I was looking for couldn't be found, your staff (through "Ask a Librarian") found some other circumstantial information that helps me strengthen my theory." In fact, 99.2 percent of users considered it a very important (89.8 percent) or a somewhat important (9.3 percent) service to have a librarian answer questions about the collections. This finding suggests that relying too heavily on staff without a deep knowledge of the collections to cover public service areas is not wise. If such nonexpert staff must work in public service areas, they must be trained to evaluate when expert assistance is needed.

Reference service was identified as more important than having photocopying services, digital imaging and photography, or wireless Internet connections. Nevertheless, users want unmediated systems for some services: 76 percent reported interest in on-line forms for requesting photocopies or other duplication services and 77.4 percent expressed interest in on-line forms for requesting collection materials to be retrieved in advance of an on-site visit. Just as on-line finding aids have greatly increased the discoverability of collections and lead to a less librarian-mediated experience for the researcher, more routine on-line service transactions may be handled by paraprofessional or student staff, leaving professionals to concentrate efforts on in-depth research consultation, instruction, and outreach.

Users Want More Autonomy in Creating Surrogates of Collection Materials

Special Collections at UIC does not allow self-service photocopying. Users are required to fill out photocopy request flags (kept with the material within the folder) with their name, the collection name, box and folder numbers, and a brief description of the item to be copied. Photocopies cost $0.15 per page (raised to $0.25 per page in 2009) and the copies are made by student workers, usually within 24 hours.

The library houses a photographic services department that offers high-quality photo duplication services with prices ranging from $10 for a print to $145 for a high-resolution scan to be used for commercial purposes (price includes a one-time licensing fee). Scans for scholarly and nonprofit uses fall into the $20–$40 range. The photographic services department's policy is to complete orders in ten business days. Survey respondents reported a modest level of satisfaction with the prices and the turn-around time for these services: 55.4 percent were satisfied, 16.1 percent were dissatisfied, and 28.6 percent could not rate (question 14). However, if given the choice to photocopy, photograph, or scan materials themselves (question 12), 83.5 percent responded positively, with one survey respondent commenting, "easier photocopying means less time in the library—more efficient use of that time."

Based on survey results and practices becoming more widely adopted by peer institutions, UIC Special Collections now allows some self-service photography for reference or study purposes, but only after users are trained to handle the material and sign an agreement to comply with copyright laws.[12] The department is evaluating the feasibility of providing scanning and photocopying equipment for regular patron use.

Users Want Faster Processing to Reveal "Hidden" Collections, As Well As Detailed Finding Aids and Accurate Catalog Records

When asked what are the most conspicuous barriers to conducting special collections research, both the backlog of unprocessed collections and misleading or low-quality finding aids and catalog records were the most frequently cited (question 9).

Comments such as "not knowing what the collections are," "so many special collections materials are 'hidden, uncataloged and unknown by anyone other than the archivist'," and "if something is not known to the staff or the researchers because it isn't described, it is almost nonexistent," reveal researchers' deep concern that there is a mother lode of unprocessed material locked away that would contribute to their research.

At the same time, users want to be able to identify immediately material within collections relevant to their research and to be able to use finding aids and databases to inform their research plans. In addition to the concern about hidden collections, the survey captured a sense of the difficulty researchers have finding the time and money for travel to repositories. Survey responses reveal again and again that any services that can increase the efficiency and affordability of conducting research are needed (cf. questions 8, 10 12, 16, 26, 29). Detailed finding aids and other indices allow researchers to identify remotely and prioritize relevant information.

Unfortunately, the desire for faster processing of hidden collections is at odds with the reported need for detailed finding aids and other pathfinders, and this conflict offers a most troubling conundrum for librarians and archivists. In "A Survey of Researchers Using Archival Materials,"[13] Greene and Meissner set out to discover how to process archival collections in a more timely fashion, while providing users with appropriately detailed finding aids. They posited that "more product, less process" (MPLP) should be the goal of processing archivists, concluding "in normal or typical situations the physical arrangement of materials in archival groups and manuscript collections should not take place below the series level."[14] They quoted a reference archivist, "I don't think most researchers care how a collection is arranged or described. . . . All they care about is finding the folder headings that have meaning for them."[15] When faced with processing decisions for collections that are not "normal or typical," such as personal papers of prominent people with high research or monetary value, Jeannette Mercer Sabre and Susan Hamburger made a case for applying item-level description. In some instances, this higher level of processing can reduce barriers to access and ease the workload on reference staff over time, and, therefore, may be the most cost-effective and time-efficient processing decision.[16]

Minimal descriptive standards have been implemented at the Library of Congress to expedite the reduction of rare books backlogs, as reported by Deanna B. Marcum.[17] Recommendation 2.1.2.4 in "On the Record: Report of the Library of Congress Working Group on the Future of Bibliographic Control" states "Consider different levels of cataloging and processing for all types of rare and unique materials, depending on institutional priorities and importance and potential use of materials, while still following national standards and practices."[18] The Library of Congress recognizes that not all books or collections are created equal: some will see more use than others over time. With a goal to reveal hidden collections, and using appraisal and subject expertise, special collections librarians and archivists should apply less detailed description to those collections that are unlikely to receive higher levels of use. Of course, this begs the question of how to make such decisions about potential use.

UIC Special Collections recently has implemented a collection assessment matrix, based on the Archivists Toolkit assessment module, to systematize processing priorities based on the documentary quality and potential use of the records or papers. And while UIC Special Collections has adopted many MPLP practices, such as limiting re-foldering and creating collection-level descriptions for unprocessed, it should be kept in mind that with minimal-level processing and greater discoverability, the onus of detailed searching is on the reference archivist. The time involved in administering a collection over time should factor into processing-level decisions.

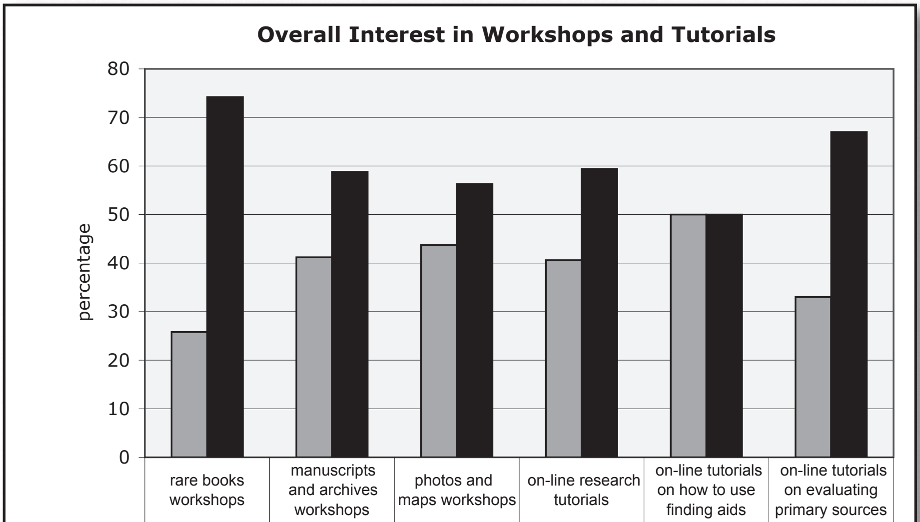
Users Want More Collaboration with Librarians to Develop Collections

Survey takers were asked to share, in their own words, their vision of an ideal special collections department (question 29). Many reiterated the importance of courteous, knowledgeable staff, digital collections, convenient hours, informative finding aids, and liberal access policies with fewer rules. Interestingly, some survey takers expressed an interest in working with librarians to develop collections. They reported that subject area strengths should be built upon to maximize the usefulness of resources. The importance of subject specialists was stressed so that those developing collections would be in tune with relevant scholarship. Collaboration between faculty, independent researchers, and librarians and archivists also would aid in identifying potential donors. User expertise could be sought formally, by inviting researchers to be part of a collections committee or advisory group, for instance. And, the potential for students and scholars contributing content and context for special collections should be explored. As stated in the Marcum report, "The results of [vendor-created metadata, social network tagging, and digital object description by amateur enthusiasts] are far more rich and robust than could be provided by any single library cataloging work. Libraries can and should take advantage of such metadata creation by other, both to avoid duplication of effort and to reduce costs."[19]

Users Do Not Want Tutorials

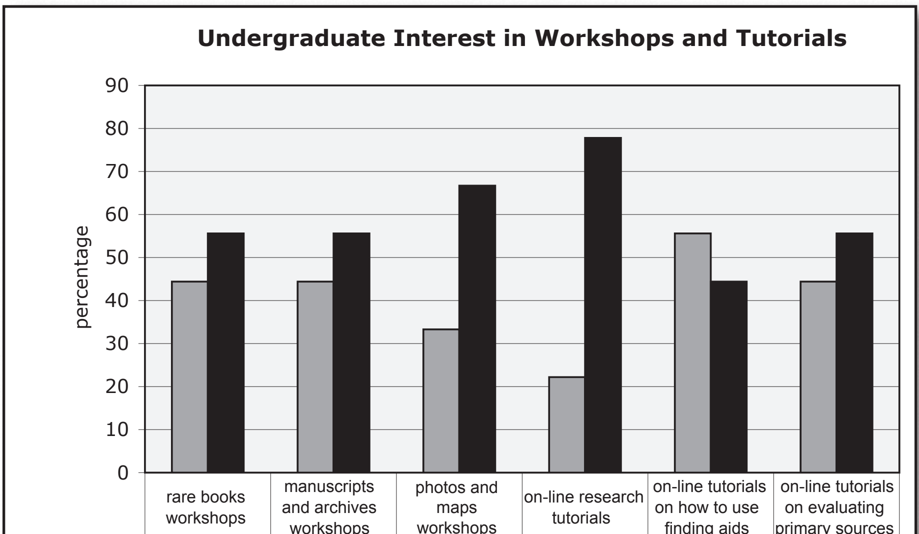
There was modest interest in special workshops and online tutorials (question 27). The survey asked about interest in workshops and tutorials on rare books; manuscripts and archive collections; photographs and maps; what to expect when doing research in special collections; how to use a finding aid; and how to evaluate primary sources for research value. The topic that garnered the most positive overall response—how to use a finding aid—generated only a 50 percent/50 percent split between interested and not interested.

While overall response to workshops and on-line tutorials largely was negative (Figure 2), the survey suggested selected groups might be audiences for particular types of instruction. The survey showed that the instructional interests of undergraduates



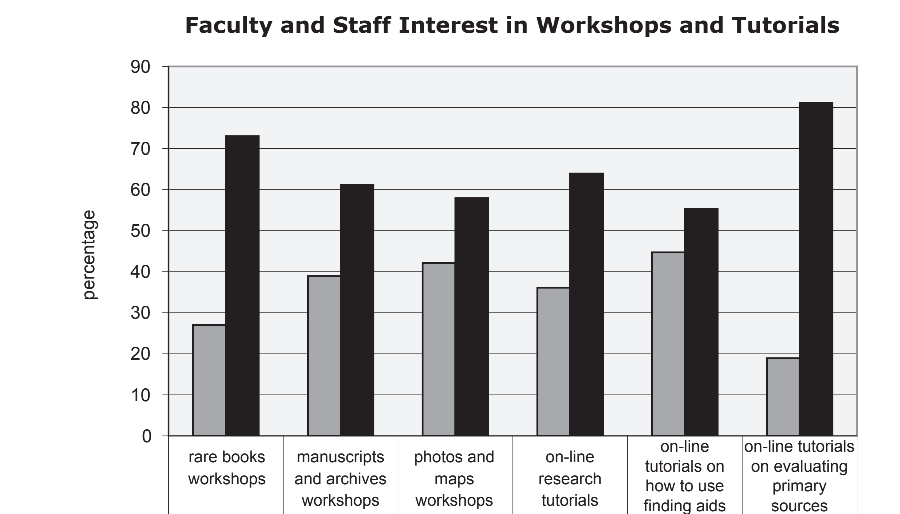
	rare books workshops	manuscripts and archives workshops	photos and maps workshops	on-line research tutorials	on-line tutorials on how to use finding aids	on-line tutorials on evaluating primary sources
Interested	25.8	41.2	43.7	40.6	50	33
Not Interested	74.2	58.8	56.3	59.4	50	67

Figure 2: Overall interest in workshops and tutorials.



	rare books workshops	manuscripts and archives workshops	photos and maps workshops	on-line research tutorials	on-line tutorials on how to use finding aids	on-line tutorials on evaluating primary sources
Interested	44.4	44.4	33.3	22.2	55.6	44.4
Not interested	55.6	55.6	66.7	77.8	44.4	55.6

Figure 3: Undergraduate interest in workshops and tutorials.



	rare books workshops	manuscripts and archives workshops	photos and maps workshops	on-line research tutorials	on-line tutorials on how to use finding aids	on-line tutorials on evaluating primary sources
Interested	27	38.9	42.1	36.1	44.7	18.9
Not interested	73	61.1	57.9	63.9	55.3	81.1

Figure 4: Faculty and staff interest in workshops and tutorials.

differ from those of faculty and staff (Figures 3 and 4). For instance, while 44.4 percent of all undergraduates (25 percent of UIC, 60 percent of non-UIC undergraduates) are interested in on-line tutorials on evaluating primary resources for research value, only 18.9 percent of all faculty and staff are interested in such tutorials. Among UIC faculty and students, there is modest interest in an on-line tutorial about using finding aids, with slightly more interest from undergraduates, who usually are less familiar with archival research than other user groups. Discovering a lack of interest in certain types of instruction will save staff from developing programming that will not attract a good audience. When considering developing tutorial programming librarians and archivists should consult with the pertinent audience about their instructional needs and specifically market that programming to the targeted users.[20]

Users Generally are Happy Working within the Physical Confines of Special Collections and Associated Policies and Procedures

Although a few comments such as, “more natural lighting would be extremely helpful,” “use of power cords on floor creates fire and tripping hazards,” and “could use more [outlets] for laptops,” an average of 62.1 percent of respondents were very or somewhat satisfied with the lighting, temperature, noise level, furniture, and electrical outlets in the reading room.

While some respondents expressed a frustration with the number of rules or lack of understanding of the rules governing the use of special collections, the majority of respondents were comfortable with them. While 85.3 percent of respondents reported satisfaction with the assistance from staff they received, 77.4 percent would like to have on-line forms for requesting materials to be retrieved in advance of a visit to the reading room in order to forgo some of the librarian-mediated procedures.

Conclusion

In the last few years, special collections librarians have made significant progress towards expanding access to collections and adopting more welcoming standards of public service. Driven by librarians and archivists intent on pushing information to the public, technology has significantly aided the mere act of discovering archival collections, which once required sophisticated research skills, access to the National Union Catalog of Manuscript Collections, or published bibliographies, and patient correspondence with repositories. Information about collections now is disseminated broadly in local library catalogs, union catalogs such as WorldCat, ArchiveGrid, and Archives USA, and discoverable through Google and other Internet search engines.

Nevertheless, in 2003 Daniel Traister wrote:

> Many librarians suppose, or hope, that a major shift in staff attitudes has produced rare book collections and librarians far more welcoming to early twenty-first-century readers than their old, out-of-date reputation implies. Anyone who works in this field must be aware that readers have long regarded staff as major constituents of the formidability and repulsiveness of many rare book collections large and small. Nonetheless, staff nowadays prefer to believe that their own attitudes are welcoming and that readers have noticed and approve of this change.[21]

It seems then, that perhaps special collections librarians have not made enough progress in achieving the levels of service and access that users desire. Not only must special collections librarians provide user-centered services and increase access, but they also must improve customer service skills to create a truly welcoming research environment. To extend Traister's observation, librarians and archivists must reconsider all of the areas of their work, and objectively assess if the needs of users truly are being met and if systems are functioning as efficiently as possible.

By improving services based on the study of existing users' feedback, it may be possible to reduce barriers faced by current and potential audiences. For instance, based on survey results and corroborated by reading room use statistics showing high-traffic trends, UIC Special Collections expanded public hours to include one evening a week and an additional Saturday a month, ultimately increasing our open hours by 14 hours a month. This was done by shifting schedules and did not add expense, showing that small changes to improve services can be done with little or no added cost to departments. Saturday hours, in particular, have proven popular with students working on History Fair projects, genealogists, and out-of-town researchers, including an increase in first-time or one-time-only users. Anecdotal feedback has been enthusiastic, and visitor logs show that the reading room during added hours is used as heavily as the former schedule, so that use has increased instead of merely shifted.

The survey data also has led staff to explore new initiatives at UIC Library, such as the possibility of offering electronic surrogates of primary source materials via electronic course reserves. UIC Special Collections recently has created course-specific research guides using the LibGuides content management system, to allow students and instructors ready access to tools customized to their research needs.

To respond to users' desires to have input on building collections and to have unprocessed and other "hidden" collections revealed, librarians should consider digitization projects that potentially will have the most impact on researchers' work. For instance, instead of planning digitization projects based on a collection's graphic attractiveness, librarians should evaluate overall collection use and consult with faculty or other stakeholders to develop a digitization program. Archivists and librarians from UIC Special Collections formed an ad hoc working group with the digitization librarian and metadata cataloger to prioritize series- and collection-level digitization for our most-used resources, and have been drawing on faculty and student subject expertise for metadata creation. Faculty members also are playing a larger role in prioritizing processing and cataloging decisions, to better ensure the library's role in supporting the research and teaching mission of the university.

It also is important to maintain consistent reference staffing by librarians and archivists knowledgeable about their home collections and familiar with subject research technique. This local knowledge increasingly may be important if the minimal-processing model for most collections is adopted, because the burden of identifying specific information may fall more heavily on reference staff. The benefit to researchers may be worth allocating more hours to reference as processing backlogs are reduced and basic finding aids or catalog records are put on-line. Future user satisfaction studies will show the value of new processing and service standards.

User surveys and other methods of evaluation and assessment can help special collections librarians build service models that are cost-effective and user-centered. Just as teachers assess learning outcomes by gathering data from grades, teacher evaluations, and other methods, librarians also can assess their value by asking users if they are getting what they need from the library. A good place to start is with those special collections libraries that only gather user feedback informally.[22] Special collections librarians should gather user opinions and assessment through formalized methods such as comment cards, surveys, or focus groups and have in place administrative buy-in for applying the results. On a local level, there would be tangible benefits to users. And, if special collections librarians went a step further and published the results of their user studies, the profession would benefit as a whole.

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Appendix 1—Survey Questions and Summary Results

Question 1) ***Approximately how many times have you used Special Collections/University Archives in the past two years, either on-site, or remotely via E-mail or the Ask a Librarian reference service?***

145	***(97.9 percent)***	***people who started the survey answered this question.***
3	***(2.1 percent)***	***skipped this question.***
62	(42.8 percent)	respondents reported using Special Collections/University Archives 2–5 times during the last two years.
59	(40.7 percent)	respondents reported using Special Collections/University Archives just once during the last two years.
9	(6.2 percent)	reported using Special Collections/University Archives 11–20 times.
8	(5.5 percent)	reported using Special Collections/University Archives 6–10 times.
7	(4.8 percent)	reported using Special Collections/University Archives more than 20 times.
1	(>1 percent)	chose "other," writing "2 days in one week."

Question 2) ***In what ways have you accessed Special Collections/University Archives? Please check all that apply.***

147	***(99.3 percent)***	***people who started the survey answered this question.***
1	***(>1 percent)***	***skipped this question.***
99	(67 percent)	responded that they accessed Special Collections/University Archives in person.
70	(47.6 percent)	responded that they access Special Collections University Archives by E-mail.
36	(24.5 percent)	reported access by telephone.
23	(15.6 percent)	reported access by electronic reference service such as Ask a Librarian or instant message.
5	(3.4 percent)	reported access by mail.

Question 3) ***Which of the [two] UIC Special Collections/University Archives Departments do you usually use for research?***

147	***(99.3 percent)***	***people answered this question.***
1	***(>1 percent)***	***skipped this question.***
109	(74.1 percent)	reported using the department at the Richard J. Daley Library (main library).
31	(21.1 percent)	responded that they were not sure, as research was transacted remotely, e.g., by E-mail or telephone.

4	(2.7 percent)	reported using the department at the Library of the Health Sciences.
3	(2.0 percent)	reported using both, at the Daley and Health Sciences libraries

Question 4) Are you 18 years old or older?

148	***(100 percent)***	***people answered this question.***
144	(97.3 percent)	answered yes and were allowed to continue with the survey.
4	(2.7 percent)	answered no and were directed to the exit page of the survey.

Question 5) What is your status?

126	***(85.1 percent)***	***people answered this question.***
22	***(14.9 percent)***	***skipped this question.***
40	(31.7 percent)	people identified themselves as an independent researcher.
23	(18.3 percent)	identified themselves as non-UIC faculty or staff.
19	(15.1 percent)	identified themselves as UIC faculty or staff.
17	(13.5 percent)	identified themselves as a UIC graduate student.
16	(12.7 percent)	identified themselves as a non-UIC graduate student.
6	(4.7 percent)	identified themselves as “other,” including “alumni,” “emeritus faculty,” and “author.”
5	(4.0 percent)	identified themselves as a UIC undergraduate.
5	(4.0 percent)	identified themselves as a non-UIC undergraduate.
1	(>1 percent)	identified themselves as a high school student.

Question 6) What is your field of study or area of interest?

130	***(87.8 percent)***	***people answered this question.***
18	***(12.2 percent)***	***skipped this question.***

Responses fell into the following areas:

U.S. history, general (22.3 percent); art, architecture, and urbanism (16.9 percent); race, ethnicity, immigration (10.8 percent); Chicago/local history (10.8 percent); genealogy (8.5 percent); Hull-House, Jane Addams, social work (6.9 percent); women’s and gender studies (4.6 percent); other (4.6 percent); UIC history and administration (3.1 percent); transportation (2.3 percent); education (2.3 percent); literature and rare books (2.3 percent); medicine (2.3 percent); sociology (1.5 percent); political and economic history of Chicago (1.5 percent); library and information science (1.5 percent).

Question 7) In your experience, what does the UIC Special Collections/Archives Department do well?

125 (84.4 percent) people answered this question.
23 (15.5 percent) skipped this question.

Responses fell into these categories:

helpfulness or responsiveness of staff (53.6 percent); timeliness of responding to patron needs or inquiries (23.2 percent); types, quality, and affordability of services (20 percent); descriptions of and access to holdings (16 percent); quality of collections (10.4 percent); pleasantness of environment or research experience (6.4 percent); cannot evaluate (5.6 percent).

Question 8) What improvements do you think the Department could make?

104 (70.3 percent) people answered this question.
44 (29.7 percent) skipped this question.

Responses fell into these categories:

change nothing (18.3 percent); process and make accessible more collections (16.3 percent); improve facilities (11.5 percent); expand hours (9.6 percent); develop collections (6.7 percent); improve or offer more services (6.7 percent); improve timeliness of responding to patron needs or inquiries (4.8 percent); offer more digitized primary sources (3.8 percent); improve the helpfulness or responsiveness of staff (3.8 percent); cannot rate (3.8 percent).

Question 9) In your opinion, what is the single most conspicuous barrier to conducting research in special collections departments here at UIC or elsewhere?

102 (68.9 percent) people answered this question.
46 (31.1 percent) skipped this question.

Responses fell into these categories:

lack of or quality of finding aids and catalog records (16.7 percent); hours (12.7 percent); cost and time to travel (10.8 percent); none (9.8 percent); publicity and communications about collections and holdings (9.8 percent); special rules for access and use (8.8 percent); lack of digital access to primary sources (6.9 percent); no self-service photocopying or photography (5.9 percent); staff helpfulness or responsiveness (5.9 percent); cost or timeliness of photoduplication services (3.9 percent); facilities (2.9 percent); copyright and other restrictions on use (2.9 percent).

Question 10) At the Richard J. Daley Library, the Special Collections and University Archives Department's reading room currently is open to visitors Monday–Friday, 10:00 AM–4:30 PM and the second Saturday of each month, 10:00 AM–2:00 PM. If the Department were to lengthen or change the reading room hours for public use, what would be most useful for you research needs? Please choose no more than three.

93 (62.8 percent) people answered this question.
55 (37.2 percent) skipped this question.

47 (50.5 percent)	responded that staying open later on weekdays would be most useful.
47 (50.5 percent)	responded that staying open later on weekends would be most useful.
23 (24.7 percent)	responded that being open on Sunday would be most useful.
21 (22.6 percent)	responded that opening earlier on weekdays would be most useful.
6 (6.5 percent)	responded that opening earlier on Saturdays would be most useful.

There were 39 comments, including:

"longer hours for out of town researcher would be much appreciated"; "I do not feel it is fair for me to answer as I am not a frequent user"; "maybe a few more Saturdays during history fair (dec–feb)"; "open on every Saturday when school is in session"; "okay for me, but probably students need longer Saturday hours"; "Any additional opening hours would be beneficial for me. I usually only have a week or two to get as much research done in a short period"; "Given the necessary slow pace of this kind of research, MOST repository hours are too short"; "As an out-of-towner, extending hours in general would obviously help me more, but shouldn't be done at the expense of basic operations"; "Cannot comment as I use your department from long distance via E-mail."

Question 11) When is the most convenient time for you to come to Special Collections/Archives?

94 (63.5 percent) people answered this question.
54 (36.5 percent) skipped this question.

An average of 19 people
(25.5 percent of an average of 75 responses) chose before 10:00 AM Monday–Friday as the most convenient.

18 people (29.0 percent of 62 responses) chose before 10:00 AM Saturday as most convenient.

8 people (22.2 percent of 36 responses) chose before 10:00 AM Sunday.

An average of 30 people (40.2 percent of an average of 75 responses) chose 10:00 AM–1:00 PM Monday–Friday.

28 people (45.2 percent of 62 responses) chose 10:00 AM–1:00 PM Saturday.

16 people (44.4 percent of 36 responses) chose 10:00 AM–1:00 PM Sunday.

An average of 31 people
(41.0 percent of an average of 75 responses) chose 1:00–5:00 PM Monday–Friday.

39 people (62.9 percent of 62 responses) chose 1:00–5:00 PM Saturday.

20 people (55.6 percent of 36 responses) chose 1:00–5:00 PM Sunday.

An average of 22 people
(29.5 percent of an average of 75 responses) chose after 5:00 PM Monday–Friday.

8 people (12.9 percent of 62 responses) chose after 5:00 PM Saturday.
5 people (13.9 percent of 36 responses) chose after 5:00 PM Sunday.

The most convenient time reported was 1:00–5:00 PM Saturday, with 39 people choosing this time.

The top four most convenient times Monday–Friday are
1:00–5:00 PM Monday (32 chose this);
10:00 AM–1:00 PM Tuesday (31);
10:00 AM–1:00 PM Wednesday (31); and
1:00–5:00 PM Wednesday (31).

Question 12) Thinking about your FUTURE research needs, how interested are you in the following?

125 (84.5 percent) people responded to this question.
23 (15.5 percent) skipped this question.

More on-line primary resources:
113 people of 120 respondents (94.2 percent) said they would be somewhat to very interested, while 7 (5.8 percent) said they were either not interested or felt the question did not apply.

On-line class reserves of primary source material:
43 of 90 respondents (47.8 percent) said they would be somewhat to very interested, while 47 (52.2 percent) were either not interested or felt the question did not apply.

Permission to photocopy, photograph, or scan materials yourself:
96 of 115 respondents (83.5 percent) said they would be somewhat to very interested, while 19 (16.5 percent) were either not interested or felt the question did not apply.

Question 13) How satisfied are you with the comfort of the reading room?

111 (75.0 percent) people responded to this question.
31 (25.0 percent) skipped this question.

Lighting:
79 of 111 respondents (71.2 percent) were somewhat to very satisfied, 8 (7.2 percent) were somewhat to very dissatisfied, while 24 (21.6 percent) could not rate.

Temperature:
73 of 111 respondents (65.8 percent) were somewhat to very satisfied, 13 (11.8 percent) were somewhat to very dissatisfied, while 25 (22.5 percent) could not rate.

Noise level:
78 of 109 respondents (71.6 percent) were somewhat to very satisfied, 7 (6.4 percent) were somewhat to very dissatisfied, while 24 (22.0 percent) could not rate.

Furniture:
70 of 110 respondents (63.6 percent) were somewhat to very satisfied,

13 (11.8 percent) were somewhat to very dissatisfied, while 27 (24.5 percent) could not rate.

Electrical outlets:

41 of 107 respondents (38.3 percent) were somewhat to very satisfied 11 (10.3 percent) were somewhat to very dissatisfied, while 55 (51.4 percent) could not rate.

Question 14) How satisfied are you with our photoduplication services?

117 (79.1 percent) people responded to this question.

31 (20.9 percent) skipped this question.

Price for photocopies ($0.15/page):

65 of 114 respondents (57 percent) said they were somewhat to very satisfied, 11 (9.6 percent) said they we somewhat to very dissatisfied, while 38 (33.3 percent) could not rate.

Timeliness of photocopy order fulfillment (usually available by next business day):

63 of 114 respondents (55.3 percent) said they were somewhat to very satisfied, 12 (10.5 percent) said they were somewhat to very dissatisfied, while 39 (34.2 percent) could not rate.

Price for photographic/digital image reproductions ($20–$30 for UIC community, $30–$155 for non-UIC users): 32 of 113 respondents (28.3 percent) were somewhat to very satisfied, 15 (13.3 percent) were somewhat to very dissatisfied, while 66 (58.4 percent) could not rate.

Timeliness of photographic/digital imaging order fulfillment (usually within 10 business days): 37 of 114 respondents (32.5 percent) were somewhat to very satisfied, 11 (9.6 percent) were somewhat to very dissatisfied, while 66 (57.9 percent) could not rate.

Question 15) How satisfied are you with these aspects of conducting your research in Special Collections/Archives?

118 (79.7 percent) people responded to this question.

30 (20.3 percent) skipped this question.

Reading room hours of operation:

63 of 116 respondents (54.3 percent) said they were somewhat to very satisfied, 27 (23.3 percent) were somewhat to very dissatisfied, and 26 (22.4 percent) could not rate.

Ease of finding materials:

74 of 117 respondents (63.2 percent) said they were somewhat to very satisfied, 22 (18.8 percent) were somewhat to very dissatisfied, and 21 (17.9 percent) could not rate.

Assistance from reference staff:

99 of 116 respondents (85.3 percent) said they were somewhat to very satisfied, 10 (8.6 percent) were somewhat to very dissatisfied, and 7 (6.0 percent) could not rate.

Speed of material retrieval by staff:

92 of 115 respondents (80.0 percent) said they were somewhat to very

satisfied, 8 (7.0 percent) were somewhat to very dissatisfied, and 15 (13.0 percent) could not rate.

Access to computers (1 public terminal in reading room, plus wireless network connection): 36 of 113 respondents (31.9 percent) said they were somewhat to very satisfied, 14 (12.4 percent) were somewhat to very dissatisfied, and 63 (55.8 percent) could not rate.

Access to the wireless network:

24 of 112 respondents (21.4 percent) said they were somewhat to very satisfied, 15 (13.4 percent) were somwhat to very dissatisfied, and 73 (65.2 percent) could not rate.

Question 16) Currently, we are open to users from 10:00 AM to 4:30 PM on weekdays, and 10:00 AM to 2:00 PM on the second Saturday of the month. Were these hours sufficient to conduct your research?

100 (67.6 percent) people responded to this question.
48 (23.4 percent) people skipped this question.

Yes: 67 (67 percent)
No: 33 (33 percent)

34 respondents (34 percent) commented on the hours, with 20 people (58.8 percent) requesting that the reading room be open additional hours to make research more convenient and productive, even if the existing hours were sufficient to conduct their past research projects. Comments included, "[It would] be better if you were open past 4:30. I expect to be using multiple archives and if they all have the same 10–4 hours it will be hard to get to them all," "I had to miss work to do research within these hours," "As a student the hours were ok, but 10 AM is a little late to open and 4:30 was too early to close. More weekend time than just one Saturday would be desired," and "Sufficient? Yes. Convenient? Not always. Researchers must adapt to library policies. You can't be open 24 hours a day, seven days a week, but I wish you could."

Question 17) Before you last used (on-site or via phone, E-mail, etc.) Special Collections/Archives had you viewed our Web pages?

121 (81.8 percent) people responded to this question.
27 (18.2 percent) people skipped this question.

Yes, I looked at the Web pages and determined that you had the information I was looking for: 72 people (59.5 percent) chose this answer.

Yes, I looked at the Web pages but could not find the information I was looking for: 17 people (14.0 percent) chose this answer.

No, I looked for the Web pages, but was not able to locate them: 3 people (2.5 percent) chose this answer.

No, I did not look at the Web pages: 29 people (24.0 percent) chose this answer.

Comments:

"I looked at the Web pages to see what exactly the SC/A were, that I have been referred to in my research," "I found the Ask the Librarian E-mail address," "sometimes I find, sometimes I don't," "and then I E-mailed the reference librarian," "I found some information," "I knew you had something I could use, but didn't know the extent. [I] just assumed, given you house the Hull House materials."

Question 18) What general information on the Special Collections/Archives homepage do you seek?

118 (79.7 percent) people responded to this question.
30 (20.3 percent) skipped this question.

About the department: 11 of 104 people (10.6 percent) responded Frequently, 57 (54.8 percent) responded Occasionally, 36 (34.6 percent) responded Never.

Location and hours: 23 of 106 people (21.7 percent) responded Frequently, 56 (52.8 percent) responded Occasionally, 27 (25.5 percent) responded Never.

Visitor information: 21 of 107 people (19.6 percent) responded Frequently, 51 (47.7 percent) responded Occasionally, 35 (32.7 percent) responded Never.

Staff directory: 8 of 102 people (7.8 percent) responded Frequently, 38 (37.3 percent) responded Occasionally, 56 (54.9 percent) responded Never.

Ask a Librarian (electronic reference): 9 of 114 people (7.9 percent) responded Frequently, 55 (48.2 percent) responded Occasionally, 50 (43.9 percent) responded Never.

To summarize, location and hours were the most sought after of the general information about the department, while the staff directory was the least sought after.

Question 19) Do you use these Web pages [about the collections]?

119 (80.4 percent) people responded to this question.
29 (19.6 percent) skipped this question.

Manuscripts: 11 of 109 people (10.1 percent) responded Frequently, 54 (49.5 percent) responded Occasionally, 44 (40.4 percent) responded Never.

University Archives: 13 of 110 people (11.8 percent) responded Frequently, 59 (53.6 percent) responded Occasionally, 38 (34.5 percent) responded Never.

Rare Books: 10 of 109 people (9.2 percent) responded Frequently, 39 (35.8 percent) responded Occasionally, 60 (55.0 percent) responded Never.

Photographic Collections: 8 of 114 people (7.0 percent) responded Frequently, 55 (48.2 percent) responded Occasionally, 51 (44.7 percent) responded Never.

To summarize, University Archives pages were reported as the most used, and Rare Books pages were reported as the least frequently used.

Question 20) What other features of the Web site do you use?

113 (76.4 percent) people responded to this question.
35 (23.5 percent) skipped this question.

Permissions and Fees:

7 of 109 people (6.4 percent) responded Frequently, 45 (41.3 percent) responded Occasionally, 57 (52.3 percent) responded Never.

News:

2 of 104 people (1.9 percent) responded Frequently, 28 (26.9 percent) responded Occasionally, 74 (71.2 percent) responded Never.

Online Exhibits:

5 of 110 people (4.5 percent) responded Frequently, 39 (35.5 percent) responded Occasionally, 66 (60.0 percent) responded Never.

In summary, of these choices, Permissions and Fees was the most frequently used, and News was the least frequently used, although Never was by far the most popular response to all three.

Question 21) If you have used a collection, did you know what collection you wanted to use before you came?

122 (82.4 percent) people responded to this question.
26 (17.6 percent) skipped this question.

Yes: 83 (68 percent)
No: 23 (18.9 percent)
Not applicable: 16 (13.1 percent)

Question 22) Finding aids list the contents of boxes and folders in archival collections, but there are other ways of discovering sources. Before you came [to Special Collections/Archives], did you know what boxes or folders you wanted to examine?

116 (78.4 percent) people responded to this question.
32 (21.7 percent) skipped this question.

27 of 116 people (23.3 percent) responded Frequently,
51 (43.9 percent) responded Occasionally, 3
8 (32.8 percent) responded Never.

Question 23) Has your research at UIC led you to material that you did not know we had?

116 (78.4 percent) people responded to this question.
32 (21.6 percent) skipped this question.

Yes: 74 (63.8 percent)
No: 33 (28.4 percent)
No, I had a feeling there was more, but didn't know how to find it: 9 (7.8 percent)

Comments included: "Whereas the actual data I was looking for couldn't be found, your staff (thru 'Ask a Librarian') found some other circumstantial information, that helps me strengthen my theory," and "As more of the inventories are put on-line, I have found interesting connections for my research with collections that I did not have prior information about."

Question 24) Did you find the information you were looking for?

115 (77.7 percent) people responded to this question.
33 (22.3 percent) skipped this question.

I found the exact piece of information that I was looking for:

58 of 106 people (54.7 percent) responded Yes,
37 (34.9 percent) responded Sometimes,
11 (10.4 percent) responded No.

I found related material, but not exactly what I needed:

27 of 84 people (32.1 percent) responded Yes,
43 (51.2 percent) responded Sometimes,
14 (16.7 percent) responded No.

I learned that the collection did not contain the information I needed:

19 of 72 people (26.4 percent) responded Yes,
23 (31.9 percent) responded Sometimes,
30 (41.7 percent) responded No.

Comments included:

"It seems like I never find exact material. This is a problem with my topic not the archive," "Folder-level descriptions somewhat limited," and "Sometimes things looked juicy in the finding aid but turned out empty in reality: but that's the nature of research."

Question 25) What services are important to you?

118 (79.7 percent) people responded to this question.
30 (20.3 percent) skipped this question.

Librarian to answer questions about the collection:

106 of 118 people (89.8 percent) responded Very Important,
11 (9.3 percent) responded Somewhat Important,
1 (0.8 percent) responded Not Important.

Photocopying:

91 of 111 people (82.0 percent) responded Very Important,
15 (13.5 percent) responded Somewhat Important,
5 (4.5 percent) responded Not Important.

Digital images/photography:

64 of 108 people (59.3 percent) responded Very Important,
26 (24.1 percent) responded Somewhat Important,
18 (16.7 percent) responded Not Important.

Wireless connection [in the reading room]:

26 of 101 (25.7 percent) people responded Very Important,
39 (38.6 percent) responded Somewhat Important,
36 (35.6 percent) responded Not Important.

Comments included:

"I didn't use wireless on my last visit but it's generally become indispensible," "Easier photocopying means less time in the library—more efficient use of that time," and "Digitized archives available on-line, and searchable finding aids of materials that can be requested by mail or E-mail [are important]."

In summary, having a librarian available to answer questions was deemed almost unanimously an important service, while access to a wireless connection was deemed of least importance of the choices, but still highly valued.

Question 26) What is your interest in the Special Collections and University Archives Department providing the following reference services?

112 (75.7 percent) people responded to this question.

36 (24.3 percent) skipped this question.

Improved on-line research assistance, including instant messaging with Special Collections and University Archives staff:

Interested: 73 of 108 people (67.6 percent)

Not Interested: 35 (32.4 percent)

Individual face-to-face research consultation:

Interested: 71 of 105 people (67.6 percent)

Not Interested: 34 (32.4 percent)

On-line forms for requesting materials to be retrieved prior to your visit to the Department:

Interested: 82 of 106 people (77.4 percent)

Not Interested: 24 (22.6 percent)

On-line forms for requesting photocopies or other duplication services:

Interested: 79 of 104 people (76.0 percent)

Not Interested: 25 (24.0 percent)

Other: "On-line finding aids!," "On-line research assistance is more than adequate already," "Thorough on-line finding aids. I should be able to tell exactly what folder I want before I arrive."

Question 27) What is your interest in the Special Collections and University Archives Department providing the following research workshops and tutorials?

107 (72.3 percent) people responded to this question

41 (27.7 percent) skipped this question.

Specialized research workshops about rare books:

Interested: 25 of 97 people (25.8 percent)

Not Interested: 72 (74.2 percent)

Specialized research workshops about manuscripts and University Archives collections:

Interested: 40 of 97 people (41.2 percent)

Not Interested: 57 (58.8 percent)

Specialized research workshops on photographs, maps, and other audio/visual resources:

Interested: 45 of 103 people (43.7 percent)

Not Interested: 58 (56.3 percent)

On-line tutorial on what to expect when doing research in Special Collections/Archives:

Interested: 41 of 101 people (40.6 percent)

Not Interested: 60 (59.4 percent)

On-line tutorials on how to use a finding aid:

Interested: 52 of 104 people (50.0 percent)

Not Interested: 52 (50.0 percent)

On-line tutorials on how to evaluate primary resources for research value:
Interested: 33 of 100 people (33.0 percent)
Not Interested: 67 (67.0 percent)

In summary, people generally are not interested in tutorials and workshops, and specifically, they are least interested in workshops about rare books, and most interested in an on-line tutorial about how to use a finding aid.

Question 28) Overall, how satisfied are you the UIC Special Collections/Archives services?

117 (79.1 percent) people responded to this question.
31 (20.9 percent) skipped this question.

Quality of research assistance:
100 of 115 people (87.0 percent) are satisfied,
10 (8.7 percent) are dissatisfied,
5 (4.3 percent) cannot rate.

Access to the reading room and/or collections:
72 of 109 people (66.1 percent) are satisfied,
19 (17.4 percent) are dissatisfied,
18 (16.5 percent) cannot rate.

Photo duplication and photocopying:
62 of 112 people (55.4 percent) are satisfied,
18 (16.1 percent) are dissatisfied,
32 (28.6 percent) cannot rate.

Courteousness of staff:
107 of 117 people (91.5 percent) are satisfied,
8 (6.8 percent) are dissatisfied,
2 (1.7 percent) cannot rate.

Comments included: "Staff has always been most helpful," "The staff was courteous enough, they just couldn't offer even primary assistance with a search," and "Some staff members are very friendly, others not so much."

Question 29) What is your vision of the perfect Special Collections/Archives?

71 (48.0 percent) people answered this question.
77 (52.0 percent) skipped this question.

Responses fell into the following categories: knowledgeable, courteous staff (17 responses along these lines); more collections digitized for remote access and preservation of originals (12 responses along these lines); convenient, long hours (11); cheap, fast, and easy purchase of reproductions including self-service photocopying (11); detailed finding aids and a well-organized Web site with good collection information (11); fewer rules and liberal access policies (10); comfortable facilities conducive to long days of research (8); good collections with thoughtful collecting policies (6); new collections made available faster (5); good collaboration between librarians/archivists and researchers (3); exhibits (1)

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PRESERVING HISTORY, PRESERVING PRIVACY: E-MAIL, ARCHIVAL ETHICS, AND THE LAW

BY JORDON STEELE

ABSTRACT: This paper examines legal and ethical issues surrounding privacy in E-mail. The author attempts to identify the legal and ethical parameters that govern archivists when managing electronic correspondence (E-mail) within archival collections. The author then suggests criteria for organizations and individuals who wish to perform a "privacy audit" on E-mail accounts.

Introduction

In his 2000 Presidential Address to the Society of American Archivists, H. Thomas Hickerson cited electronic records management as one of the major challenges for archivists and records managers of the future.[1] Nearly a decade later, archivists continue to improve upon best practices for capturing, preserving, managing, and accessing electronic records, while creators continue to create electronic records on a daily basis. The adage that "if it's worth keeping, print it out" has been challenged as short-sighted and, in some cases, has tested compliance with the law.[2]

Many archives departments are adding staff for the sole purpose of managing digital resources, while others are sending their current staff to workshops and conferences to improve their knowledge of electronic records management. Practitioners and theorists are forming alliances to develop best practices for digital curation before electronic records of enduring value are lost to staff turnover, technological obsolescence, or the "Delete" key.[3]

Among electronic records, one of the most difficult subsets to manage is E-mail. What began as a way for computer scientists working for the government to exchange data sets and communicate with each other has become the primary means by which our culture exchanges ideas, enacts decisions, and creates records. E-mail messages are the handwritten letters and office memoranda of our era. As a result, archivists have a natural inclination to preserve these electronic exchanges, as they may contain important information about the decision-making process of the people and institutions whose records they are responsible for maintaining.

On the other hand, the sheer proliferation of E-mail correspondence makes appraising the value of individual E-mails a tall order for many institutions. When confronted with thousands of E-mails, deciding what to keep and what to purge understandably strikes many archivists as an insurmountable task. A constant challenge for many archives is devising an effective way to integrate selective E-mail retention into a department's work flow. For the understaffed and underfunded, the task often is considered so overwhelming that some archives have decided to postpone the formulation of E-mail retention policies with the hopes that a more prominent institution (like the National Archives) will develop a practical solution.

Another important consideration when curating electronic communications is maintaining respect for an individual's privacy. There are both legal and ethical implications archivists must consider when granting access to the records for which they are responsible. Breach of privacy also is of particular concern in light of the volume of E-mail and the manner in which it is being used for public and private communications. E-mail has been widely employed for over 15 years and the number of electronic messages sent daily is difficult to quantify. Despite increasing public concern over the privacy of electronic communication, archivists must make themselves aware of cultural expectations of privacy when providing access to E-mail. Similarly, they must be sensitive to donor concerns over granting access to E-mail correspondence in the process of making his or her larger body of papers available to the research community. In short, as Heather MacNeil describes this condition, archivists have "the unenviable task of reconciling legitimate but conflicting interests—the individual's right to privacy and society's need for knowledge."[4]

The objective of this paper is threefold: to explain the legal and ethical underpinnings of privacy; to suggest reasonable obligations of archivists in upholding privacy; and, to offer "privacy audit" parameters for E-mail accounts.

Privacy and United States Law

In order for archivists to understand fully the issues surrounding privacy expectations and E-mail correspondence, it is helpful to look at the history of privacy and its relationship to United States statutory law and jurisprudence. Unlike some of its peer democracies, the United States Code contains no comprehensive law governing an individual's right to privacy. However, some protections against unauthorized government intrusion into an individual's personal life are embedded, albeit implicitly, in the Bill of Rights. The First Amendment protects an individual's right to freedom of speech, the Fourth Amendment guards against "unlawful searches and seizures," and the Fifth Amendment prohibits self-incrimination.[5] In addition to these constitutional provisions, the United States has assembled a patchwork of privacy laws specific to certain circumstances. The Health Insurance Portability and Accountability Act (HIPAA) and the Family Educational Rights and Privacy Act (FERPA) probably are best known by archivists, particularly those who manage health records and student files. In the early 1990s, federal legislation was introduced to bolster employee privacy law, but the bill was never passed.[6] The United States' perspective on privacy largely has been developed in the courts. Due to the complexity of privacy law and its variation from state to state, it is important for archivists to familiarize themselves with privacy law in the state in which they work, particularly when dealing with electronic communication like E-mail.

Any analysis of the jurisprudence of privacy should begin with the writings of Samuel D. Warren and Louis D. Brandeis. Precipitated by advances in technology, particularly with the invention of photography and the telegraph, Warren and his law partner, Brandeis, wrote an article that emphasized the importance of preventing unnecessary and unlawful intrusions into the lives of private citizens. "The Right to Privacy," first published in the *Harvard Law Review* in 1890, acknowledged that improvements in the government's ability to monitor its citizens' actions precipitated a need to redefine what constituted a breach of privacy.[7] As such, Warren and Brandeis broadly defined privacy as "the right to be let alone." Because technology only has improved in its ability to monitor the actions and behavior of its citizens,[8] the authors' core arguments provide an important framework for repositioning the role of privacy when providing access to E-mail.

In 1928, nearly 40 years after the publication of "The Right to Privacy," Brandeis, at the time, an associate justice of the Supreme Court, issued an influential dissenting opinion in *Olmstead v. United States*. In it, Brandeis proclaimed the right to privacy "the most comprehensive of rights and the right most valued by civilized men."[9] Brandeis's opinions have given privacy an important legal foundation, one that all information professionals, including archivists, should take seriously when providing access to materials originally meant for private communication and not public consumption.

Despite the transformative work on the part of Warren and Brandeis on the subject of privacy, their argument generally has not applied to Court rulings regarding electronic communication. To constitute a legitimate expectation of privacy, the plaintiff not only must establish that there was a subject expectation of privacy, but also that expectation must be one that society at large would find reasonable.[10] Based on the application of this definition, the courts largely have decided in favor of the employer over issues of E-mail monitoring in the workplace. In *U.S. v. Maxwell* (1996), the court declared that once an E-mail is sent, it is the recipient and not the sender who ultimately controls the item.[11] One early case before the courts, *Smyth V. Pillsbury Company*, found that even if an employer has stated it will not monitor employee E-mail, an employee still has no reasonable expectation of privacy.[12] Such an opinion generally has been followed in other cases before the courts. Exceptions generally favor circumstances where the employee is employed by a government agency, or if the employee conducted communication on E-mail systems not owned and operated by the employer.[13] Private employers almost always are exempt from claims of invasion of privacy, since American law typically reserves human rights for the public sphere only.[14]

Another concern surrounding the topic of privacy is libel. Organizations often tread cautiously with the understanding that the courts may award damages to an individual if it is decided that certain personal information, when made public, damaged the person's reputation. To complicate matters, it has been argued that the violator need not exhibit intentional defamation in order to be found guilty of libel.[15] However, the courts consistently have ruled in favor of the employer in these cases on the logic that the infliction of emotional distress has not been proven to be extreme.[16]

Notable exceptions to these judicial trends include a handful of cases in which plaintiffs have invoked the National Labor Relations Act of 1935, which bars employers from prohibiting its employees to communicate freely for the purpose of union organizing.[17] In *Knopp v. American Airlines*, the court ruled in favor of the plaintiff on the grounds that by breaching his personal Web space, the employer committed an invasion of privacy.[18] And most recently, in *Quon v. Arch Wireless Operating Company*, the court held that an employee has a reasonable expectation of privacy when there is an informal practice of allowing personal text messaging on company pagers.[19] However, it should be emphasized that these are *exceptions* to the prevailing opinion in jurisprudence; generally, employees surrender their privacy rights once they use company E-mail in the workplace. McEvoy prioritizes privacy protections, from greatest to least protected, as follows: bodily fluids, personal tools provided by the employer (such as lockers, desks, and cabinets), and finally, shared employer tools (including office files and E-mail).[20]

Defining the Public versus Private Sphere

Archivists and records managers face the challenge of balancing privacy expectations with our professional responsibility to preserve records of enduring value. As illustrated in the previous analysis of case law, approaches to the conundrum of E-mail preservation and public access vary widely; however, common guidelines are emerging. Writing for the Web site "Government Computer News" in February 2009, Michael Daconta, former metadata program manager for the Department of Homeland Security, issued a bold proposal for dealing with the proliferation of electronic records in government agencies: keep everything. Daconta's central argument is that "The notion of trying to distinguish what constitutes a federal record could be a dying concept—as opposed to just marking, compressing and saving all non-duplicative data."[21] Michael Lesk[22] and Peter Lyman,[23] both respected scholars on the topics of digital preservation and information technology, provide technological support for this rationale in their studies of the totality of electronic information.

This solution is a seductive one. With the cost of storing electronic data becoming increasingly affordable, the notion of saving everything, formerly the realm of science fiction, has become a less fantastic proposal. However, for this proposal to become a reality among government agencies, important laws that were established to protect the privacy of governmental employees would have to be rewritten. As electronic records proliferate and archival appraisal becomes more challenging, it is important for archivists to be reminded of the legal and ethical theories underpinning what constitutes a record.

Although it was written over 20 years ago—when electronic storage was talked about in terms of kilobytes, not petabytes—Gary M. Peterson and Trudy Huskamp Peterson's book *Archives and Manuscripts: Law* remains an authoritative treatment of how the law interprets and shapes records management. The authors defined two sets of categories to help archivists appraise what to keep and what to destroy: record versus nonrecord, and official versus personal.

For the sake of efficiency, one legitimately may claim that any material created in the workplace can be considered an organizational record, since the document is being created on the time of the employer. However, Peterson and Peterson argued that not everything created at a job ought to be considered a record of that organization. They enumerated three types of materials that the federal government classifies as nonrecord: reference material, publications, and copies of original records.[24] A commonality of all three categories is that they do not necessarily reflect business transactions; rather, they are materials that support or duplicate those actions.

The debate over what qualifies as "working papers," however, proves to be more complicated. Archivists traditionally have argued that documents without enduring value should not be preserved in perpetuity, lest they distract from the important documents. (This "signal-to-noise" ratio is one of the more persuasive points cited by those who argue for appraising and weeding electronic records like E-mail, even considering the time required to perform these tasks). To combat the accumulation of documents of dubious importance like "scraps of paper with hieroglyphic notes, half completed and rejected drafts, and telephone numbers," Peterson and Peterson provided the National Archives' set of five questions for archivists to ask when determining record and nonrecord status:

1) "Do the papers form a unique part of an adequate record of an agency's organization, functions, policies, decisions, procedures, operations, and other activities?
2) Were the papers controlled, maintained, preserved, processed, filed, or otherwise handled following usual agency methods and procedures?
3) Were the papers produced by an individual in official capacity?
4) Do the papers relate to official functions of the agency?
5) Were the papers communicated or used or intended for communication or use by agency personnel other than the employee who generated them?"[25]

NARA recommends that if any of these questions generated a "yes" response, the document should be considered to have record status.

These criteria prompt a couple of general considerations. The first is that a record is a document that was intended by its creator to be for more than personal use. An internal memorandum is a good example of this type of document: although access was restricted, the document was drafted for other people to read it. The second defining quality of a record is that it directly reflects the actions, policies, and organizational culture of the institution in which it was generated. To use an extreme example, a grocery list prepared by an individual in the course of business may be an ineffective use of work time, but it is not an institutional record. To use a more complicated example, it could be argued that a form of correspondence—print or electronic—whose subject matter is personal and irrelevant to the mission and activity of an institution is a nonrecord, even if it was sent during the course of business.

Although the National Archives' questions are posed for public agencies that have strict laws governing the accountability of publicly-funded agencies, one might apply them beyond their immediate use. The five preceding questions can help archivists working for nongovernmental and private organizations determine what sorts of documents generated by their parent institutions are worth saving and restricting. Even if a private organization considers everything created by its employees in the course of a workday to be its property, if the document does not reflect critical actions and activities of an institution, the case for permanently retaining that document and making it available to future generations of researchers becomes much more difficult to make. There are just too many real records worth keeping to spend time maintaining nonessential, nonrecord material.

Ethical Issues for Archivists Concerning Privacy

Any profession distinguishes itself from mere occupation by inviting its members to adhere to a code of ethics. Ethics go beyond the letter of the law to reflect the moral principles that support and add value to the professional services provided. As detailed above, with limited exceptions, individuals can expect few legal protections from the ways in which their electronic communication is archived and subsequently used. Archivists have an opportunity to fill this legal void. For guidance, they can look to professional codes of responsibility, but they also can draw upon broader intellectual discussions regarding the privacy expectations of private citizens.

In the age of on-line scrutiny, it is common to encounter public expectations that every move will be cataloged, chronicled, and communicated on-line. Helen Nissenbaum, professor at New York University and senior faculty fellow of the Information Law Institute, rejects this view, arguing that public policy should accommodate the sophisticated assumptions people hold about the ways in which they control access to what John Palfrey calls their "digital dossier."[26] Nissenbaum refers to this context-based understanding of privacy as "contextual integrity."

Contextual integrity moves beyond the textbook definition of what is and is not private. Rather, the concept "involves a far more complex domain of social spheres (fields, domains, contexts) than the one that typically grounds privacy theories, namely, the dichotomous spheres of public and private."[27] Contextual integrity is interested in more than the various statutes that protect privacy. Rather, Nissenbaum's research analyzes the cultural norms that govern what is and is not an acceptable use of private information.

Negotiating divergent concepts of privacy often is difficult. One particular area of contention that Nissenbaum cites is on-line privacy in the workplace.[28] Before the digital age, it was not possible or practical for employers to monitor or record many employee activities and behaviors. Now, with advances in technology and the shift from virtually all activity in a workplace from off-line to on-line, employer surveillance of employees' on-line activity has increased steadily.[29]

Nissenbaum argues that "norms of information flow" are essential to understanding contextual integrity.[30] There are appropriate and inappropriate venues for sharing private information—and, much like citizens in the era of Brandeis's seminal remarks on privacy rights—individuals should control that flow. A violation of privacy, Nissenbaum argues, depends on a range of factors, in particular the situational circumstances under which the potential breach has occurred.[31] Archivists and records managers can apply contextual integrity to their daily obligations by endeavoring to understand the circumstances under which private communication was created, and to be sensitive to personal and cultural norms governing the flow of information.

In addition, the establishment of robust ethical obligations has added benefits for information professionals. In arguing for a mature approach to ethical behavior among librarians, Randy Diamond and Martha Dragich encourage their colleagues to "articulate the principles and practices ensuring that members of the profession function at the highest level."[32] This acceptance of professional responsibility not only better serves the patron, but it also helps to promote the "professional viability" of librarianship when compared to more established professions like medicine and the law.[33] By taking ethics seriously, librarians have emerged as trusted leaders within the community.

American archivists have a similar, though less established, professional code of ethics to that of librarians. While neither are as proscriptive (nor as convoluted) as the American Bar Association's Model Rules of Professional Conduct,[34] the Society of American Archivists' (SAA) Code of Ethics outlines how its members should serve their patrons and their profession ethically. The SAA Code of Ethics describes archivists' ethical obligations regarding privacy as follows:

> Archivists protect the privacy rights of donors and individuals or groups who are the subject of records. They respect all users' right to privacy by maintaining the confidentiality of their research and protecting any personal information collected about them in accordance with the institution's security procedures.[35]

SAA provides little advice on this issue beyond this one-sentence charge. For this reason, it is helpful for archivists to be aware of other professional literature on privacy, and more broadly, to understand the importance of ethics in developing a practical framework for respecting privacy.

Glenn Dingwall's article on archival codes of ethics is one exception. In "Trusting Archivists: The Role of Archival Ethics Codes in Establishing Public Faith," Dingwall describes the primary tension between an archivist's professional responsibility to provide access to information while protecting privacy and serving the interests of the parent institution.[36] In real-life scenarios, these responsibilities may have conflicting interests.

Dingwall proposes two frameworks useful for understanding archival ethics: deontological and teleological.[37] Deontological theory, popularized by philosophers like Kant, posits that moral acts are applied universally, regardless of outcome. Generally, Dingwall argues, archival ethics tend to follow the Kantian model.[38] Teleological ethics, on the other hand, are carried out to produce the best possible outcome for all parties involved. Any practicing archivist likely could cite an instance in which teleology has played a role in departmental decision-making.

Understandably, the multiple relationships archivists maintain on a daily basis may create friction among these ethical frameworks. One might argue that archivists should take a teleological approach to privacy: providing access to information to potentially thousands of researchers trumps the injury to one individual if that information is sensitive to him or her. On the other hand, arguing from the deontological perspective, one might submit, like Brandeis, that privacy is an inviolate right that should be respected and upheld at the expense of all other issues. It is likely that archivists must and will call on both philosophical arguments depending on the situation. On the whole, Dingwall argues that these are the very sorts of issues with which archivists should wrestle, because public acknowledgement of ethical obligations helps indicate to the public that archivists take these issues very seriously.[39] This, in turn, suggests to the public that archives is a serious profession, willing and capable to debate, and shape, matters of larger cultural implication.

A reasoned, intelligent response to privacy concerns also might position archivists to become trustworthy advisers as nonarchivists increasingly assume greater responsibility for curating their personal information. Technological innovation has yielded more tools and services that allow nonprofessionals to preserve digital information. While it has been argued persuasively that many of these tools are not ideal solutions to ensure the sustainability of digital objects, the reality is that people increasingly are taking responsibility for saving what they would have otherwise discarded or surrendered to an archives.[40] Furthermore, research suggests that average people indeed are cognizant of digital preservation challenges traditionally thought to be merely the concern of information professionals.[41] As digital curation becomes a more distributed cultural practice, archivists very well may shift from gatekeepers to advisers. In the wake of this trend, there likely will emerge a need for archivists to display a proficiency in the intricacies of not only the technological concerns with long-term digital preservation, but also the ethical considerations.

Developing a "Privacy Audit" of E-mail Accounts

As mentioned above, although private institutions lawfully may be permitted to declare all of their employees' documents available for permanent retention, both practical and ethical reasons complicate this broad-brush approach. From the practical perspective, simply keeping everything makes retrieving relevant records more difficult. And ethically, institutions would do well to consider and respect the assumptions of their employees that not everything they create during a work day is subject to scrutiny by their employers and, later, outside researchers.

Therefore, it is worth establishing a model to determine to what extent work E-mail accounts do contain material that may violate both legal and ethical rights to privacy. A useful start in developing a series of questions to consider is the National Archives' list of questions to determine a record status of a document. Modifying this list, one can create a list of questions for records managers, archivists, and individual records creators to ask when auditing E-mail accounts for private and sensitive information:

1) Does the E-mail contain sensitive identification information, such as social security numbers, dates of birth, or credit card information?
2) Does the subject of the E-mail reflect official institutional business?
3) Does the E-mail contain any flags that indicate its creator considered it confidential? This can include a header as formal and declarative as "CONFIDENTIAL"

as well as more subtle indications of confidentiality, such as "Please refrain from mentioning this information to anyone. . . ."

4) Is the E-mail a link to a resource (a Web site, news story, or other on-line resource) that exists outside of the institution's Web site?
5) Does the E-mail include a file attachment that does not relate to official institutional business?

If any of these questions are answered positively, the E-mail may be of nonrecord status and may include private information that its creator never intended to disclose. Therefore, the E-mail may be considered a candidate for restriction or disposal. This model is flexible enough to be applied to a range of situations, whether for personal papers or organizational records. It also has the potential to keep pace with innovations in electronic communication, including chat logs, blogs, social networking sites (like Facebook), and microblogging services (such as Twitter). With the understanding that this type of granular appraisal is, in practice, difficult for many archives departments, some of these questions may be automated. For instance, search parameters may be applied to textual patterns in records management systems such as the National Archives' ERA system[42] and products approved according the Department of Defense 5015.02-STD Records Management Application Design Criteria Standard,[43] which can automate privacy audits.

Conclusion

As E-mail communication proliferates, there is legitimate concern that the amount of electronic documents may preclude substantive appraisal on the part of records managers and archivists. After all, appraisal is but one of an archivist's duties. However, the right to privacy is a core liberty enjoyed by free societies and an individual's expectation of privacy merits the respect of archivists. Practically speaking, there are ways in which privacy concerns can be mitigated. Perhaps the most important tool is employee education. Reminding an employee to use E-mail prudently may help reduce the likelihood that he or she will use E-mail to communicate a private matter. Also, clearly stated retention policies can help communicate the mission of an organization's records policy and retention schedules to its employees. If an employee is aware of the types of documents an institution permanently retains, the employee can keep this in mind when communicating over E-mail. Furthermore, if an individual has set up personal folders to organize E-mail, identifying groups of sensitive E-mails is much easier for the records manager. It may be useful, therefore, for an institution to establish guidelines to help employees more effectively organize and manage their E-mail. Finally, privacy audits like the one suggested in this essay can provide empirical data that may serve to allay employees' fears that their work E-mail contains sensitive information at all.

Understanding the legal and ethical issues governing privacy can help archivists avoid potential litigation and public scorn when preserving and making accessible E-mail of an institution's employees. Moreover, exhibiting sensitivity to and mastery of the issues regarding privacy in E-mail can help archivists cultivate trust and promote the seriousness of the professional role of archivists as society's stewards of history, both in analog and digital form.

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A SURVEY OF ARCHIVISTS OF THE U.S. SENATE

BY JAN ZASTROW AND NAN WOOD MOSHER

ABSTRACT: This article investigates the daily practices of Senate archivists and discusses the range of their activities, with particular attention to the similarities and differences among archivists in a senator's office versus those working for a committee. Archivists on Capitol Hill are present during the creation of records and all perform certain primary functions such as records management and inventory maintenance, but the great diversity in the services they provide, depending on the particular needs of their office, renders the creation of a general job description quite difficult. The authors surveyed archivists in the Senate about their job duties, titles, education, and experience. The survey showed broad commonalities among the standard range of professional activities, as well as considerable diversity of responsibilities as a reflection of the individual careers of the lawmakers they serve.

Introduction

What do archivists in the U.S. Senate do? How is the role of a committee archivist different from one in a senator's personal office? And how do they interface with the Senate Historical Office and the Senate archivist? These were key questions encountered by one of the coauthors, a congressional papers archivist from a state university, during her annual visits to Congress. A professional leave and the opportunity to work in Washington as an archivist in the office of the Senate majority leader provided the opportunity to examine these questions in depth. Starting in October 2008, her plan was to serve as a consultant to set up systems, policies, and procedures, and then hire and train a local archivist to run the operation. What was needed was essentially a "menu" of duties to formulate a job description for hiring purposes. Finding out what responsibilities the other Senate archivists handled was a logical starting point and something best achieved through a survey.

With the collaboration of a longtime Senate staffer and now Republican leader archivist, the project queried other archivists in the Senate about their job duties, titles, education, and experience. Eleven responses out of a possible 13 were received: four from committee archivists and eight from archivists in member offices (one had served in both a personal office and a committee and provided two sets of responses). Five were male, six female. After soliciting their mostly self-created job descriptions, some 35 different duties were parsed out and the results collated (see Appendix 1, "Tasks Organized by Category in Order of Frequency Listed").

In addition to its intended purpose as an aid in composing a more accurate and explanatory job announcement, this project's applied research has other potential uses as well: to rework and update current position descriptions on Capitol Hill;[1] as a training tool for new Hill archivists; to identify important but overlooked functions to add to the archival repertoire; to help those archivists who manage congressional papers in repositories throughout the country better understand the workings of the U.S. Senate and the role of the in-house archivist; and to encourage archivists to evolve into new territory, such as electronic records management and E-mail appraisal. Finally, by highlighting the professional nature of the job of archivist in Congress, this research may encourage other offices to realize the benefits of hiring an in-house specialist—or at the very least, of selecting a suitable historical repository in the early years of a member's tenure in Congress and establish a sound working relationship with archival professionals there.

Literature Review

Certainly this is not the first article written by or about Hill archivists. In the past few decades, archival literature has been awash in congressional topics. In fact, the entire 1992 volume of *Provenance* (Volume X, No. 1 and 2) was given over to "Case Studies in Appraising Congressional Papers." Notable articles included Susan Goldstein's "Appraising a Retiring Senator's Papers: A View from the Staff of Senator Alan Cranston," "Appraisal of Senator John Williams's Papers," by Rebecca Johnson Melvin, and "Processing and Maintaining a Congressional Collection," by Mary Boccaccio.

Connell Gallagher wrote one of the most pertinent articles on congressional records in the making,[2] in which he detailed his work for the very different offices of two Vermont senators, Robert Stafford and Patrick Leahy, while on sabbatical from the University of Vermont. The inner workings of those offices and his description of his duties, particularly "spend[ing] time with each record producer . . . to encourage them to list files at the end of each session, box them, and transfer them to storage,"[3] still sounds very familiar to Hill archivists. His article gives a great deal of insight to the inner workings of congressional offices and explains much about the creation of historical records in an office; it is a must-read for any repository archivist working with congressional collections.

A landmark article in the literature of congressional papers, that of Patricia Aronsson,[4] describes the functioning of a typical congressional office and its standard records series. Also very informative is Lauren Brown's account of closing the office of Congresswoman Marjorie Holt.[5] The first half of Frank Mackaman's piece[6] discusses the scope, structure, strengths, and weaknesses of a Congress member's personal collection. Indeed, all of these and many more related articles recently have been compiled in *An American Political Archives Reader*,[7] an invaluable resource for archivists and historians working with congressional papers. Not to be overlooked is Cynthia Pease Miller's volume *Managing Congressional Collections,*[8] which, although focused on a repository's handling of material after a member's office closes, nevertheless gives insight into the activities of a working office as well.

Survey Methodology

To facilitate the development of a plan of work, a survey was undertaken. The outcomes provide a broad view of records management and archival practices in member offices and committees specifically in 2009.

A brief note on how the research was conducted: initially, a request was sent to Senate archivists via E-mail explaining the purpose of the study and requesting their job descriptions in order to learn about the differences and similarities of what each archivist was doing. Other archivists in the legislative branch were considered for inclusion—those of the House of Representatives, the Architect of the Capitol, and the Library of Congress—but given the specificity of the needs of each body of Congress, the invitation to participate was finally issued only to designated archivists in the U.S. Senate.

It was important to guarantee that no names identifying specific offices or archivists would be used; discretion is a sacred virtue on the Hill. This E-mail query was sent out twice, with a two-month interval in-between. All entries were received by E-mail, and the participants were encouraged to contact the authors if they had questions or other input.

After receiving 11 responses out of a possible 13, the descriptions were analyzed and 35 distinct tasks were identified. A chart was created and an alphabet letter was assigned to each respondent's data (thus providing anonymity for quotes and footnotes); the data then were collated to quantify how many archivists were engaged in similar activities. Once all of the responses were reviewed and enumerated, the authors followed up with phone calls to verify the data—filling in the gaps for tasks not mentioned—and to note particulars of education and experience.

How the Hill Works

The preservation of congressional papers has been much discussed, debated, and deliberated over the last 30 years. While this conversation has been necessary, it has focused on the "why" instead of the "how." The "how" of congressional action is complex, mysterious, and difficult to explain. This renders the capture and preservation of the legislative process and decision-making—the work of a Senate archivist—all the more challenging and important.

The U.S. Senate

The general atmosphere of the Senate is that of one hundred "class presidents" trying to move their own agendas forward, each working to represent the unique perspectives and problems of their constituencies. Each senator has staff that supports his or her function of constituent representation. As a senator gains seniority, he or she may chair a committee and hire staff members that work exclusively for that committee. In addition, senators elected to party leadership positions generally have staff devoted to that function, primarily dealing with legislation on the Senate floor. In such cases, they are respectively referred to as "personal," "committee," and "leadership" staff.

Traditionally, if a senator hired an archivist it was perceived as a subtle signal that he or she was not planning to run for re-election and was preparing to close the office and transfer papers to a repository. In 2009, of the 40 most senior senators, seven employed full-time in-house archivists—17.5 percent and growing—illustrating a change in the traditional perspective. This trend can be credited in part to Senate Archivist Karen Dawley Paul, a "missionary in the field of congressional papers."[9] Through her work, more senators are showing an active interest in the organization and maintenance of their papers and understanding the value of preserving them for posterity.

Karen Paul has worked to build a foundation of trust between her office, senators and their staffs since joining the Senate Historical Office in 1982. She has encouraged the early selection of a repository, advised offices on best practices, and coordinated the accession of committee papers to the National Archives and Records Administration (NARA). Her efforts culminated in the passage of House Concurrent Resolution 307 on June 20, 2008: legislation that finally put Congress on record as endorsing a policy of retention and preservation for members' congressional papers and their deposit or donation to an appropriate repository.[10]

The U.S. House of Representatives

The House Office of the Clerk employs a staff of 15 to handle the history and preservation needs of the House of Representatives and its members. By way of comparison, members of the U.S. House do not usually employ archivists as part of their staffs, but other staffers perform records management duties for the office. As with the Senate archivist, the archivist of the House of Representatives serves as a liaison to its 435 members and 6 delegates, encouraging them to preserve their papers and choose a repository during their tenure, in addition to the responsibility of accessioning the official records of the House. This article focuses only on those archivists serving the Senate.

Rhythm of the Hill

The Senate is generally "in session" each year from January 3—the date mandated for each session to convene[11]—and throughout the year with designated "recess" periods that fall around holidays. The weeks of Presidents' Day, Memorial Day, Labor Day, and Columbus Day are usually shorter recess periods; Easter/Passover and Christmas/New Year bring two-week breaks, and the August recess is a month long. Why is this important? These breaks are the most common times for staff to retire their files: Senate archivists commonly report that recesses are their busiest times.

While most members of the archival profession work with historical documents, Hill archivists fall into the European category of archivists, managing both active and inactive records.[12] "In the United States, archivists are typically associated with collections of inactive records. However, the European tradition includes management of active records as well, which in the United States is often the responsibility of a separate records manager" (Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). In fact, records management is the primary activity of Hill archivists as versus arrangement and description ("processing") and working with researchers that archivists in repositories face day to day.

Likewise, there are differences in training. Most professionals earn the title of archivist following graduate education and possibly certification. On the Hill, any staffer who works in archives and records management can, and usually does, use the prestigious designation of "archivist." Eight of the survey participants carry business cards with archivist as their title, the three deviations being archivist/librarian, archivist/records manager and systems administrator/archivist. Having said that, almost all of the archivists surveyed have at least one related master's degree (library science or history) or have completed the Modern Archives Institute at NARA. As of 2009, experience ranged from less than one year to 25 years in the profession (see Appendix 2, "Education and Years of Archival Experience").

Lastly, an interesting word on terminology: contrary to academic convention, a Senate archivist's day-to-day work is habitually referred to as "archiving." Although the most familiar usage of this term is to describe the work of IT professionals in backing up computer files, on the Hill "archiving" as a term for standard archival and records management tasks is a colloquialism that has stuck.

Senate Committees

While a senator's papers are considered personal property, committee papers are the official property of the Senate—not its chairman—and are retained at the National Archives' Center for Legislative Archives, which houses congressional records from the First Congress to the present.[13] Both Senate Rules[14] and U.S. Code[15] require each committee to transfer noncurrent records to NARA at the end of each Congress. Defined as both textual and electronic[16] (including E-mail), these materials detail the legislative work of the committee, as well as any oversight or investigative matters, nominations, and treaties.

Not all Senate committees employ an archivist. As of 2009, of the 16 standing committees, only five have staff members solely dedicated to maintaining archives and records management. Those that do hire archivists may differ in their approach: a committee may employ a single archivist to handle the papers of both the majority and minority staffs, or there may be two separate archivists hired by the chairman and ranking member.

For an archivist handling both the Republican and Democratic sides of the committee, great care must be taken to maintain the security and confidentiality of the files. One archivist described the job as such: "Since I am a bipartisan archivist, I must make sure Republican and Democrat records are not mixed together and that access between them is strictly controlled."[17] For the committees that do not have dedicated archivists, archival work is generally a duty assigned to the clerk or office manager. The same practice applies to personal offices—if there is no archivist on staff those tasks usually fall to the office manager.

Members' Personal Offices

The primary responsibility of a personal office archivist is records management. One archivist writes: "The first step most of us take is determining whether records will need to be consulted in the near future or if they hold permanent historical value. Then a bit of 'pre-processing' occurs before the boxes are transferred to [temporary] storage."[18]

Establishing which files to retire poses the next line of inquiry. "Staff tend not to let anything out of their possession in the off-chance that the senator might ask for something,"[19] observes another respondent. This creates a challenge for the archivist and requires ongoing education of the staff as to 1) the eventual disposition of the papers, 2) the customary conditions of a deed of gift for congressional papers, and 3) the probable lengthy closure period. (The maximum restriction recommended by the National Study Commission on Records and Documents[20] is 15 years after a member leaves office, although the time frame is determined by each repository and donor.)

Although senators are issued overflow storage space in their office buildings, the limit on space is often the best argument for releasing retired or little used files to the Federal Records Center or a repository. Temporary storage is available through NARA at the Federal Records Center in Suitland, Maryland, and at 15 regional repositories.[21] When a senator leaves office, his or her papers quickly must be transferred elsewhere, preferably to an academic institution or historical society that eventually will make them available for research.

Gaining trust can be an issue. "The archivist's authority [and influence] on a personal staff draws most of its strength directly from the senator,"[22] states another archivist. A senator who has an active interest in a strong records management/archives program, in turn, has a staff who more willingly comply. The battle is only half won though; staffers must be convinced that their files not only will be stored safely and securely but also remain easily retrievable for ready reference if needed.

Primary Duties of Archivists in the Senate

Senate archivists handle a wide range of duties, from the mundane to the unexpected. But whether formally trained and certified, or educated through the Modern Archives Institute, the challenges are the same. Most Senate staff members do not think in terms of historical document creation as they go about their daily work. The hectic pace and "in the moment" mentality have staffers focused on headlines rather than history. One archivist stated bluntly, "Training should not have to be repeated, but staff are generally uninterested in archiving and do not realize or internalize that it is now a part of their job requirement."[23] Needless to say, the archivist's ability to educate staff to realize the importance of their work in the long reach of history is critical to the strength of the senator's papers as a future research collection.

Similarities between Committee and Personal Office Archivists

While staff education is a key component of the job, the first step is the development of policy. All Senate archivists responded that they set archival policy for ownership and records disposition. Next, staff training is conducted either individually or as a group.

Archivists advise staff on both print and electronic records management functions. While these functions were two separate items in the survey, the authors anticipate that in a few years it will not be necessary to make such a distinction.

All Senate archivists perform some preliminary arrangement and description, as well as rudimentary preservation work, if only simply rehousing files into acid-free boxes or relabeling folders prior to transfer. Whether sending records to a member's repository or committee files to NARA, all archivists handle the task of preparing box inventories for these transfers in order to recall files as needed. Additionally, most offices maintain an index or inventory of their collections, including the Washington, D.C. office and Senate storage unit, state offices and their storage units, and records in temporary Federal Records Center storage. This also serves the secondary purpose of assisting repositories in identifying materials when they later acquire these large collections.

Differences between Committee and Personal Office Archivists

There are two key distinctions between committee and personal office archivists: the variety of media they handle and the structure of their offices, which defines the work. A personal office archivist often confers directly with the senator and chief of staff to set and execute policy, while a committee archivist has a dual track of responsibility: he or she is hired by the chairman and often will interact with the committee's staff director or administrative manager on policy and internal issues. Since public law directs the Senate archivist to oversee the records of the Senate, the committee archivist also will work with her to execute transfers to and from NARA. The committee archivist will assemble and arrange the records, prepare box inventories, and then coordinate with the Senate archivist for actual pick-up and delivery to NARA. If a committee does not have an archivist, each subcommittee identifies a staff member to handle records management and to work with the Senate archivist. Because a committee can have as many as 10 to 20 subcommittees, this system enables NARA to have only one Senate contact rather than dozens.

Personal office archivists work with a wide variety of media—photographs, videotape, memorabilia, maps, framed artwork, and, of course, paper documents. Committee archivists traditionally have dealt solely with textual records, although electronic files have been gaining more attention in some committees lately. Committees also maintain video recordings of their hearings, but this technology most often is captured by IT staff and posted to the committee's Web site. In addition, Senate photographers can be requested to photograph hearings. Recently, the Senate Photo Studio has become more proactive, covering high-profile hearings without a prior request from the committee staff.[24] These photographs, however, remain posted on an internal Senate browser unless prints or discs are ordered. Personal office archivists sometimes are given responsibility for extensive photograph collections that document their members' careers. The same often is true for videotape collections (in a maddening array of media and formats: Betacam, VHS, .wpl, .wmv, etc.) with the length of a senator's career determining the ratio of tape-to-electronic materials.

Survey Findings

Of the 35 different activities culled from the job descriptions received, most Senate archivists focus on a few that comprise the core of their archival duties. As a whole, Senate archivists are dealing with the same issues, questions, and concerns regardless of their office or political affiliation. And a cohesive set of principles and a ready source of assistance always are available in the Senate Historical Office under the guidance of the Senate archivist. The following 35 distinct activities were parsed out from the survey responses.

Both Personal Office and Committee Archivists:

- **Advise staff on records management functions (print formats)**—Establish processes and best practices for the creation and flow of hard copy records created in an office.
- **Advise staff on records management functions (electronic formats)**—Establish processes and best practices for the creation, naming conventions, and preservation of electronic records created in an office (both E-mail and "born digital" documents).
- **Conduct staff training**—With staff sizes ranging from 20 to 50 people or more, education is critical. Staff training is conducted in groups or on an individual basis. Handouts are a popular aid to help staffers recall key concepts. The Senate archivist has created a set of "Quick Cards," containing essential information on topics of textual and electronic records that can be disseminated to staff. One archivist has created her own office-specific Quick Cards on the topics of records management and E-mail archiving.[25]
- **Set archival policy for records disposition**—The Senate archivist's handbook offers a suggested disposition schedule for an array of records.[26] An archivist tailors this list to fit the work habits of his or her particular office.
- **Work with IT to retain, migrate electronic files**—Most Senate offices and committees employ a systems administrator ("SA") to handle the office's technology issues. Almost all Senate archivists work closely with this staff member for assistance with electronic records (except the one respondent who is both SA and archivist).
- **Maintain index/inventory of collection**—Most offices will have multiple storage locations, both in-house and at temporary federal storage facilities hosted by NARA. An easy to use, up-to-date inventory is critical to maintain control of the collection.
- **Prepare inventories of archival transfers**—Whether sending records to a member's repository or committee files to NARA, all archivists handle the task of preparing box inventories for these transfers.
- **Recall boxes from NARA storage**—Personal office archivists can retrieve boxes from the NARA Federal Records Centers with a few days' notice. Committees can recall materials from the Center for Legislative Archives with only a few hours' notice.

- **Arrangement and description (pre-processing)**—One archivist describes this aspect of the job as crucial in case records need to be recalled for office use, as well as for the future benefit of the repository. However, the "fine work of processing that is normally done to prepare records for researchers" is not necessary at this stage.[27]
- **Basic preservation, rehousing, relabeling**—Archivists often transfer the records from standard office files to acid-free folders and boxes before storing or shipping to the repository.
- **Set records ownership policy**—A clearly defined records ownership policy stating that materials produced in the office are the sole property of the member should be enacted during the initial set-up after the senator is sworn into office. If not, a personal office archivist would make this the first order of business. As stated previously, committee records are the official property of the federal government and as such are transferred to NARA on a scheduled basis.
- **Conduct staff exit interviews**—Staffers can come and go at a dizzying rate on Capitol Hill. Job turnover is high, with many staffers leaving to work on campaigns, attend graduate school, or move to a job in the executive branch or private sector. Most Senate archivists conduct exit interviews with departing staff to determine what records have been created and maintained and which to pass on to successors to use and "archive" in the future.
- **Supervise the work of interns**—Interns are the equivalent of student assistants in an academic setting. They are available for a wide variety of tasks and can be trained to assist with special archival projects, although usually used for more mundane activities such as creating box contents lists, updating staff lists, etc. Because interns usually only stay in an office for a few months at most, the use of interns requires constant training and supervision.
- **Conduct internal reference and research**—Since an archivist has access to an office/committee's historical documents, they are the logical resource to consult when a question arises. Many archivists spend a considerable amount of their time tracking down information for staff.
- **Work with vendors**—Several archivists work with both internal and outside vendors to purvey services such as printing and graphics, framing, digital conversion, archival supplies, photo studio services, etc. Some archivists choose to create their own forms and databases to track office records and memorabilia while others work with outside vendors to purchase specially designed inventory software. As well, existing office systems used for scheduling and correspondence can be mined for data, but this work requires the assistance of IT staff and the vendor's on-site representative (see outlier item "Extract reports from correspondence management system" below for additional information).
- **Liaise with Senate archivist**—Committee and personal office archivists serve as the liaison between their chairman/senator and the Senate archivist. All archivists working in the Senate tap her expertise and experience.

Personal Office Archivists:

- **Help identify a suitable repository; liaise with repository staff**—In-house archivists who are hired before a senator chooses a repository can offer valuable input during the selection process, in addition to working as a liaison between the prospective repository and the office counsel, chief of staff and senator.
- **Advise member's state offices on records management, preservation, and archival issues**—A senator's constituency is well-served by the field office staff, and many archivists work to capture documentation of events outside Washington by identifying the records held in the state offices and incorporating them into the records inventory or maintaining separate inventories.
- **Maintain staff list, senator's committees, biographical information**—A logical extension of the archivist's responsibilities, most archivists maintain a file of biographical information about their member, with committee assignments, personal information, and often a complete database of former employees (a very useful reference tool for the repository when processing the collection).
- **Track memorabilia**—Senators accumulate memorabilia from a number of sources: souvenirs from foreign travel, mementos from constituents, awards from interest groups, and more. These plaques, trophies, hats, pens, rugs, pottery, artwork, etc., require specialized cataloging and storage methods. Some offices choose to create their own systems—spreadsheets or office-generated tracking forms stored in binders are common. Other offices purchase database software from History Associates Inc.[28]
- **Manage photo collection**—This issue divided our archivists. Some offices entrust the archivist with the organization, identification, preservation, and retrieval of most or all of the senator's photo collection. In others, the Press Office takes responsibility for it. For digital images, archivists also are challenged to capture and record metadata in a manner that will follow the images through inevitable future migrations.
- **Archive video**—A senator elected before the turn of the millennium most likely has a collection of VHS tapes slowly demagnetizing; and for a senator taking office decades earlier, the problem compounds exponentially. Many offices are undertaking the conversion of these tapes to digital files. The archivist's work also may include responsibility for new additions of video, most likely "born digital."

Committee Archivists:

- **Capture documentation of legislative, oversight, investigations, nominations, treaties**—This responsibility summarizes the powers given to Senate committees under federal law and provides a guideline to committee archivists when creating a records management policy.
- **Appraise and organize departed staff's E-mail**— Federal law mandates that committees retain electronic files, including E-mail, so a range of practices exists. One archivist developed a system of appraising a former staffer's E-mail for relevancy, segregating it to a file folder, converting the material to PDF for ease of use, and retaining it on the server for reference. A copy of this file also

is transferred to NARA. In personal offices, how electronic records are handled is the member's choice and may or may not be appraised until final disposition.

"Outlier" Responsibilities:

Only one or two archivists listed the following responsibilities in their job descriptions, but they illustrate the variety and range of activities among Senate archivists, and perhaps point to future trends.

- **Extract reports from correspondence management system**—Capitol Hill offices use Intranet-based correspondence management systems to compose and track responses to constituent mail. These systems contain myriad reports detailing such topics as mail volume, mail backlogs, staff productivity, and constituent contacts. Unfortunately, this information is not easily transferable to the repository when a senator leaves office. The ability to extract specific reports from the system on a periodic basis provides a historical snapshot and statistical data for future researchers. One archivist mines this system for data on a monthly, yearly, and per Congress basis.[29]
- **Hands-on data management (backup, preservation, retrieval)**—Instead of working with the office SA, at least one archivist has the technical skills to handle electronic records himself.
- **Prep to reformat for microfilming or scanning**—The Senate Sergeant at Arms offers convenient microfilm reformatting services, but staff must prepare the documents first, eliminating paper clips and staples, as well as organizing the materials with a bar-coded cover sheet.
- **Artwork registrar/curator** —One archivist reports being the "liaison with artists who sometimes send work to the office" for display, as well as working with shipping companies, frame shops, and insurers.[30]
- **Attic storage supervisor**—Each Senate office is allocated a storage locker in one of the Senate office buildings. With space at a premium in the office suite, infrequently used materials, as well as records awaiting transfer to the repository, often are stored in these attic/basement spaces. The Senate archivist strongly discourages the storage of special media in these lockers[31] and would prefer they not be used for archival storage at all.
- **Track supplies**—One of the primary uses of the attic/basement lockers is storage of surplus office supplies, so at least one respondent has become the primary contact for keeping track of that inventory.
- **Respond to queries by the general public**—One archivist provides information to the general public about committee records, usually in response to phone inquiries regarding the availability and types of materials contained in those records.[32]
- **Maintain reference resources in office**—Many offices maintain print copies of published references (e.g., *Congressional Record*, *Executive Calendar*, and *Congressional Quarterly)* and a few archivists have taken on the role of "librarian," keeping these materials current for their office.
- **Identify sensitive records; recommend access restrictions**—Staff archivists can assist a repository by preemptively identifying classified or sensitive materials from the Department of Defense, the State Department and other agencies.

Likewise, committee archivists that appraise E-mail can identify and segregate sensitive messages.

- **Maintain Web site**—Only one archivist, the most technically savvy in the survey, reports being Web master for his senator's Web site. Regarding long-term preservation of senatorial Web sites, congressional "crawls" have been conducted by the Library of Congress and the National Archives as recently as 2008. However, these preservation initiatives may not persist in the future so each office will need to address this issue before long.
- **Maintain bibliography of senator's published works**—Some archivists retain a listing of the commercially published works of their member for internal reference use.

Conclusion

Although this research came about for the very practical purposes of preparing a plan of work and composing a precise and explanatory job description for a specific position in the U.S. Senate, there are several broader implications for archivists in many other settings.

First, the survey speaks to our changing role as archivists/records managers—and more specifically as electronic records managers. Although this is especially true when an archivist works side-by-side with staff in an office setting, the prevalence of digital files has made all archivists cognizant of their role in managing, migrating, and preserving this fragile format for future use.

Another awareness is the trend toward a less formal, more fluid definition of what an archivist is, how one enters the field, and what the job entails. The phrase "citizen archivist" may make some cringe, but more involvement by non-professionals in "our" field is a reality of the twenty-first century. This may be an especially meaningful realization for academic archivists who come to the profession almost exclusively through acquisition of a master's degree and professional credential.

Of note, too, is the value in writing, reviewing, and updating one's position description on a regular basis—not an extraordinary suggestion—but to take the further step of comparing it with those of other colleagues in similar positions. When following up with the participants after the survey, all were extremely interested to learn of the breadth of duties being undertaken by archivists in other Senate offices and committees, and were anxious to fulfill their position's potential by adding these newly realized responsibilities to their archival repertoire. Future surveys also may document the activities of other legislative archivists—those of the House of Representatives, the Architect of the Capitol, and the Library of Congress—as a comparative analysis likely would provide useful insights, points of comparison, and possible collaboration.

Learning what others are doing in the field also might help archivists, particularly "lone arrangers," make a case for their moving into new territory—such as electronic records management, Web content/context management or indexing of E-mail records—not only for professional growth and development but to increase job security as budgets shrink and institutional belt-tightening occurs.

It is only through recognizing and pursuing such opportunities inherent in today's information landscape that archivists can remain relevant in this digital era. If, in fact, the making of legislation is akin to making sausages, the archivists of the U.S. Senate have found a niche in shaping, preserving, and rendering palatable the documentation of the workings of Congress for future generations.

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Appendix 1—Tasks Organized by Category in Order of Frequency Listed

Records Management	Administrative Services	Archival Activities	IT/Digital/Media
Advise staff on records management functions—print formats	Prepare inventories of archival transfers	Maintain index/inventory of collection	Work w/ IT to retain, migrate electronic files
Liaise with Senate archivist	Recall boxes from NARA storage	Basic preservation, rehousing, relabeling	Manage photo collection *(personal office archivists only)*
Set records ownership policy	Supervise the work of interns	Arrangement & description (pre-processing)	Archive video *(personal office archivists only)*
Advise staff on records management functions—electronic formats	Maintain staff list, senator's committees, biographical info *(personal office archivists only)*	Help identify suitable repository; liaise with repository staff *(personal office archivists only)*	Prep to reformat for microfilm or scanning
Set archival policy for records disposition	Attic storage supervisor	Conduct staff exit interviews	Hands-on data management (backup, preservation, retrieval)
Conduct staff training on what/how to archive (what is a record, how to set up files, etc.)	Conduct internal reference and research	Track memorabilia *(personal office archivists only)*	Appraise and organize departed staff's email *(committee archivists only)*
Advise member's state offices on records management, preservation, and archival issues *(personal office archivists only)*	Work with vendors	Capture documentation of legislative, oversight, investigations, nominations, treaties *(committee archivists only)*	Extract reports from correspondence management system *(personal office archivists only)*
	Track supplies	Artwork registrar/curator *(personal office archivists only)*	Maintain Web site
	Maintain reference resources in office	Identify sensitive records; recommend access restrictions	
	Maintain bibliography of senator's published works *(personal office archivists only)*	Respond to queries by the general public	

Appendix 2—Education and Years of Archival Experience (2009)

Years Of Archival Experience				
0-2 Yrs	**3-5 yrs**	**6-9 yrs**	**10-15 yrs**	**16+ yrs**
2 archivists	6 archivists	1 archivist	1 archivist	1 archivist

Highest Educational Level Achieved				
Bachelor's	**Master's (M.L.S.)**	**Master's (History)**	**Master's (Other)**	**M.L.S. + 2nd Master's**
4 archivists	2 archivists	2 archivists	1 archivist	2 archivists

NOTES

1. "Capitol Hill" is a shorthand reference for the United States Congress. "Capitol Hill" and "the Hill" are used interchangeably.
2. Connell B. Gallagher, "A Repository Archivist on Capitol Hill," *Midwestern Archivist* XIV:1 (1991): 49–58.
3. Ibid., 56.
4. Patricia Aronsson, "Appraisal of Twentieth-Century Congressional Collections," *Archival Choices: Managing the Historical Record in an Age of Abundance*, ed. Nancy E. Peace (Lexington, Mass.: D.C. Heath, 1984): 81–104.
5. Lauren R. Brown, "Present at the Tenth Hour: Appraising and Accessioning the Papers of Congresswoman Marjorie S. Holt," *Rare Books and Manuscripts Librarianship* 2: 2 (1987): 95–102.
6. Frank Mackaman, "Congressional Collections: Where the Mundane Becomes Compelling" (paper presented in *Extension of Remarks*, *Legislative Studies Section Newsletter*, American Political Science Association meeting, July 2005).
7. *An American Political Archives Reader,* ed. Karen Dawley Paul, Glenn R. Gray, and L. Rebecca Johnson Melvin (Lanham, Maryland: Scarecrow, 2009).
8. Cynthia Pease Miller, *Managing Congressional Collections* (Chicago: Society of American Archivists, 2008).
9. Richard Baker, Senate Historian Emeritus. Interview by Brian Lamb. Q&A. C-SPAN. September 27, 2009.
10. Karen Dawley Paul, "H.Con.Res 307, 110th Congress, Passes," *Congressional Papers Roundtable Newsletter*, Society of American Archivists, July 2008: 1–6.
11. U.S. Constitution, amend. 20, sec. 1.
12. Richard Pearce-Moses, *A Glossary of Archival and Records Terminology* (Chicago: Society of American Archivists, 2005): 33.
13. Richard Hunt, "Annual Report of the Center for Legislative Archives to the Advisory Committee on the Records of Congress" (presented at the meeting of the Advisory Committee on the Records of Congress, Washington, D.C., September 8, 2008): 1.
14. Senate Rule XI, *Standing Rules of the Senate*, 2.
15. H.R. 18612 To enact title 44, United States Code, Public Law 620, 90th Cong., 2d sess. (October 22, 1968): 2118.
16. H.R. 13828 An act to amend title 44, United States Code, Public Law 575, 94th Cong., 2d sess. (October 21, 1976): 3301.
17. Committee Archivist "J," 2 February 2009, personal E-mail.
18. Personal Office Archivist "B," interview with author, 23 March 2009.
19. Personal Office Archivist "G," interview with author, 14 July 2009.
20. "National Study Commission on Records and Documents of Federal Officials, Final Report" (Washington: U.S. Government Printing Office, 1977).
21. There are 17 total Federal Records Centers across the country, 15 regionals and Suitland, plus one devoted to military records in St. Louis not included in this figure.
22. Personal Office Archivist "A," interview with author, 13 July 2009.
23. Personal Office Archivist "G," 14 July 2009, personal E-mail.
24. Capitol Hill Archivists & Records Managers (CHARM) meeting with Senate Photography Studio director, 21 November 2008.
25. Personal Office Archivist "H," meeting with author, 28 September 2009.
26. Karen Dawley Paul, *Records Management Handbook for United States Senators* (Washington, D.C.: U.S. Senate, 2006): 25–49.
27. Personal Office Archivist "B," 23 March 2009, personal E-mail.
28. History Associates Incorporated is a Rockville, Maryland-based archival/records management firm "devoted to preserving, protecting, and promoting access to an organization's documentary history." *The Best Company in History*™, corporate publication, 1981-2001, 17.
29. Personal Office Archivist "H," 10 July 2009, personal E-mail.
30. Personal Office Archivist "B," 23 March 2009, personal E-mail.
31. Paul, *Records Management Handbook*, 77.
32. Committee Archivist "J," 2 February 2009, personal E-mail.

Review Essay:
Approximations to the Past: Archivists, Historians, and the Mediation of Historical Documents

André Burguière, *The Annales School: An Intellectual History*, trans. Jane Marie Todd (Ithaca, N.Y.: Cornell University Press, 2009), xiv, 309 pp. Notes. Hardcover. $45.00.

Jacques Le Goff, in collaboration with Jean-Maurice de Montremy, *My Quest for the Middle Ages,* trans. Richard Veasey (New York: Palgrave Macmillan, 2005), ix, 133 pp. Notes. Hardcover. $80.00.

Jacques Le Goff, *Saint Louis*, trans. Gareth Evan Gollrad (Notre Dame, Ind.: University of Notre Dame Press, 2009), xxxii, 947 pp. Maps, genealogical tables, notes. Hardcover. $75.00.

The *Annales* school of thought, as French historian Jacques Le Goff (1924–present) reflected when looking back on his long and fertile career in *My Quest for the Middle Ages*, a recently published series of autobiographical interviews, "taught me that the way one approaches . . . documents gives rise to the history one produces. We take nothing on trust, but rather ask questions of our sources [and must] be critically aware of the way our own minds work" (p. 19). The books reviewed here call attention to Le Goff's position among the *Annales* historians, the nature of historical documents, and the complex relationships that link historians to the materials they study.

The course of twentieth-century historiography in France (and to a lesser extent, around the world) was sparked and significantly influenced by the intellectual legacy of *Annales*, the seminal journal co-founded in 1929 by historians Marc Bloch (1886–1944) and Lucien Febvre (1878–1956). The *Annales* "school" grew up around the journal and developed into the preeminent movement in twentieth-century historical scholarship. Briefly stated, *Annales* historians sought to open history and make it receptive to the input of the social sciences without allowing it to be confined within any disciplinary specialties. It evolved over the decades, and various thinkers associated with it embraced individual priorities. Students of historiography now identify several "generations" of *Annales* historians, starting with Bloch and Febvre, leading to the generation of Le Goff and Fernand Braudel, followed by that of Le Roy Ladurie, Pierre Nora, and Philippe Ariès. Landmark studies produced by historians associated with *Annales* include: Bloch's groundbreaking work foreshadowing *mentalité* history; Febvre's elaboration on mentalities (he argued, incorrectly as it now seems, that atheism was not possible in sixteenth-century France because such a concept could not be grasped by the "mental tools" available in that time and place); Braudel's monumentally full expression of the *longue durée* (privileging the study of deep "long-term" structures in society over specific events); Ladurie's microhistorical study of the daily routines and thoughts of Albigensian heretics in a medieval village, based on Inquisition interviews in the Vatican Archives; Nora's influential work on history and memory; Ariès's thousand-year panorama of evolving attitudes towards death; and Le Goff's excursions into the varieties and meanings of time.[1] The "history of mentalities" approach so important to the work of several *Annales* historians, including Le Goff, studied unconscious patterns that may have guided individual actions in bygone societies. Roger Chartier often is considered to be the leader of generation four, which distanced itself from the school's earlier emphasis on *mentalités*.[2]

André Burguière, a member of the *Annales* editorial board, and for many years the journal's secretary, is the first insider to publish a longitudinal analysis of the journal's accomplishments and failures and detail the evolution of its priorities. He was witness to many of the trends he describes and knew personally many of the people discussed. *The Annales School: An Intellectual History* appeared first in France in 2006 before its publication in English in 2009. Burguière's thoughtful account is remarkably lively and will be of considerable interest to archivists as well as historians. It starts with the journal's origins in the 1920s and stops (too abruptly, perhaps) in the 1980s.

The book is not, as Burguière explains, a history of events pertaining to the *Annales* school, or a historical sociology of the group, or "an epistemological reflection on the foundations of historical knowledge that would use the conceptions of the *Annales* as its springboard" (p. 7). He aims instead "to understand an intellectual trajectory" (pp. 9–10) within the school of thought, including relationships among the works of key thinkers in the school (and how each built upon the work of predecessors) and links to practitioners of other important approaches to history, e.g., microhistory and social anthropology. One of the salient trends witnessed by Burguière within the *Annales* school was an evolution or shift in emphasis from socioeconomics to sociocultural concerns. Chartier's research in recent decades has focused on the cultural and linguistic turn, which seeks to understand the social history of cultural practices.[3]

From its beginning, the journal, under the aegis of Bloch and Febvre, proactively sought cooperation from geographers, economists, and sociologists. "Just as the impressionists invited painters to leave their studios," writes Burguière, "the founders of the *Annales* wanted to remove historical argument from its disciplinary and academic isolation." Bloch believed that "history might be . . . a wondrous, indispensable school of psychological and social analysis." He expressed his enthusiasm for research in a vivid figure of speech: "Whenever [a historian] smells human flesh, he knows [that] there is his prey." Febvre wrote that historians should not be "interested in some abstract, eternal, immutable man but in men, always captured within the context of the societies of which they are members" (p. 17).

Early historians associated with the school were "very attached to the empirical foundations of the historian's labor [including] the exploitation or discovery of unpublished documents," but were highly critical of erudition as an end in itself, i.e., bereft of a point of view. They worked within the traditions of scholarly practice while "at the same time, subverting the chartist cult of the written document deposited in the archive. They did so by inventing new types of sources. In their eyes, however, it was not the sources that provided the historian with a new point of view but the questions asked of them" (p. 16). Historians must seek new areas for investigation, new resources to probe, and new questions to ask.

The book exposes the fallacy of "total history" (pp. 133–159), explaining that "complexity does not mean completeness" (p. 134); discusses the validity of the notion of *mentalités* (pp. 52–75, 219–242); and critiques multiple attempts to "reintroduce the political into historical explanation" (pp. 243–252). Of special interest is the chapter entitled "Agreements and Disagreements: Caught between Two Directors" (pp. 38–51), which details the often turbulent relationship between Bloch and Febvre and sifts through the controversy over whether or not to continue publishing *Annales* after the Nazi occupation of France. Febvre was in favor of continuation even after anti-Semitic legislation forced the removal of Bloch's name from the masthead. The critical consideration, Febvre argued, was that shutting down the journal would put the Nazis one step closer to complete control of the country's intellectual life. *Annales* continued publication under an altered name at irregular intervals throughout the war (with pseudonymous contributions by Bloch). He was arrested for his work with the French Resistance and faced a German firing squad in 1944. "The differences that sometimes put Bloch and Febvre at odds," according to Burguière, "protected them from dogmatism, introducing into the message of the *Annales* a share of uncertainty and an openness that allowed it to survive fashions and resist time" (p. 51).

Burguière's work is far from flawless, and my overall impression is marred by the presence of several careless (or uninformed) mistakes. For example, in attempting an analogy between "total history" and "thick description" (the process, employed by anthropologist Clifford Geertz, of reconstituting a society's system of values by deciphering a social act that seems "enigmatic for the observer" but "routine for the society under consideration") Burguière incorrectly identifies the potlatch as a practice among Australian Aborigines (p. 134). The potlatch, in fact, is a tradition belonging to the Kwakwaka'wakw, Indigenous inhabitants of coastal British Columbia.[4] But his insider's view of *Annales* is the most informed and interesting account yet written.

I have perused many autobiographical statements made by historians (in the form of memoirs, essays, interviews, introductions to monographs, acknowledgement pages, etc.). Jacques Le Goff's reflections on his career and personal life, his feelings about the historical past, and his relationship to the raw materials of history (e.g., archives, manuscripts, and archaeological remains) are among the best I have seen. His book *My Quest for the Middle Ages* comprises a series of revealing autobiographical interviews, equally of interest to archivists and historians. The thoughtful and cogent interviews were conducted by Jean-Maurice de Montremy in 2002, published in French in 2003, and translated for an English language edition in 2005. The translation is engaging and precise while retaining much of Le Goff's spontaneity. Insights into the historian's craft abound and are interestingly glossed and colored by personal revelations. The French title of the book, *À la Recherche du Moyen Âge*, is curiously similar to the title of Marcel Proust's *À la Recherche du Temps Perdu* (best rendered in English as *In Search of Lost Time*).

Le Goff recalls that his "true discovery" of the Middle Ages occurred in 1939 at the age of fifteen when he saw for the first time a Romanesque church while traveling with his family. "I was profoundly moved by it. But it was clear to me that it belonged to another world. . . . Who had built it and for whom? How might one get to know these men and women?" (p. 6). In a telling passage he describes the allure, as he later experienced it, of studying medieval manuscripts: "Handling manuscripts fascinated me. In most cases they are made of animal skin, parchment, which is enjoyable to touch. You have a physical sense of the scribe's work, his ink, his pen, the codes he uses, his minor quirks, his labour. Paleography confirmed me in my love of the Middle Ages" (p. 11). Le Goff also compares research in historical documents to playing musical instruments. While watching his mother play piano he understood (or imagined) as a child that "All one had to do was to place one's fingers on the keyboard in order to breathe life into old works. . . . Documents were like scores. . . . One had to interpret, learn, transmit, and at the same time bring back to life" (p. 8).

In a more technical vein, Le Goff discusses the evolution of books from scroll to codex, differences in the way each format would have been used, and how such practices affected thinking. Scrolls, for example, contain evidence of ideas about sentences and punctuation to which we are unaccustomed:

> The scroll is hardly conducive to silent reading. Even if they knew perfectly well how to read and write, the powerful men and scholars of antiquity were in the habit of *being read to* because specialist readers were quicker at manipulating scrolls, freeing their masters from such material constraints. In the same way they also preferred to dictate things. . . . The widespread use of the codex . . . marked a shift. . . . It favored a personal, internalized form of reading, even though totally silent reading was not widespread until the thirteenth century. . . . The ultimate arrival of silent and even more interiorized reading corresponds to a new period in the Middle Ages. It implies a profound change in the nature of memory, since the ease of the use of the codex and the development of margins enabled one to move backwards and forwards with ease (p. 12).

He expands on this train of thought, adding that: "The nature of the documents available to us influences our way of thinking about the period studied. . . . The Middle Ages are inseparable from the manuscripts which they produced. They are also the product of those manuscripts" (pp. 11–12).

Le Goff and Nora suggested the term "new history" (*nouvelle histoire*) in the 1970s as a shorthand description for new historical approaches that emphasized cultural history, the history of mentalities, and the history of representations. The methodology associated with *nouvelle histoire* rejects earlier historical emphases on politics, administrative documents, and "great men." It questions the need for narrative and the belief in objectivity held by earlier historians. It de-emphasizes the study of individual lives as a way of understanding historical events.[5]

It was, therefore, somewhat surprising when Le Goff, in the waning years of his career, turned to historical biography, composing massive books about Saint Francis of Assisi and Saint Louis (Louis IX, the Crusader King of France). His preoccupation with Louis IX seems at face value to cut against the current of French historiography. The *Annales* approach long since had rejected political history and biography. "[But] I am not interested in biography as such," Le Goff explains in *My Quest*:

> It only appeals to me if, as in the case of Saint Louis, I can draw together around a specific character a body of material which throws light on a society, a civilization, an era. . . . There was little interest in the individual in the Middle Ages . . . and so the number of people of biographical interest is very limited: Abelard, Saint Bernard, Saint

> Francis of Assisi, the Emperor Frederick II, Saint Louis. . . . At one point while I was studying the voluminous dossier on Saint Louis, I posed the provocative question: 'Did Saint Louis really exist?' What I discovered in the source material was less an individual than a succession of stereotypical models. Because he was considered a good king and a saint, no one described him as he was but as they thought a holy king should be. This was not a question of propaganda or of falsification, but a cultural fact (pp. 96–97).

Historical texts written in the Middle Ages include a great deal of moral content that would be "excluded from the precincts of modern historical realism: miracles, resurrections, saints, myths, and visions, inter alia." If a historian wants to understand what is "going on," what is "being said and represented" in such texts, "modern criteria governing the representation of reality" and "historiographical 'realism'" are not applicable.[6]

Biographies of saints written by churchmen, an important genre of documentation for the Middle Ages, are packed with historiographical challenges. The prism of twentieth- and twenty-first-century historical thought separates such "lives" into spectrums that must be assessed in layers. The narratives, for example, contain more or less reliable stories about the saints being described: events witnessed by the writer, observations imparted to him by others, and lore preserved in oral traditions. On the other hand, they include stories constructed for the express purpose of establishing a claim to sainthood, a compilation of supposed miracles and prophetic statements tailored to fit the characteristics of what saints were expected to be during the biographer's era. The narratives also reflect to some degree the particular interests and personalities of each writer as well as the "general mental world" in which clerics lived and wrote. "Somehow the modern medievalist must sort . . . this out: establish the objective biographical information and identify the formulas of sainthood . . . and some of the characteristics of the mental world of the monkish intelligentsia responsible for writing these tales." The commitment of the life-writing monks to the type of historical accuracy that we envision and strive toward today did not exist for them.[7]

The life and the legend of Saint Louis are intricately intertwined. Le Goff sets out to disentangle the threads and discover (or come closer to) the elusive truth about Louis, the central figure of the Christian world in the thirteenth century. Each of the resources available for dissection needed to be carefully considered because each had its own agenda. It cannot be assumed that historical documents are an accurate reflection of what really happened in history. After years of rumination, Le Goff ultimately decided that the most convincing account of Louis was that penned by the king's friend and sometime confidant, Jean, sire de Joinville, whose memoirs focused largely on personal recollections. "It was only after having read and reflected on Joinville's memoirs," Le Goff recalls in *My Quest*, "that I thought I could try to write a book about Saint Louis, which is, in some respects, an anti-biography" (pp. 96–97).

Saint Louis attracted much attention when it first appeared in France in 1996 after a decade of painstaking research. The English language edition, published in 2009, is well translated and beautifully designed, but at 947 pages the volume is long and distractingly repetitive. Each of its three sections could stand alone as a book in its own right. Taken together, they offer an exhaustive (and somewhat exhausting) analysis of a man, his environment, and the complex interactions among social, geographical, psychological, and economic factors in the thirteenth century. The three main divisions of the book are supplemented by appendices, genealogical charts, maps, a chronology, and copious notes.

Part One (pp. 3–238) delineates Louis's life in a conventional format, following him from birth (1214) to coronation (1226) to death (1270) to canonization (1297) and placing his activities in the context of family, dynasty, politics, and the physical, social, and cultural environment of his reign. Louis's attitudes were, in part, imprinted in childhood by his domineering mother, Blanche of Castile. A vow made in illness caused him to "take up the cross" and leave in 1248 on a crusade to Egypt, a disastrous campaign resulting in his capture and eventual ransom. After returning to France, he took up moral and legal reforms and became conspicuously ascetic. He died in Tunis after unwisely embarking on another crusade despite poor health. The main theme to emerge from Part One is that Louis's moral and religious fixation was so engrained by an early age that every activity seems to have been affected by his desire to be an ideal Christian king.

Part Two (pp. 240–418) is an archaeological dig of sorts through the multilayered historical traces employed in Part One. Le Goff picks away at the traces to reveal how each may have been colored by the motives or affiliations of the writers involved. Louis, for example, was a staunch supporter of mendicant orders; in hagiographies composed by mendicant monks he is depicted as a humble holy man who would have joined their ranks if he could have done so. Capetian claims to the French throne in the thirteenth century were shaky, but monks at Saint-Denis, who depended on Louis's generosity, affirmed in their writings that he was the rightful successor to the Merovingian and Carolingian kings who were buried in their abbey. Louis was typically depicted by clerics as an ideal king, embodying traits that resembled the ideal rulers envisioned in handbooks for kings that circulated in manuscript form in the twelfth and thirteenth centuries. Louis may have modeled his behavior (or his projected image) on the handbooks, or his hagiographers may have crafted their accounts using the models as a guide. Was the man a "saint," or was the "saint" merely an invention of his eulogists? Le Goff looks carefully at Louis's cultivation of his own image and at the mythologies that sprouted in the aftermath of his death.

Part Three (pp. 420–735) explores the contradictions that Le Goff sees within Louis and reflects on the sense that he (Le Goff) had gotten to know the saint-king personally, having studied him and "lived" in his presence for many years. He ultimately concludes that the "saint" and the "king" co-existed in the same personality during Louis's life, but the self-imposed suffering was such that the "saint" eclipsed the "man."

Joinville, who knew Louis as a young man, observed his activities at firsthand and followed him through several long journeys, including the Egyptian crusade and captivity (1248–1254). His reminiscences were written years after the king's death and are, thus, inevitably mediated by memory.[8] His account also is colored by disdain for Louis's successors and irritation at the Pope for not declaring Louis a martyr. Over and beyond Joinville's intimate portrait of the king, his *Life of St. Louis* affords one of the best pictures we have of ordinary living in the medieval world. Individuals come to life in his pages, rivaling the vividly depicted pilgrims in Chaucer's *Canterbury*

Tales. Readers come to know (or think they know) the author as well, e.g., in passages where he describes his difficult departure for an uncertain fate as a crusader (as quoted by Le Goff, p. 379): “And . . . I didn’t ever want to look back toward [my estate of] Joinville for fear that my heart would soften at the sight of the beautiful castle and the two children I was leaving behind.”

Le Goff privileges Joinville over all other available resources, calling him “an extraordinary witness.” In particular, Joinville’s account is distinguished from other resources because he knew Louis well, had seen much, and had direct access to other people who had witnessed key events. He was a layman, not a cleric, and his intent was not to produce a hagiography. He understood war and had observed Louis in action as a warrior in the field. He wrote in French (not Latin) and quotes the king’s words in French, the language he used for conversation. He seems to have possessed a memory “rich in vivid visual and auditory sign,” and memory, as Le Goff reminds us, was probably more durable in the Middle Ages than now because people in the past were less reliant on books and other written records as mnemonic devices (pp. 377–381).

Referring to his own mediation of Joinville’s memoirs as well as other documentary traces of the past, Le Goff explained in *Saint Louis* that:

> I do believe that the historian has the right, and perhaps also the duty, to implicate himself in his subject matter, even when this subject is a historical figure. . . . [O]ne of the charms and major risks of historical biography is that a certain bond forms and develops between the historian and his character. . . . The historian does not have the same kind of relationship with the subject of a biography that he has with other historical problems. It was a problem more than a man that I took as my point of departure: how and why can a historical biography be written? . . . [C]ontrolled and enlightened imagination is necessary to the historian’s work. Thus the perhaps illusory feeling came to me that I was getting to know Louis better and better, that I could see him, that I could hear him. . . . [T]he historian’s impertinence and distance in time allowed [me] to forget [my] position. . . . I hated [Louis] as much as I loved him (pp. 726–731).

Le Goff’s oeuvre, taken as whole, illustrates that in history nothing can be effectively understood or described in isolation because all aspects of a civilization are related. His biographical (or “anti-biographical”) projects are aimed in large part at reconstructing a mental universe. During Louis IX’s reign, for example, time was multilayered. Concepts of time imposed by the Church, based on natural phenomena, were limiting. The emerging merchant class had a more predictable and regularized concept of time than that of the Church, one that imposed fewer restraints and enabled the advance of merchant capitalism.[9] Such flexible concepts, and their influence on the saint-king and his environment, are detailed in fascinating profusion in *Saint Louis* in the chapter entitled “Saint Louis in Time and Space” (pp. 423–460).

A more accessible biography of Saint Louis is that by Cecelia Gaposchkin.[10] A more concise and lucid statement of Le Goff’s views about the relationship between historians and the documents they use is found in *My Quest for the Middle Ages*. Le Goff’s *Saint Louis* nevertheless stands as a monumental exploration of one historical figure within the whole context of his time and place. Le Goff is distinguished by an unusual awareness of the symbiosis between traces of the past and the historians and archivists who find, assess, organize, and interpret them.

Historical awareness is constructed primarily from historical traces found "in the mediated form preserved for us in language. . . . [W]e need to think carefully about how we understand mediation and how that understanding affects our practice."[11] The overarching message of *Saint Louis*, and of Le Goff's fecund career, is that doing history, the historian's craft, is difficult as well as nuanced. Truth is elusive. Archivists and the historians who explore archives should engage more closely and more carefully consider the multitextured resources whereby trails to the past can be blazed and better approximations to historical understanding can be mapped.

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NOTES

1. See, respectively: Marc Bloch, *The Royal Touch* (New York: Dorset Press, 1989), first published in French in 1924; Lucien Febvre, *The Problem of Unbelief in the Sixteenth Century, the Religion of Rabelais* (Cambridge, Mass.: Harvard University Press, 1982), first published in French in 1942; Fernand Braudel, *The Mediterreanean and the Mediterreanean World in the Age of Philip II* (Berkeley: University of California Press, 1995), first published in French in 1949; Emmanuel Le Roy Ladurie, *Montaillou: The Promised Land of Error* (New York: G. Braziller, 1978), first published in French in 1975; Pierre Nora, *Realms of Memory: Rethinking the French Past*, 3 vols. (New York: Columbia University Press, 1996–1998), first published in French between 1984 and 1992; Philippe Ariès, *The Hour of Our Death* (New York: Alfred A. Knopf, 1981), first published in French in 1977; and Jacques Le Goff, *Time, Work, and Culture in the Middle Ages* (Chicago: University of Chicago Press, 1980), first published in French in 1977.
2. See *The Columbia History of Twentieth-Century French Thought*, ed. Lawrence D. Kritzman (New York: Columbia University Press, 2006): 9–15, 54–59, 255–260, and passim. See also *The Annales School: Critical Assessments*, 4 vols., ed. Stuart Clark (London: Routledge, 1999).
3. *The Columbia History*, 480–481. See also Roger Chartier, *The Order of Books* (Stanford, Calif.: Stanford University Press, 1994), first published in French in 1992.
4. Christopher Bracken, *The Potlatch Papers: A Colonial Case History* (Chicago: University of Chicago Press, 1997).
5. See *New Perspectives on Historical Writing*, second edition, ed. Peter Burke (University Park: Pennsylvania State University Press, 2001); Philippe Carrard, *Poetics of the New History: French Historical Discourse from Braudel to Chartier* (Baltimore: Johns Hopkins University Press, 1992); and Jacques Le Goff, "Is Politics Still the Backbone of History?," *Daedalus* 100:1 (1971): 1–19.
6. Gabrielle M. Spiegel, *The Past as Text: The Theory and Practice of Medieval Historiography* (Baltimore: Johns Hopkins University Press, 1999): xii–xiii.
7. Bernard Bailyn, *On the Teaching and Writing of History* (Hanover, N.H.: University Press of New England, 1994): 43–45.
8. A good English language edition of Joinville's memoirs is: Jean, sire de Joinville, *The Life of St. Louis* (New York: Sheed and Ward, 1955).
9. See Jacques Le Goff, *Time, Work, and Culture in the Middle Ages*, trans. Arthur Goldhammer (Chicago: University of Chicago Press, 1980); and Miri Rubin, *The Work of Jacques Le Goff and the Challenges of Medieval History* (Woodbridge, Suffolk, England: Boydell Press, 1997).
10. M. Cecelia Gaposchkin, *The Making of Saint Louis: Kingship, Sanctity, and Crusade in the Later Middle Ages* (Ithaca, N.Y.: Cornell University Press, 2008).

11. Spiegel, 48–49. N.B.: Technical perspectives about the creation, interpretation, and care of medieval manuscripts are concisely presented in a splendidly printed and illustrated new reference book available from Cornell, an entry-level (but thoroughly packed) volume replete with information about medieval manuscript genres, seals, forgeries, paleography (the decipherment of ancient handwriting), diplomatics (the science of authenticating documents), and codicology (the "archaeology of the book"). See Raymond Clemens and Timothy Graham, *Introduction to Manuscript Studies* (Ithaca, N.Y.: Cornell University Press, 2007).

Along the Archival Grain: Epistemic Anxieties and Colonial Common Sense. By Ann Laura Stoler. Princeton: Princeton University Press, 2009. 314 pp. Bibliography, index. Softcover. $22.95.

Chasing the traces of fear and uncertainty through colonial archives, Ann Laura Stoler argues in *Along the Archival Grain: Epistemic Anxieties and Colonial Common Sense* that these affective states, not reason, constituted the common sense governing Dutch colonial rule in the Netherlands Indies during the nineteenth century. Using her lens as an anthropologist, Stoler tracks these sentiments across a variety of archival documents, piecing together a narrative of colonial rule and governance that runs counter to prevailing wisdom that colonialism and reasoned judgment were inseparable. While intended as a scholarly study on colonialism for anthropologists, not archivists or historians, this reviewer believes *Along the Archival Grain* holds valuable insights for the archival field as well.

Using the metaphor of reading along the archival grain, rather than against it, Stoler endeavors to study the colonial archives as subject, not just use it as a source, and read into it current scholarly narratives that may, in fact, be at odds with the historical record. Reading along the grain involves setting aside these assumptions and looking at the archives with an open mind and fresh eyes. Stoler asserts that colonial scholars who solely read against the grain by cherry-picking information from the archives bring preconceived ideas to the documents, assuming that the "grand narrative of colonialism" already has been told. In her complex examination, however, Stoler makes the case that a careful reading of the archives along its grain contradicts this. Instead, colonial archives are the sites of contested knowledge, rumors turned into fact, shifting notions of governance and order, future imaginings, and sentiment. There is no one grand narrative to explain the nature of colonialism, and anthropological scholars who make that assumption, according to Stoler, ignore the true nature of the archival record.

The book's seven chapters are divided into two parts with the first two chapters serving as an extended prologue. Stoler spends these introductory chapters describing the colonial archives she consulted in the research for her book. Not limiting herself to the official state archives, Stoler broadens the depth of the archival space she studies by drawing upon personal papers as well. She also details the methodology of her anthropological study. While apparently groundbreaking in scope, Stoler's elegant prose in this section tends to drift toward flowery language and an abundance of metaphor. Those unfamiliar with the field of anthropology may find this somewhat confusing. Since the remaining chapters each can be read as micro case studies, it is recommended to skip ahead to Part Two, as Stoler suggests near the end of the prologue. These final two chapters read like a detective story and were a welcome respite from some of the academic jargon.

In Part Two, Stoler deftly chronicles the saga of Frans Carl Valck, a mid-level bureaucrat as he finds himself at the center of an investigation into the Luhmann family murders. In 1876, the wife and two small children of a planter were brutally killed and dismembered. After happening upon a thirty-page letter Valck wrote detailing his interpretation of events leading up to the murders, Stoler became enthralled at his uncommon perspective and tracked Valck through the colonial archives. In his official reports, she found a man at odds with his superiors. Wishing to place the blame on native unrest, the colonial authorities cannot accept what Valck becomes convinced of—Luhmann treated his workers poorly, and these were revenge killings. Valck's theory ran in opposition to the reason of his superiors, and he eventually finds himself honorably discharged from service for his "bungling" of the investigation.

This page-turning account is augmented by a peek into Valck's personal life through his family's papers. Even though the collection of letters and photographs resides only one floor above the traces of his official life in the state record, it was almost twenty years between Stoler's serendipitous discovery of his official letters and state reports and when she became aware of his family's collection. Through these personal papers, we get a glimpse of what cannot be traced in the official version of Valck's life. In the correspondence between Valck and his daughter a half a world away, we are privy to the effects of the colonial empire on an average civil servant. We witness the slow deterioration of their relationship across the years and see a father struggling to connect to a seemingly indifferent daughter he barely knows. We also discover Valck in his final years vainly trying to regain his honor, preoccupied with telling his version of what happened in draft after draft of an apparently unsent letter.

If the chapters on Valck are dessert, then Part One is where Stoler serves up a skillfully prepared main course. In "an often muddled and confusing archival world," Stoler delves deep into the anxious mind of the colony's ruling bureaucracy through its numerous letters, reports, and other missives. She traces the constantly shifting notions of their common sense based largely on racial and class fears that wind their way through the archival record.

In Chapter three, "Habits of a Colonial Heart," Stoler pursues the emotional causes of a little-known protest in 1848 and examines what it suggests about the state's interference in the lives of families for the sake of security and cultivating authority. Wishing to instill a love of the "fatherland" at the expense of tearing apart families, the Dutch colonial state required their civil servants to acquire a European education. "Administrative apprehensions," not logic, informed the policies they set. Stoler's reading of the archives suggests this requirement created "sustained distress" in parents, forcing them to choose between their sons' careers and being separated from them for years. Eventually these aggrieved families could not take it any longer and an isolated uprising occurred. However, the event shouldn't be construed as random. Unlike the French and German revolutions that also took place that same year, the outrage did not come from the disenfranchised, but from the "respectable." Their emotional distress built up slowly over time until it no longer could be contained.

Stoler next turns her attention to the efforts of the Dutch colonial state as they tried and failed repeatedly to reform education over the course of several decades. Chapter four finds Stoler following the archival traces of colonial administrators as they imagine bright futures for the colonial children educated by the state, then sabotage these utopian dreams again and again through their own misgivings, grounded in race about whom to educate and how. Their desire to assist the natives was outweighed only by their persistent fears of what their education would mean to the state. As much as they wanted to educate the natives and developed a variety of educational reforms to do so, colonial authorities did not want to give the students any "illusions about the future," but instead wanted to train them to do menial jobs and be content with their lot in life. This reviewer's only criticism of this chapter is that the archival records seem somewhat beside the point next to documenting the continual school openings and closings. Though she bookends the chapter by invoking images of "swelling" archives and reams of paper, unlike in other chapters, the actual documents are peripheral to the narrative, and Stoler does precisely what she derides in the prologue as a superficial research method: "mining" for treasures.

The last remaining chapter in Part One concerns the colonial authorities' efforts to ascertain the level of European pauperism in the Netherlands Indies by forming commissions of inquiry to study the matter. Stoler studies the findings of two different commissions that, while they had very little in common on the surface, were undermined by their reliance on colonial common sense. One commission refused actually to talk to the poor because they did not want them to know they were being studied, and the other commission left out a number of potential paupers after concluding they were not truly "European," or that they were victims of their own making and could crawl out of poverty if they would just set their minds to it. Both commissions found it easier to adjust their findings to colonial biases and pretend European poverty did not actually exist in the colonies, thereby creating convenient narratives based ultimately on a lack of knowledge.

While the main focus of the book is on the archival material itself, archivists and their work are practically invisible to Stoler, barely registering a handful of mentions throughout the entire book. While she recognizes that the colonial records she studies were not the result of a lone "grand narrative," it would have been preferable to see her explore more thoroughly how the archival record is affected by those who keep and preserve the documents, not just those who create them. As archivists are keenly aware, for good or ill, our decisions impact the historical record.

Despite this small criticism of the book, Stoler achieves what she set out to do: dismantle the biased narratives in current colonial studies and force scholars to look at colonialism with fresh eyes through the archival record. Though the nonscholarly may find the book's anthropological jargon challenging, I nonetheless believe the effort will prove worthwhile for all practitioners in our field, not just those archivists seeking the perspective of outside disciplines. It is vital for all of us to understand how archives are viewed outside our sometimes insular enclave. As archivists, we have an important role to play in the production and preservation of knowledge, and *Along the Archival Grain* is just one glimpse into that process, giving us fresh insight into how archival records are produced and used.

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Archives and Archivists in 20th Century England. By Elizabeth Shepherd. Burlington, VT: Ashgate, 2009. 245 pp. Bibliography, index. Hardcover. $114.95.

How do we understand the history of the archival profession? This question grounds Elizabeth Shepherd's analysis of archives and archivists in England. Shepherd's comprehensive survey is packed full of information, yet is approachable by the American archivist completely unfamiliar with the history of archives and archivists in England. Indeed, one of the main points of the book is to showcase to an international audience the "English" voice in international archival history. A second focus of the book is to encourage modern English archivists to reflect upon the often quite messy and disconnected history of their profession in order to come together as a cohesive community in the twenty-first century.

The book is organized into four sections that cover, respectively, the history of policy in relation to archives, the history of archival institutions, the history of professional associations, and the history of archival education. Each section could be read individually, but together they offer a comprehensive survey of the English archival profession worthy of being emulated in other parts of the world.

Of special interest is Shepherd's analysis of Sir Hilary Jenkinson, who has an unimpeachable role in the history of modern archival theory. Yet, when Shepherd compares Jenkinson as theorist to Jenkinson as archivist, she notes that during his tenure at the Public Record Office he effectively blocked all efforts to modernize the archives to address contemporary documentation and records management issues, which remained unresolved until his retirement in 1954. More generally, Shepherd shows how a handful of forceful movers and shakers dramatically shaped the development of the archives profession throughout the twentieth century.

Shepherd's contextualization of archives and archivists throughout the book primarily is organized around policy issues and broad-scale trends within the archival profession. For example, she explores the interactions between archivists and an increasingly large and important "heritage sector" within England's economy in the second half of the twentieth century. Shepherd argues that archivists were unprepared to respond to this nascent sector, and, as a result, lost out on much available funding until 2000, when the National Council on Archives appointed and paid someone to help archivists survive and thrive within this new terrain. This brief example represents just one of the intriguing nuggets spread through Shepherd's text, which can and should prompt much reflection on the history of our own professional community over the last century.

Despite the book's seeming comprehensiveness, however, there are, for this reader, some glaring gaps and absences. Most importantly, Shepherd almost completely elides the history of British Imperialism and the role of imperialism in shaping the archival profession. Much more could be said on this issue, with Shepherd merely hinting at the impact of archivists in commonwealth countries looking to England for archival education, and the formerly colonized coming to the metropole seeking records to prove their British citizenship following the end of the Empire. These allusions imply a much more globalized, transnational archival profession than Shepherd seems prepared to address.

Nonetheless, it is hard to fault Shepherd since she has included so much information in her book, drawing especially on the archives of various British professional associations, as well as the university archives of multiple schools offering archival education throughout the twentieth century. Shepherd, a current faculty member in the Information Studies Program, University College London, is especially interested in the role of education in shaping the profession.

Any individual interested in aspects of British archival history definitely should add this important volume to their collection. The book is also of value for any American archivist seeking to compare our profession to one with a very different historical trajectory. For those not sure if this volume is for them, it is worth reading Shepherd's 2009 article in *Archival Science*, "Culture and evidence: or what good are the archives? Archives and archivists in 20th century England," which touches on some, but by no means all, of the issues addressed in the book.

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Bloodlines: Recovering Hitler's Nuremberg Laws, From Patton's Trophy to Public Memorial. By Anthony M. Platt with Cecilia E. O'Leary. Boulder, CO: Paradigm Publishers, 2006. 267 pp. Softcover. $22.00.

In June 1999, the Skirball Cultural Center, a Jewish heritage museum in Los Angeles, opened a public exhibit featuring an original typescript of the Nuremberg Laws that was on loan from the Huntington Library. Because the typescript bore the signature of Adolf Hitler, the Huntington Library hoped that media coverage would focus on the famous library's generosity in sharing such a rare and valuable document with an up-and-coming, lesser-known institution, but the loan drew immediate international attention for different reasons altogether. Scholars and reporters alike wondered why the Huntington Library never formally had accessioned the typescript, or even revealed its existence, and had instead hidden the document in a bomb-proof vault for 54 years.

In *Bloodlines: Recovering Hitler's Nuremberg Laws, From Patton's Trophy to Public Memorial*, historian Anthony M. Platt, with Cecilia E. O'Leary, traces the provenance of the typescript and follows several generations of Huntington Library staff, from the administrators who initially hid the document to the subsequent curators who strongly advocated for its release. Platt renders a harsh judgment on the actions of the Huntington Library and clearly demonstrates how the institution failed to uphold its professional and scholarly responsibilities to public history and cultural memory by keeping the typescript a secret for more than five decades.

Considered by historians to be one of the first steps toward the Final Solution, the 1935 Nuremberg Laws rescinded the citizenship of German-born Jews, established civil and legal distinctions between Germans and Jews, and prohibited marriage between the two groups. The Huntington Library's typescript was signed by Hitler in Nuremberg in September 1935 and turned over to the city government. In 1943, Nazi officials hid the document in a bank vault in the nearby city of Eichstätt, where a U.S. Army intelligence team found it in April 1945. Over the next few days, the document was passed up the chain of command until it was in the custody of General George S. Patton, who had been ordered by General Dwight D. Eisenhower's Supreme Headquarters Allied Expeditionary Force to send any seized Nazi records to Paris, where the Allies were collecting evidence for forthcoming war crimes trials. Patton ignored his orders and instead brought the typescript with him when he returned to the United States on temporary leave a few weeks later. On June 11, 1945, Patton visited the Huntington Library and deposited the typescript with Robert Millikan, the chairman of the library's board of trustees. During this meeting, Patton dictated a statement in which he not only claimed that the typescript had been presented to him in a public ceremony by his subordinates but also asserted his personal ownership over the seized government document.

In *Bloodlines*, Platt describes Patton as a "self-made historian" who "was knowledgeable about primary documents," and he argues that Patton fully understood the importance of the typescript when he claimed it as a personal trophy. Platt believes that Patton deposited the document at the Huntington Library precisely because the repository could keep it safe and, more importantly, secret. As a lifelong friend of the Huntington family, Patton trusted the library's discretion, mainly because his father had served as the chairman of the library's board of trustees during the 1920s. Platt speculates that this long-standing family relationship, combined with the Huntington Library's pride in being connected to the world-famous war hero, clouded the library's professional judgment regarding the typescript, especially after Patton unexpectedly died in a car accident six months after his visit to the library.

An experienced researcher, Platt has a clear understanding of the differences between documents that are donated and documents that are deposited, and he relies heavily on this distinction while describing the transaction that occurred between Patton and the Huntington Library. Platt argues that Patton only intended to temporarily deposit the typescript with the library, perhaps until the general retired from active duty military service, and he faults the library for continuing to keep the typescript a secret after Patton's death. Not only did the library fail to question their claim on the document immediately after Patton died, but it also neglected to do so while the Nuremberg Trials were making well-publicized use of Nazi documents to convict German war criminals. Decades later, a new generation of library administrators continued to hide the typescript even after Patton's daughter instructed the library in 1969 to transfer "the papers directly relating to my father" to the Library of Congress. Platt contends that the library's failure to release the typescript or establish rightful ownership over it was not because of ignorance or naiveté but was instead the result of a greedy desire to keep this trophy, regardless of its suspicious provenance.

Platt's condemnation of the Huntington Library in *Bloodlines* is measured, well-researched, and compelling, with careful reference to the American Association of Museums guidelines regarding documents and artifacts with Nazi-era provenance. While he reserves his harshest judgment for Patton and the World War II-era Huntington administrators, he also faults generations of library officials who knowingly kept quiet about the document. Platt reports the various defensive claims and contentions made by Huntington administrators before skillfully eviscerating their arguments. For example, Platt quotes Huntington Library President Robert Skotheim's 1999 assertion that the typescript never was made available to researchers because it was outside the library's "collecting and research areas" and "irrelevant to our work," but then demonstrates the library's long history of collecting and providing access to "trophy items" that do not adhere to the library's literary focus. In addition to his critique, Platt praises a series of librarians and curators whose persistent advocacy eventually led to the 1999 release of what they internally had determined was "war loot."

While *Bloodlines* largely focuses on the provenance, concealment, and release of the typescript, the narrative is supplemented by a number of tangential stories, including primary source documentation of Patton's racism and anti-Semitism, historical descriptions of Nuremberg and the Nuremberg Laws, and biographies of the U.S. intelligence officers who recovered the typescript. Platt also examines the sordid history of eugenics advocacy in California during the early part of the twentieth century, noting that a number of prominent Huntington Library leaders, including Millikan, were active members of the Human Betterment Foundation, which had ties to eugenics researchers in Nazi Germany. While this interwoven narrative does not always flow particularly smoothly, the supplemental information helps fill out what otherwise would have been a short book, and the detours add depth to the account. For example, Platt includes the satisfying story of how Franz Perls, one of the U.S. intelligence officers who recovered the Nuremberg Laws typescript from the bank vault in Eichstätt, was a German-born Jew who had fled Nazi Germany in 1933.

Perhaps less necessary in *Bloodlines* are the autobiographical portions included by Platt, who integrates a number of details about his Jewish upbringing and identity that are not vital to the main narrative. While this memoir-style commentary may appeal to some audiences, it does not add to Platt's scholarly analysis of the provenance and concealment of the typescript. Platt's first-person narrative, however, is used effectively and appropriately in describing the release of the document. As a visiting fellow at the Huntington Library in June 1999, Platt was not only a first-hand witness to the loan to the Skirball Cultural Center and its fallout, but he and O'Leary also helped the Skirball investigate the true provenance of the typescript later that year.

Although Platt is not an archivist, curator, or librarian, *Bloodlines* has great relevance to the archival profession. The twists and turns of the typescript's provenance are fascinating, and Platt's arguments about the responsibilities of historical repositories reflect a nuanced understanding of the profession. As a case study, *Bloodlines* advocates for archivists and curators to act as historical and cultural stewards and clearly demonstrates the importance of confronting difficult institutional legacies.

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Electronic Records in the Manuscript Repository. By Elizabeth H. Dow. Lanham, Maryland: The Scarecrow Press, Inc., 2009. 208 pp. Index. Softcover. $45.00.

Today's creators of manuscripts and other materials of historical value have, along with the rest of society, embraced the digital world. Manuscripts are composed in word processing programs and turned into PDFs or published on Web sites. Personal correspondence takes the form of E-mail, instant messages, and text messages more often than handwritten or typewritten letters. Wikis, blogs, and social networking have replaced journals and diaries. Some creators still may bang out manuscripts and correspondence on typewriters or even write them out in longhand, but most use computers. What does this mean for the archivist working in the small collecting repository? Unless archivists only handle collections crafted before the latter half of the twentieth century, they must learn how to ensure the long-term retention of the digital material that surely will find its way into their institution.

Elizabeth H. Dow states in the preface of *Electronic Records in the Manuscript Repository* that she wrote the book to assist the "Lone Arranger" in a collecting repository who now must wrestle with the electronic media accessioned alongside traditional paper records. Librarians, records managers, and archivists in large institutions continue to develop systems, tools, and guidelines for the long-term retention of digital material, and Dow sets out to show how the smaller institution can draw on that research and experience.

In her own words, Dow organized this "how-to" guide to move from the abstract to the practical, describing the concepts, tools, knowledge, and expertise required to ensure the curation of electronic material. The first chapter covers archival functions as they apply to both paper and digital materials, noting that while the survey, appraisal, acquisition, arrangement and description, public access, and preservation and long-term retention functions remain, some archival methods change when working with electronic records. She also introduces the concept of life cycle management for electronic records, with the archivist asserting guidance at record creation rather than waiting until the donor deposits the material. At the end of the chapter, she outlines steps to begin tackling the curation of electronic records.

Chapter two presents issues inherent to digital materials, including how electronic records depend on the technologies that create them, and how problems arise as those technologies change. Dow defines the digital curator as one who captures and maintains electronic records and makes them available to users. She also explains what makes a digital document "good"—the measures used to ensure authenticity, reliability, integrity, and usability of electronic records—as well as the specialized archival metadata required.

In chapter three, Dow describes concepts related to the information technology environments in which digital material is created and which an archival repository must support in order to maintain that material. Information architectures that must be understood include hardware (computers, storage media and devices, storage locations, and storage configurations) and software (operating systems, applications, and networking architecture). The archivist must be aware of the nature of the digital content, whether structured (as in a database), unstructured (as in a document), or a compound digital object comprised of a mix of file formats. An overview of digital repositories is provided, including the components of the Open Archival Information System (OAIS) Reference Model and various types of digital content management systems.

Chapter four delves into the long-term retention of and access to digital materials. Methods explored include conversion from a digital to analog format—that is, printing to paper or copying to microform—and digital retention. The latter may include refreshment, migration, reformatting, normalization, and/or emulation strategies. Metadata also must be captured and preserved, including preservation metadata that documents the migration and emulation actions taken. Dow also discusses the need for establishing an access system separate from the long-term retention system to ensure the authenticity of the original files; magnetic and optical storage media options; and preservation issues and techniques for handling digital images, E-mail, Web pages, and Web 2.0-generated material.

With chapter five, Dow segues from concepts and abstractions to addressing practically the problems of accessioning and caring for electronic records. She raises the question of whether the archivist's institution should become a trusted digital repository (TDR) that commits to managing and providing reliable, long-term access to their donors' digital material. A TDR must fulfill the six components of the OAIS reference model: ingest, archival storage, access, planning for long-term retention, data management, and administration. Several research consortia and archival institutions have developed guidelines and checklists to measure TDR functionality in terms of "trustworthiness," such as the Trustworthy Repository Audit and Certification (TRAC) criteria from the Research Library Group (RLG) and the U. S. National Archives and Records Administration (NARA). An in-house TDR requires an institutional repository system and tools to perform such functions as file identification and validation, metadata extraction and harvesting, file conversion/normalization, Web harvesting, ingest, and migration. A repository that does not fulfill TDR criteria still will need to assure safe retention of digital material. When a repository can accept and manage digital material but does not provide user access, it is known as a "dark archives." In some cases, the archivist may choose to employ an external TDR service to handle some or all of its digital repository functions.

Once a long-term retention strategy has been determined, the means to implement the chosen preservation software system and tools must be established. Chapter six offers suggestions on how to make the case to an institution's leadership for accessioning and managing digital material. Tips are presented on approaches to take during the development of the strategy, from the use of open source systems to leveraging the experiences of other institutions. Considerations in the creation of a repository include the development of cost models and policies, whether to develop in-house expertise or work with outside consultants, management of the organizational structure, roles of personnel, and a development strategy for information architecture and metadata.

In chapter seven, Dow confronts the heart of the mission of collecting repositories: working with donors. Citing examples from the U.K.-based Paradigm Project on preserving private digital papers and other sources, Dow emphasizes the need to identify donors early—ideally long before they donate their collections—so as to educate and guide them on how to best create and manage their digital material in anticipation of long-term retention. Chapter eight reiterates the need for digital curatorship in the small collecting repository, warns that even more complex digital objects will make their way into archives in the future, and again encourages the archivist to get started on the implementation of a plan for working with digital donations and to remain abreast of new technologies and developments in digital curation.

Dow clearly states at the beginning of the book that she cannot provide the reader with everything one would ever need to know about the long-term retention of donors' digital material. To that end, she includes a wealth of bibliographic references and resources within each chapter as well as at the end of the book, even subdividing them into sections such as "Essential Tools," "Beginner Bibliography," and "Continuing Education Opportunities and Workshops" to make it easier to find items of interest.

With this book, Dow provides a helpful overview for the "Lone Arranger" or any archivist just beginning to work with digital material, as well as an excellent reference for the more experienced digital archivist. Her refreshing, clear prose includes some amusing turns of phrase that make for enjoyable reading of this complex topic. For example, in suggesting that the archivist develop a schedule with the donor regarding what to keep and what to destroy, Dow notes that such a system "will bring comfort to you both."

Due to the complexity of the topic and the volume of information conveyed, parts of the book can seem somewhat repetitive. The author could have referenced earlier or later sections rather than repeat the information. Although generally well organized, some areas in the text could have used a stronger editorial hand. In chapter four, for instance, subsections addressing the issues of preserving digital images, E-mail, and Web pages are found in a section entitled "Handling Common Types of Storage Media." These could have been placed under a more logical heading, such as "Preserving Non-Manuscript Digital Material."

Dow does a good job of providing a roadmap for the journey that must be taken by the collecting repository that has begun to accession electronic records. Working with electronic records is not easy, and the many interwoven, moving parts—the technologies, types of digital materials, and curation methods—will continue to evolve. But as Dow states in the summary to chapter four, the archivist has no choice but to get off the sidelines and act now to ensure the long-term retention of digital material. Her book offers a fine starting point.

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Managing Electronic Records, fourth edition. By William Saffady. London: Facet Publishing, 2009. 246 pp. Softcover. £52.95. $75.00.

Information professionals have relied on *Managing Electronic Records* as an introduction to records management since the publication of its first edition in 1992. This new edition offers updated material within the familiar, seven chapter framework used in its previous editions.

Saffady begins with an overview of "concepts and issues," such as hardware and software dependence and remote storage, that make the management of electronic records a special challenge. He follows this with two chapters devoted to a brief history and explanation of storage media and file formats. The next three chapters comprise the heart of the book, offering detailed introductions to record inventories, retention schedules, and the proper management of vital records. The final chapter surveys filing equipment, software applications, and the proper handling of media as physical objects.

The "Storage Media" and "File Formats" chapters have been updated to include current technologies. An occasional error slips in ("Blue-ray disc" instead of the proprietary name, "Blu-ray Disc"), but this part of the book remains a useful reference guide to the most common media and formats. The section on solid state storage is brief but sufficient, and the descriptions of image files and file compression are especially helpful for avoiding mistakes, such as confusing the JPEG compression method for the JFIF file format (which uses the ".jpg" file extension) (p. 73). Saffady is careful to distinguish proprietary from open file formats, and while he acknowledges that this distinction sometimes is "blurred" (p. 60) and that some proprietary formats have become "de facto" standards, he also addresses the problems they may present in terms of backward incompatibility and product obsolescence should the creator go out of business or decide to end support for a format. The two chapters now comprise nearly one-quarter of the book, which seems appropriate for an introductory volume, though a future edition might include a more detailed discussion of the PDF/A format, given its importance for the long-term retention of documents (p. 65).

A further concern regarding the third chapter is whether its reliance on file formats in a survey of electronic records is on the verge of becoming too limiting. Records management in 2010 could include complex Web sites, collaborative documents, and records stored across distributed networks. Identifying discreet files in such cases is a more complicated matter than in the days of word processing documents and spreadsheets (or even databases). In addition, a traditional, hierarchical understanding of information may not be sufficient for managing records contained in Wikis and other environments that make use of nonlinear forms of navigation and organization. A future edition might merit a broader framework for this part of the book.

Chapter four moves on to the records inventory. Saffady recommends completing an inventory before drawing up retention schedules, but adds that a complete inventory of a large institution might take a great deal of time. If the manager is conducting an initial inventory, it might be wise in the beginning to limit its scope, possibly even to a single division or one organizational function. Of course, even a limited records management program may not succeed without "top management support," and Saffady is wise to include a section with suggestions on how to earn support from above (p.

89). The chapter also includes advice for mapping an IT infrastructure and a detailed consideration of "questionnaire" and "consultation" survey methods, with recommendations on how to implement or combine them to best effect. Following this is an in-depth look at the survey questionnaire and the kinds of information it should collect.

The next chapter begins with a discussion of the benefits of retention schedules, a reminder that records managers may need to make a case for the time and expense required for their creation. To this end, Saffady also provides an updated list of recordkeeping laws and regulations that accept electronic records in addition to, or in place of, paper and microfilm. The rest of the chapter turns to a discussion of the legal and operational criteria for retention that are most relevant to records management (scholarly criteria being left to books about archival administration). The revised material concerning legal matters includes expanded sections addressing the legal status of digital document images and electronic signatures; the process of e-discovery as defined in recent amendments to the Federal Rules of Civil Procedure; and a particularly useful section on admissibility, rules of evidence, and what a records manager should expect when dealing with federal and state courts. The material concerned with operational criteria is much shorter by comparison to the legal material, but includes a discussion of the life-cycle of information in an organization and a lengthy section about E-mail, with a list of rules for an E-mail retention policy. The chapter concludes with a cautionary reminder about the limited shelf life of storage media, noting that some retention periods may be longer than manufacturer estimates of media stability. In such cases, the records manager may have to migrate data to new media, and Saffady offers minimum requirements for a data migration plan. This chapter is one of the best, and longest, in the book, but it would benefit from the inclusion of sample retention schedules. These would serve as helpful examples for those who are new to records management and would make discussions of retention concepts and criteria less abstract.

Chapter six considers vital records, those records "containing information needed for mission-critical business operations" (p. 161). As he does in previous chapters, Saffady opens with justifications for a vital records management program, including a list of laws and regulations that demand the creation of such programs and the penalties an institution may suffer if it fails to implement one. After a brief section recommending a survey of vital records similar to a records inventory, the rest of the chapter turns to risk analysis and control. Risk assessments can be qualitative or quantitative, the latter distinguished by the use of "numeric calculations to measure the likelihood and impact of losses" (p. 176). Such estimates should be based on evidence and experience when possible and informed speculation when not. The risk control section includes lists of preventive and protective measures, which call attention to the need for security and recovery of records stored in distributed servers and workstations as well as those in centralized repositories. Saffady closes the chapter with strategies for backup regimes and a comment about the crucial importance of including customized code and in-house documentation in any disaster recovery plan.

The final chapter reviews other tools and resources available to records managers. By comparison with the rest of the book, the material in this chapter is largely the same as in earlier editions, and the sections on electronic content management and records management application software are not quite as detailed or in-depth as one would wish.

An expanded discussion of the DoD 5015.2-STD (Department of Defense Electronic Records Management Software Application Design Criteria Standard) requirements and a more formal list of desired features in Electronic Content Management (ECM) and Records Management Application (RMA) software would be welcome. However, the chapter does include useful information on the proper handling and labeling of storage media for those records managers who work directly with media as physical objects.

While the fourth edition of *Managing Electronic Records* would have benefited from a more comprehensive rethinking of some material and the inclusion of concrete examples, the book remains a valuable introduction to records management and a useful reference work even for experienced managers.

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Currents of Archival Thinking, ed. Terry Eastwood and Heather MacNeil (Santa Barbara, CA: Libraries Unlimited, 2010). 254 pp. Softcover. $45.00.

Currents of Archival Thinking is a welcome addition to the archivist's bookshelf. Coeditors Terry Eastwood and Heather MacNeil, archival educators at the University of British Columbia and the University of Toronto, respectively, have brought together a volume of ten original essays on key archival topics. Characterizing the volume's contents as 'currents' is appropriate—the contents reflect archival thinking that has moved and evolved over time, and continues to move, change, and go somewhere (although, in some cases, only after swirling around in an eddy for awhile). The contents also are current in the sense of being up-to-date, in that the contributors have traced the evolution of archival thought about each of these issues to the most recent thinking and the challenges that lie ahead.

The essays are organized into three parts: Foundations, Functions, and Models & Metaphors. The Foundations section consists of two essays that provide the broader context for what follows. The first is by Terry Eastwood on the nature of archives and the discipline of archival science; the second by Jennifer Douglas on the evolving nature of the core principle of our profession—the principle of provenance. Part II (Functions) contains a chapter on what may be considered the core archival functions: appraisal, preservation, description, and reference services. Ciaran Trace explores appraisal issues from the perspective of notions of value in archival thought. Michèle Cloonan looks at what it means to preserve records of enduring value, a topic that is more complicated than it may seem. In a chapter entitled "Debates about Description," Geoffrey Yeo recounts the evolution of the many complex issues that are a component of how we represent our holdings. If archivists represent our holdings primarily to serve their researchers, reference services also must be addressed, and Wendy Duff looks at reference services through the lens of mediation, and notes the need to better understand how the archivist brings together records and users in both the traditional and on-line environment. This part provides a stimulating discussion of the current state of each of these functions with all their complexities and uncertainties.

The third part—Models and Metaphors—contains four essays that cut across archival functions. Glenn Dingwall provides an insightful examination of the (sometimes competing) models of recordkeeping: the life cycle and the continuum. Margaret Hedstrom explores the metaphor of memory that so often is associated with archives, and provides a thought-provoking investigation into the complex relationships between archives and memory. Using the metaphor of an arsenal, Livia Iacovino discusses the role of recordkeeping in accountability, and the extent to which archives are or should be "arsenals of accountability," a broader responsibility for archives and archivists than traditionally has been undertaken. Catherine Hobbs addresses a matter of great current interest: the extent to which archival theory developed primarily to address the management of institutional records and how that can be applied to the records of personal endeavors. She also proposes new ways of looking at the particular characteristics of personal archives as a means of developing new archival strategies to deal with such material.

While this volume reflects modern thinking about a number of key archival issues, one of the richest features of these essays is their historical nature. Each chapter is, in part, a bibliographical essay that traces the evolution of archival thought and synthesizes the key themes, concepts, and positions around a particular issue. Each chapter includes an extensive bibliography that will be very useful for those wanting to further explore the most influential writings on a particular issue.

However, the volume is more than a historical treatment. The debates in archival discourse certainly have not been resolved; the contributors identify current areas of contention and suggest new approaches that may further our understanding of the issues so that we may advance archival practice and the foundations on which it is based. Some of the articles provide a sound basis for the beginnings of a research agenda (pp. 132–133). In other cases, the authors challenge archivists to expand their influence (p. 203).

This volume also undoubtedly will broaden many readers' horizons. In the first place, the contributors (who are from Canada, the United States, the United Kingdom, and Australia) provide an international perspective; they also represent an interesting mix of practitioners and academics, some of whom bring fresh voices in the debates that characterize our profession. Secondly, in synthesizing the professional literature (past and present), the writers include references to the veins of rich European archival theory that has not been accessible because it is not in English. Furthermore, the writers also expose the reader to literature in other disciplines they may not have been aware of; see, for example, Hedstrom's discussion of the wide-ranging literature of memory studies (pp. 164–167). It often is difficult for busy professionals (despite the best of intentions) to keep up with the literature. This volume synthesizes the key archival ideas and presents them in a concise and clear format. Not surprisingly, many issues resurface in different contexts throughout the book, so the detailed index is much appreciated (and not always included in a volume of this sort).

Archivists tend to be rather insular, and preoccupied with tending their own gardens. *Currents in Archival Thinking* provides a thoughtful and readable account of where we have been as a profession and suggests paths for fruitful exploration of the many questions still to be investigated. The volume will be useful to the practitioner. It also will be useful to archival educators. Many of the contributions to this volume provide an overview of the evolution of key issues in the archival profession that will be useful to students and provide a starting point for a class discussion. While some may be frustrated that so many issues are still matters of debate (Eastwood describes our entire discipline as "a contested realm"), Dingwall notes that "It is a sign of good health for the archival profession to see new ideas rising to challenge the old" (p. 156). Eastwood and MacNeil are to be commended for bringing together a rich compilation of archival thinking presented by fresh voices. Readers may not agree with all that is written here, but it will get you thinking about our profession, what we do, and how and why we do it.

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