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INTRODUCTION

Maynard Brichford

Our first discussions of this conference occurred soon after the University of Illinois Archives was established in September, 1963. The absence of archival training programs and the importance of preserving non-current records for research use prompted us to consider holding a conference for archivists from Illinois and the surrounding states. When the Graduate School of Library Science scheduled "University Archives" as the topic of its 11th Annual Allerton Park Institute, we laid aside plans for a regional meeting. Held in November, 1964, the Allerton Institute attracted seventy-five archivists from sixty-three colleges and universities.

Among the results of the Allerton Institute was a discussion of archival training for college and university archivists and an appreciation that the college archivist and the university archivist faced somewhat different problems. Especially in older institutions, the university archivist was involved in a full-time job appraising, collecting and preserving large quantities of records. He frequently began with a major records inventory and a records disposal program. The college archivist, however, usually devoted only a portion of his time to archival records. He had to cut and tailor his program to the hours available just as a small state selects from the total program of the National Archives. The decision to hold this conference resulted from the realization that the University Archives Institute did not bear directly on the problems of the college archivist.

WELCOME

Robert B. Downs

I am very pleased to represent the Library School and the Extension Division and welcome you to this Conference on Archives. I assure you that you are going to be in excellent hands for the next couple of days. I am personally acquainted with, or know by reputation, the four conference leaders. I have the greatest confidence in their expertness in this field.

It was John Milton who wrote that books are not absolutely dead things. The same applies to manuscripts and archives. It seems to me that these original sources are much closer to life and to reality than is the printed word. Certainly there can be no authentic reconstruction of the past without access to the original records. We are finding at the University of Illinois that since our archival resources have become well organized under Maynard Brichford's direction, they are being used for a much greater variety of purposes than I had anticipated when

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Robert B. Downs is Dean of Library Administration, University of Illinois, Urbana.
The obligation of every library to preserve the records of its own institution is very evident. If some other agency on the college or university campus is not preserving the records, then they should be taken over by the library. If the library does not assume this obligation, no other agency on the campus is likely to do so. I would regard the archival responsibility as a primary obligation on the part of every college or university library.

ARCHIVAL PROGRAM: OBJECTIVES

Ralph Havener

I would like to preface my remarks about the establishment of a college archives for those of you who have recently been given this responsibility, by stating that I represent Black Hawk College, which is a relatively new institution. At Black Hawk, we only date from the beginning of the fiscal year 1962. In 1946, an organization known as Moline Community College was organized as an extension of the University of Illinois to take care of the returning veterans. In 1948 it became a branch of the Moline Public School System and operated as such until July 1, 1962. When the president made me college archivist, he immediately turned over to me all the records for the early period. Within four months he called them all back, mainly because Black Hawk was subject to a review by the North Central Association and he needed the records.

It took me some weeks to understand why I had been appointed a college archivist. It was on my record that I had been an archivist in Wisconsin and Illinois. I had also indicated that I had been to the summer archival institute which the American University operates in cooperation with the National Archives. One day the president called me in and said, "I'm going to make you college archivist." I said, "Well, thank you. What do I do from here?" He said, "Don't you know what to do?" I said, "Yes, but first I have to have some specific authority from you giving me the delegated powers to carry out a program." This confounded him greatly because he had the usual stereotyped view of an archivist, all hunched-back, myopic and wearing thick glasses. From him I secured a memorandum to the effect that faculty members and department heads should let me collect memorabilia. I tried to define memorabilia for the president and talked him out of $100 as a start on a budget for the program. I hoped to develop a microfilming program, because I had heard that the Registrar's Office was microfilming student records. I went to the vice-president of financial affairs and asked him several routine questions about their microfilming program, such as whether safety film was used and whether it met the standards of the American Standards Association.

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In initiating a new program you must have great patience and tact. You not only have to break down stereotypes, you must also avoid stepping on anyone's toes. Until you get a strong delegation of powers from your president or superintendent or whomever your superior might be, you really are not in a position to do anything. The higher support you get, the better the program you can have. While practicing tact and patience, the most important thing to do is to study the history of your particular institution in detail, particularly the administrative organization. You can begin to set up in your own mind record groups, sub-series and things of this nature. It is necessary to have a very well-defined program before you can accomplish much.

There are numerous standard objectives for a novice archives program. It is usual to attempt to "sell" the establishment of a college or university archives as a collection of official records that can meet the research needs of faculty and alumni. I have heard that alumni are a problem at older institutions, but they are not a problem at Black Hawk. You may also have some bright students who like to do a little research in primary source materials. The job of the archivist is to make these materials available-to get them, organize them and to set them up for legitimate research use.

Since Black Hawk is a public institution, I play the role of a watchdog. I take a very definite interest in the fiscal affairs of the institution. Since I am a taxpayer in the district, I would like to be assured that the college is complying with the law. To make sure that these records are kept, I certainly attempt to have cordial relations with all the fiscal people at our institution. I certainly want to cooperate with the attorney who represents our school. I attempt to find answers to questions such as: "What is the status of the junior college board? Will Black Hawk be forced to comply with the standards of the State Records Commission, or the Local Records Commission? If so, how shall we proceed?" As those of you who represent public schools may know, there is a Junior College Board in operation. Black Hawk has a representative, and I am working closely with him. We hope within a couple of years that a records policy will be formulated by the Junior College Board and that it will serve as a guideline. We are trying to get all the records of the school which will be necessary to handle the legal or statutory problems that may present themselves.

Another great selling point is that the archivist can provide speedy reference service, particularly to the administrative offices. This something I have already tried to do, particularly with the registrar. Her office had become swamped with records. I proceeded, without authority to do so, to relieve the registrar of many of her records. So far I have collected roughly ten cubic feet by shunting them aside in an office. Within the first week I had serviced three or four reference calls for her, so I won a very good ally. In setting up a college archives program, you should cultivate all the friends you can.

Since we are living in an age when records are being created so quickly with electronic data processing systems, another archival objective should be a records disposition program. Since Black Hawk is so new, the problem of space will not be an essential one for some time. However, whenever I can do so, I
plant the germ of the idea with the accounting people that we should begin to think about getting rid of routine accounting records. Registration records accumulate very quickly, so we have an arrangement with one of the local banks. On off hours, they process some of our punched cards for the registration process and print out student grades. In this way those in the general academic program who are going on to four-year colleges will have their up-to-date grades at a moment's notice.

There is also a public relations value to archives. Your local public relations officer may give you a squib in the local press now and then. At Black Hawk, we had a big spread in the press rather inadvertently. Last fall, someone offered us the Official Records of the War of Rebellion. It was a nearly complete set of this key research record which would be especially valuable for people interested in Civil War history. We got a lot of publicity and had our pictures in the paper. We have had a number of calls from citizens who would like to read the old records. I joined the local chapter of the Civil War Roundtable. You can see, therefore, there are public relations possibilities in a small college archives.

A modern archivist has the responsibility of trying to get better records created, in addition to taking passively whatever comes his way. I anticipate being able to attend all of the Board meetings. I cannot handle the official Board proceedings when they are turned over to the archives unless I attend. The archivist should gather up programs of campus events and faculty publications. I have persuaded our publicity man to channel things to me.

From a legal or a research point of view, the documentary record of your institution should be preserved. One rule of thumb, standard today in the state and federal governments, is that if a document has any legal, historical, research, fiscal or administrative value, it should be saved. This is a criterion I have established at Black Hawk College. Since I have not received much in the way of written authority to do these things, I operate in a no-man's land. I am doing it quietly, and as far as I know, I have offended no one. I am sure that, slowly but surely, if I have enough patience and tact, "x" number of years from now Black Hawk College will have the basis of a good small college archives. I hope to educate the president and some of the other administrative officers to the importance of setting up a definite records retirement or disposition plan so that Black Hawk will save a "hard core" of the basic records that are so necessary for posterity. This in a nutshell is the way I look at setting up a small college archives in a northern Illinois community.

ARCHIVAL PROGRAM: ORGANIZATION

Maynard Brichford

One of the important things in organizing an archives is to convince people that you are the college archivist, and not the college architect or college anarchist. Most people do not read about the archivist in the paper
every day. After we have organized an archives, we must communicate the reasons to the officers and staff of the institution. A statement of goals is an essential first step. Many institutions have sent a letter or brochure to faculty and administrative officers summarizing reasons and granting the necessary authorities. Illinois used a Faculty Letter. Harvard used a Guide. A 1965 Yale brochure gave three reasons why the Archives was established there. Stanford used its Stanford Faculty-Staff Newsletter. In issuing any statement of this kind, be sure to include the archivist's name, room and phone number. Once the responsibility is placed on the archivist, he should share the program as widely as possible. While archivists may operate like a library and work with history, we should have the support of a foundation. Other possibilities for announcement may include a formal action by the trustees or a letter to alumni requesting their aid.

A high priority should be assigned to informing prospective donors by letters or other means of which types of records you wish to collect. A separate letter may be sent to administrative officers, including committee chairmen. We sent one to committee chairmen, which reads, "Committee files contain most of the documentation of faculty participation and influence in university policy and administration." From that point, we went on to explain the university archives, listed the kind of things we wanted and what we did not want, and tried to get the files of the various committees. As a result of this letter, which was sent to major university committees, a number of them started the regular deposit of their records in the archives.

Special letters may be sent to faculty. One we sent to all senior faculty members of the University Senate began:

Personal papers of Illinois professors form a very useful segment of the University's archives. Letters, journals, notebooks, diaries, photographs, and manuscripts reveal professional interests and opinions which often clarify matters mentioned in the official files of the President, deans, or departments. Faculty papers relate a man's academic career to his total interests and constitute an important historical record. The University's interest in professors' papers is confined to correspondence, diaries and journals, notes for lectures and addresses, photographs, organization records and other documents which explain the development of the University and the professional and personal achievements of its faculty.

We said we were "not interested in routine financial records, research notes, published manuscripts and notices."

Another letter went to retired faculty. They are at the stage of their careers where they are thinking about archives; they frequently look back and may have a little more time to organize their materials. An interesting point about some of the files of retired faculty is that they will utilize the cover of the folder to write an explanation of its contents—a kind of hindsight that may be rather interesting at times. We contacted all of our emeritus faculty with a general letter and asked them for their papers.
I presume all of your colleges have alumni publications. The Illinois Alumni News makes good use of photographs; we have recently supplied the Alumni Office with a number of photographs of students on rollerskates, and standing in line for registration, and of other things students remember having done in their college careers. An item in the editorial section of the Alumni News reads,

There's some method in our employment of the youths' picture and the other historical photographs you see here. The University begins the celebration of its 100th birthday next February, and Prof. Brichford and others could make good use of some new old photos of the sort that alumni may possess. If you know of any U. of I. campus pictures their owners might part with, the archivist would be glad to receive them at his office in the General Library. But don't send any that need to be returned, since the expense of making copies would be too great. It may come as a surprise that there is a special shortage of good pictures of campus activities in the 1930's and 1940's. (Perhaps graduates of that era are unwilling to concede the '30's are now history). And, of course, photographs from the earliest years are in short supply, mainly because there weren't many cameras around.

This type of notice is just another example of trying to reach as many people as possible and let them know that there is a college archivist. You plant these seeds. You may not get response for a year or so, but it is surprising the way people will come in later and say, "I know you're interested in this and I'm now cleaning out the files or I have finally decided to go up in the attic."

The qualifications of the archivist may have been determined by the time the archives is organized, but he should have graduate training in history, ideally a doctorate, and preferably in American history. He should have had some general experience in library science (especially in reference or bibliographical work) or documentation systems (as a central filing supervisor, or a technical information officer). The title of archivist should be given to someone in a position of major responsibility, not an assistant who must clear all policy decisions with others. The title should belong to someone who has contact with the proper authorities. He should have both an acquaintanceship with and experience of scholarly research and writing. Familiarity with the institution has both positive and negative factors. On the positive side, it facilitates securing the confidence of staff and a knowledge of the organization. A negative factor may be a lack of objectivity by the native archivist.

Our discussion of techniques should not obscure the basic task of the archivist. He must possess the judgment and initiative to evaluate documentation and determine what should be preserved. He must know the field, appraise the usefulness of the records, note the evidential and informational values of each series and decide if it will likely be used by scholarly or administrative researchers. If it should be preserved, then he should follow the procedures that we will be outlining at this conference.
While salaries are important, archivist are neither numerous enough, nor well enough organized to command high salaries. The archivist must appreciate that the two great challenges of the archival profession, those from which we derive most of our psychic income, are diversity of the people with whom we come in contact and of the subject matter with which we deal. The best arrangement is a broad definition of the archivist's responsibilities which will permit him to work full time. If not, the portion of his salary for archival work should be identified. The salary should be in line with salaries of other academic appointees with similar responsibilities.

Space requirements for the archives include a secure stack area of from 500 to 2000 square feet, an office and clerical area of 2500 square feet and a searchroom of 250 square feet. At Illinois, we have 3600 square feet in stacks and 500 square feet for each of the other two areas. Unless your area has been designed for records storage you usually get about one cubic foot of storage space for each square foot of floor space. The main thing is to have a locked, secure stack area. You will usually be somewhere near a searchroom, or you can share a searchroom. You should get non-archival material out of the area where the archives is located and get as much stack space as possible. Archival material does not circulate, therefore you have to have control at all times. You should not admit researchers to your stack area. The standard article on how to build an archives building was written in the 1940's by Victor Gondos. There is little literature on archival housing in small college archives. Generally, archives will charge material back to the depositing office. Some archival agencies accept much more current records and have more liberal and more frequent charge-out arrangements. The archivist should be careful in accepting large quantities of current records, since he is primarily concerned with getting material protected, cleaned and into the archives. The University of Missouri has a records center or warehouse for noncurrent records.

ARCHIVAL PROGRAM: LOCATION

Kenneth Duckett

When we speak of the location of college and university archives, we are speaking in two senses—the physical location and the budgetary or organizational location: where the material is stored and to whom you report. The location of archives, both physically and organizationally, is of prime importance as it influences the growth and character of the collections and the uses to which they are put. The archivist should be consulted about matters of location. In reality, we are usually faced with an already established fact. Because new programs are being implemented and because established programs are sometimes reorganized, we will consider some of the advantages and disadvantages that certain locations might contain.

Kenneth Duckett is University Archivist, Southern Illinois University, Carbondale.
At some institutions you find that the archives are an adjunct of the president's office. It would seem that, if the archives is an administrative unit of the president's office, your budget is less likely to be a problem. It would also seem that the interest and administrative support of the president would be likely to insure the success of the archival program. We all know departmental jealousies and doubts are sometimes difficult to overcome. Some very fine historical records will never find their way into the archives if the archives is too closely identified with the president's office. It is impossible to keep individuals from screening their own files and departmental files before they are transferred to the archives. I believe that if these files were going to the administrative building where they would be readily accessible to the president at all times, that this screening might be stringent.

The public relations office or the information office is another possible location for the archives. Here the obvious advantage is that you will never suffer from a lack of publicity. The archives, under this aegis, might develop into nothing more than an elaborate newspaper morgue. I find it difficult to believe that distinguished faculty members would look forward to leaving their papers to an archives administered by or housed with the information or public relations office.

The relative advantages and disadvantages of having the archives located in an alumni office are quite similar to those mentioned in relationship to the public relations office. On many campuses, the two will be closely allied or might even do the same job. The principal difference here is that the distinguished faculty members might be even less likely to leave their papers to an archives administered by an alumni office than to one administered by an information office. While I doubt that very many archives are administered by either the information or alumni offices, there is a very real problem on many campuses that these offices will duplicate some of the archives' functions. There are pressures on them from the publics they serve to set up and hold collections of archival material. Unless the archivist makes a very deliberate effort to enlist the support of these two offices, he may find that he has two competitors on campus. And there will inevitably be duplication in the three areas. If this situation is the case, you can tactfully stress and demonstrate that you are offering a service.

Although it is rarely considered, a far more likely location for the archives than the information or alumni offices is the campus museum. This is assuming that the museum is not just concerned with art, as it might be on some campuses, but that it has also accumulated campus or local artifacts. The alliance between the archives and the museum is the second most "natural" one on campus. The museum has a natural research potential. It appears to most people as a logical depository, and it doubles your chances of acquiring collections. Finally, it solves the archivist's problem as to what to do with non-archival things that find their way into the archives--such as the cornerstones from old buildings, the freshmen beanies, the pieces of goalposts and all the other similar things.

Apart from the administrative offices mentioned, another location of the archives might be within the various interested academic departments: history, political science, sociology and education. The major disadvantage here again is the inter-departmental jealousy that is always present on any campus. The
advantages can only be those that would come from being associated with a strong
department on campus. As we all know, these strengths come and go. The present
department head may be a strong man, but when he retires, you may be in not quite
so enviable a position. Of course, an archives that is administered or housed in
an academic department should naturally receive better patronage from departmental
researchers and be held in greater respect by academic researchers in general. In
general, however, there are less hazardous ways of soliciting research use of the
archives.

I have left until last a discussion of what I feel is the best location
for a campus archives. It is the natural one and the most common—the university
library. Archives, for generations before the term came into general usage, had
been administered by the university or college library. While we all know that
there is some truth in the many tales that archivists tell about the abuses which
archival materials have suffered at the hands of librarians, the truth is that the
librarian will be the archivist's best ally on campus and sometimes the only one
who understands the archivist's concern for the preservation of source material.
Physically, the library with its rare book collections, manuscripts, maps,
broadside, photographs, microfilm and other special collections provides a
"community" of research material to which the archives belongs by use and by
type of material.

I think the ideal situation might not be too unlike what we have at
Souther Illinois, where the archives are housed in the library as a library
department with the archivist directly responsible to the director of libraries
who, in turn, is responsible to the academic vice-president. When the archives
program began at Southern about three years ago, the man picked to head the
archives on a part-time appointment was a professor of government who was working
in the president's office. The librarian felt that if this material was to be
housed in his building, he should have some control over the budget. Now the
archives has a separate budget for which the archivist is the fiscal officer.
Budget requests must now be made through and approved by the librarian.

Although location is important in the effect that it will have on the use
and emphasis of the collection, the most important factor is how well the archivist
learns to operate within the given framework in his institution. Use tact and
diplomacy. Do not push too hard. Let things take their own natural course. You
always want to remember that you have something in your favor, man's innate sense
of history and his desire to document what he has been doing. This always works
to the archivist's ultimate advantage. Unless you foul up completely, a lot of
this is just going to happen in the natural course of events and you will have
adequate support to do your job no matter where the archives are located.

Many of you may have an advisory group or committee in your organizational
scheme. It is good to have an advisory group which provides contacts with different
areas. Sometimes they can remove some of the limitations imposed by your organi-
zational location. In Wisconsin, state universities are regional centers for
the deposit of archival material, including the archives of the institution.
Other major institutions, such as Cornell University, have the university archives
and a regional history collection under one administration, but carefully disassociated from one another. It is important not to mix a regional history collection with the college archives. Religious history collections are also quite common in some liberal arts colleges. These are similar in function, but should be kept separate in operation. Archives can be physically located in many places and can be serviced in conjunction with a rare book room, but many complications can arise from joint processing, joint cataloging and joint shelving. It becomes very difficult to separate things, when or if necessary.

Anything published by your institution should be in the archives. Things that are needed for circulation should also be in the library where they can circulate. The archival copy should be preserved for all time. The archives should include copies of dissertations and theses. Accessibility in an archives is not of prime importance. People who really want and need the materials you have will find them. There are a lot of people you do not want in the archives that you might want in the general library. You want to be absolutely certain that the people who use your material have a need for it. You do not want open stack privileges for undergraduates. Librarians are always thinking in terms of making their materials available for use and circulation statistics, whereas archivists are concerned with the preservation of original materials and are anxious to make sure that only the right people use the material and use it in the correct way. If he thinks the wear and tear on the records is not going to be productive, the archivist has the right to discourage that type of research.

It is well to keep stack areas hidden, but have archival material in locked display cases anywhere you can get them. It is a good idea to keep certain materials out where they will catch the eye of the public. One of the best examples is at the University of Texas, where they have a collection of alumni publications and faculty publications in a glass area in their Academic Research Center.

CLASSIFICATION, PROVENANCE AND CONTROL: LIBRARY METHODS

Theodore Cassady

Classification is a library term. It has to do with the subjects of books. This is far removed from the present approach to the division of the official records of your institution. Classification means division into classes. From an archival standpoint, the classification system is out of date. The complexity of modern institutional records and the time elapsed in the growth of most of our educational institutions make it necessary that immediate attention be given to the retirement of non-current documentation that has sufficient legal, historical, research and informational value.

Around the time of the French Revolution, 1790, the French set up an archival system based primarily upon the classified record series of the governmental units. At the head of the French archives in 1794 were two

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librarians who set up a system of preconceived classifications. They said that records from a particular agency should be coded from A to C and from another agency from C to D. Within this agency classification, they arranged the material by subject matter and established a controlled library method. It did not work. Some subjects were taken from the agency of origin and combined with subject matter in other agencies of origin. Much meaningful information concerning the evolution of the records and the structure of the institution was lost. In that period, the librarians and the techniques of the librarian marked the beginning of an affinity in many ways between library practices and archival practices. The library influence has been part of the profession of archival science ever since.

Although classification does not work, the records of the institution should be properly arranged. "Arrangement" rather than "classification" is the terminology that the archivist should use. After we have put records into classes in relation to the institutional organization, they go into decentralized classes according to function and activity. This approach to archival retirement came from the experience of the French archives and was part of the process by which they became involved with subject matter. In France, the first thing they did to alleviate the subject classification situation was to set up the principle called respect des fonds. As a first step in correcting the inadequacies of their system, they sought to keep the fonds, or record series of the agency, autonomous and within themselves. They maintained the subject matter approach. They let the archivist or librarian have the prerogative of rearranging the records for convenience of reference and for their own use, probably according to their idea of the importance of the individual records. This too proved an unsuccessful approach.

It was as late as the 1870's that the present day approach to classification was developed in the Prussian Archives. They founded the principle of provenance which set guidelines for the arrangement of records based upon the institution of origin and upon the logical accumulation of records in sub-classes within that institution in their natural order. Being young and finding it necessary to meet the problems of present day paper work, our present American archival economy has changed many of the principles used on the continent and in England.

The principle of provenance is still a determining factor in the arrangement and collection of archives not only in public offices, but in institutions and businesses. The principle of provenance simply provided that the main divisions within the institution were to be formed by separating the records originating in the various administrative units of the institution. Emphasis was placed on the original order in the classification system. The administrative entity must be the starting point and the unit. The classifier should develop a thorough knowledge of the history and functions of the office whose records he is arranging. He must know what relation the office has borne to other offices and the relation of each function to every other function. Thus the classifier or arranger begins to formulate in his mind the true structure of his institution.

Since I am approaching this problem of classification from the library standpoint, it is my recommendation that the librarian or the historian who has an archival responsibility should prepare simple history cards, on 3" X 5" cards, with distinctive color for the major agencies of his institution, e.g., the president's office, the bursar's office, the alumni office. You start by
establishing an administrative outline of the important agencies of the institution as you classify the records of the board of trustees, the president's office, various colleges, alumni records, student records and faculty records. Based upon these classes, you will find that you have a predetermined arrangement for the retired records in your repository. With this structure completed, an analysis of the records in their individual offices of origin will be basic to all activities. This analysis involves studies of the organizational and functional origin of records to obtain information on their programs, their subject content and interrelations.

After you have your initial structural set-up based on an understanding of the history and development of the various agencies in your institution, it is well to make a study or an inventory of the extant records that have formed during the development of the institution since it is through an inventory that you can make recommendations on the retirement of records. The next step is accessioning; an adequate receipt should be given for each record series that you accept. A library type accession register can be used as a first and immediate control. In the initial stages of your work you may encounter resistance from offices which say all of the records are current. It is difficult to determine the amount of use per month of any series. The time of transfer must be determined between you and the head of the office. Accessioning calls for a great deal of tact and patience on your part.

The Illinois State Archives recommends that, where library talent is available, your initial approach to the control of accessioned documentation should be by shelf list inventory. You should index the shelf listing inventory. In smaller institutions, we believe that better descriptive techniques can be found in the use of regular 3" X 5" library card references. In archival cataloging descriptions on 3" X 5" cards follow your institutional history card and are your main entry. In archival practice, the main entry is the department of origin, rather than the subject. We use secondary cards for subject, function and date. These secondary cards are useful in reference work. We do not call it a catalog. We might even put information in the reference files that might have some other source. It is easier to tell someone where to go to get something than to explain why you do not have it. You can increase your 3" X 5" reference file by additions, corrections and deletions without setting up a control or descriptive finding media that would have to be revised periodically to meet new acquisitions.

CLASSIFICATION, PROVENANCE AND CONTROL: ARCHIVAL METHODS

Maynard Brichford

Although Theodore Schellenberg and Ernst Posner do not use the term "classification," it is useful in explaining the principles of grouping archival material. It is especially useful in explaining similarities and differences with respect to books and literary and historical manuscripts.
The foundation of an effective archival classification system is a thorough understanding of the offices which created the records. The archivist should know when the office was established, the purposes for its establishment and the authority of the body or individual that established it. He should know the constitutional, legislative or administrative authority for each major function of the office and something of its management and organizational development. While an administrative history should contain this information, time seldom permits the archivist to complete the necessary research. The essential thing is that his knowledge of the administrative history of each office is recorded in a single place in a form which facilitates adding additional information. We use a classification guide and departmental file folders for this information. Dated notes on office records-keeping practices and existing administrative files are placed in the folders with correspondence with the office staff and faculty.

The principle of provenance may be stated as the principle of grouping by source rather than by subject. Archivists deal with quantities of documents whose only common characteristic may be the custodian's decision to file them in the same filing cabinet. Record series or files are a reflection of an individual's or an office's plan to facilitate the retrieval of information and leave a documentary record of his or its activities. The librarian's books and pamphlets are discrete items, often relating to one or a few well-defined subjects. The archivist's series usually include material concerning all of the functions of an office or interests of a man.

To group by source, the archivist must first determine the highest level of organization in his institution and assign titles to these record groups. Numbers may be assigned to facilitate control. The record groups should usually be about ten to fifty in number. In large organizations, a secondary level of grouping is employed. Sub-groups at the University of Illinois are departments within colleges, which are record groups. They are divisions of our comptroller's office. In the federal government, they are often divisions within bureaus. In a small college, a secondary level may be unnecessary when the program is started. Do not over-organize, rather try to build or retain as much flexibility in your system as possible. Never underestimate the power of administrators to change their minds or to reorganize or rename everything in sight.

The third level of grouping is the record series. The series is the non-commissioned officer in the records brigade. It drills the documents in alphabetical, numerical or chronological order. A number of them are found in each office or sub-group. Their customary barracks is a file cabinet. A few mavericks may repose in desks, supply cabinets, closets, attics, old boxes and on window sills. I define a record series as a group of records or documents having a common arrangement and a common relationship to the functions of the office that created them.

Another archival principle is the grouping of like series within record groups or sub-groups. The University of Illinois segregates published series from unpublished series, policy series from housekeeping series, teaching series from research series, office file series from personal papers series. This segregation is based partly on the practices of the originating office and partly on a plan to facilitate the location of relevant series by users of the Archives.
Numbers, letters and other devices may be used to represent record groups, sub-groups and record series. The botany department's correspondence is represented by 15/4/1, its published announcements, 15/4/0/1, and the papers of a botany professor, 15/4/20. Numbers are merely a way of using symbols to shorten titles and should not limit the flexibility of your records groupings. We find them most useful in marking boxes and tabulating reference and processing statistics. If you become involved in a records management program, you may find it advantageous to use these numbers on non-archival management series.

The classification system that I have outlined is substantially that used by the National Archives and many states and universities which have adapted and developed it to meet their needs. It is a framework, which when filled with records, provides a logical grouping for the significant documentation concerning your organization. It can help you keep a neat archives, control the random accumulation of files and indicate gaps in your holdings. It should never become so inflexible as to prevent it being supplemented or modified on the basis of future experience. We retype the changes in our classification guide every summer.

This system can be made too complex for a small college or it may be in conflict with an existing plan. If so, I urge you to examine its merits, evaluate its defects and profit by its example.

CLASSIFICATION, PROVENANCE AND CONTROL: SMALL COLLEGE METHODS

Ralph Havener

I am to consider classification and control problems from the viewpoint of the small college archivist. We did not define what a small college is. Black Hawk operates under state statutes as a junior college. Four years ago it had an enrollment of about 500. The next year that jumped to 1,400. Last year we were at 2,400; and this year we are anticipating around 3,000. How long we will qualify as a small college, I do not know. But, for the most part, I would repeat what Mr. Cassady and Mr. Brichford have said in relation to classification, provenance and control because our training has been rather similar, with the National Archives as a dominating factor.

In the first lecture that I give every semester in my basic American History survey courses, I end by telling my students that history can be understood. It deals with people not institutions, animals, or inanimate objects. I try to persuade them that all you really need to understand history is a sympathy for human beings and an understanding of human nature and that you can obtain these things by what I like to call the historical w's (when, why, who) plus how.

If you are going to set up your administrative history, you simply ascertain how the administration has functioned over the years; when it was set up; who set it up and why? I think we can apply these historical w's and how in setting up a classification system. You have to have your administrative
history; there is no short-cut. You have to know how the president has functioned and how your board of trustees or Junior College Board has set policy over the years. You have to know how the academic dean or the dean of students has acted and what led him to formulate his policy decisions.

Administrators are prone to change titles, so you always have to build carefully into your classification system a large element of flexibility. In his 1956 Modern Archives: Principles and Techniques, Theodore Schellenberg, formerly assistant archivist of the United States, was less flexible in approach than in his The Management of Archives, published in 1965. In his first book he emphasized the importance of classification based strictly on the functional approach of the office of origin. In his second book, he was less inclined to advocate a hard and fast administrative history or a strict functional arrangement.

If your classification system is to have any real meaning from an archival point of view, you have to adhere to the various functions of each office. In the future at Black Hawk, I will be using a standard 5" X 8" card as a finding aid. I will also use the 5" X 8" card in some kind of vertical or Kardex file as a control for the system.

I have been assigned a responsibility, but I have very limited resources. It is hard to find free time in a college that has grown as fast as ours. I feel that in a public institution somebody has to preserve the documentation that is created. Most of the administrative officers are not historically minded. Neither are they legally oriented. One person on our faculty has a law degree, and he is the only person from whom I can get a legal evaluation of the records.

For the most complete and effective archival management, I believe that tact, diplomacy, patience, and dedication are primary prerequisites. I am doing some things on my own time because I believe that this job is necessary. To insure that the archival system has built-in flexibility, from time to time I have had to change my rough outline of how I am going eventually to set up the classification system since the new president has changed the functions of some of our deans.

I have very good working relationships with our librarians. We have four professional librarians at Black Hawk, professional in the sense that they all have master's degrees in library science. I chide them a good deal and tell them that the experience of the Library of Congress is that the breach between the librarians and archivists on how to classify manuscripts finally ended with the archival point of view prevailing. I do find that I am being called upon more and more by the librarians to assist them in some kinds of cataloging. One of the librarians had a tendency to classify books by taking what she felt were the key words out of the title of the book and from there going on to the Dewey system. As far as the archives are concerned, I am not going to use the Dewey system at any time. The librarians are beginning to accept my point of view. In fact, they are beginning to push material in my direction.

I am recommending to a private corporation the same thing I did at Black Hawk. The record group concept, broken down into sub-groups and series will be just as feasible for a business as for government. We have all heard the cliche
that private business is much more efficient than government, but I question the validity of this statement. As far as records are concerned, business is not more efficient than government.

ARCHIVAL PROCESSING AND DESCRIPTION: PRINCIPLES

Theodore Cassady

Earlier I pointed out that archival collections before the development of communications and transportation were for the benefit and use of the curator of the collection. In the 1790's, researchers began thinking about using archival collections. They thought about use from the standpoint of the government historian. This was the motivation for the doctrine of respect des fonds. This doctrine expresses the view that the contents of a series from beginning to end should be kept separate and distinct. The doctrine of the "sanctity of the original order" tells the archivist to leave the documents in the order in which he received them—if they are in any order. This is important. There is a great temptation to say that the file would look a lot nicer if a certain folder or document was in another location, but there are reasons why people put the records in their original order. Where you have an order, you keep archival material in that order. Sometimes a college archivist will receive records which have just been thrown into a basket.

Archivists initially decided upon a subject-matter arrangement to appeal to the historian and the researcher. This system did not work because the accumulation of records of institutions was so great that their many needs extended beyond the occasional use of a subject file to the material on the department of origin. The principle of provenance or organization by source then took precedence over the doctrine of respect des fonds and subject matter arrangement within the group. A large portion of the use of institutional records in the archives, will be by the department of origin. The historian has also found that the diversification of documentation requires the functional organization of materials. These principles of the past are used primarily to show how curators of manuscripts, documents and archives have attempted to arrange their records to meet normal use.

The archivist's primary objective is to locate official records and, in consultation with the historian, select and appraise the available records, decide which ones are non-current or of permanent value and give them safe custody for present-day use of the department of origin and for future expected use of the historian and researcher.

This is a task that cannot be done overnight. It needs dedication. It needs consultation. It needs tact, money and every device you will have to use. In the state of Illinois, the archivist started with a desk and a chair. She was Miss Margaret Norton, a librarian, and she provided the foundation of our finding system. For thirty-five years she dedicated herself to the basic recommendations on the retirement of records made by the American Historical Association. Most archivists do not have this type of guide; rather, they have the guidance and
counsel of their board and the legal advice of the college's attorney on records retention. You are in a new field and you do not need to feel handicapped, because academic archival practices are still in their early stages. It is not too late, but in fifty or one hundred years it will be much more difficult to develop a documentation system. I am suggesting that the experience of the past should be applied to the modern-day responsibility of catering to the future needs of the historian and administrators. In addition to cultural accomplishments, economic accomplishment through reduction of paperwork can make the archivist's job serve a double function.

**ARCHIVAL PROCESSING AND DESCRIPTION: PROCESSING**

Kenneth Duckett

For sixteen years, I have been processing what I used to call manuscripts and what I now call archives. It is basically the same material. Lucille Kane's 55-page *A Guide to the Care and Administration of Manuscripts* contains the basic story on how to process manuscripts. The Guide would not help you in processing archives that you receive in good order, but it would help you order things that you receive that have been hopelessly jumbled.

Good archival theory dictates that you maintain the records you receive more or less in the order you receive them. The theory is that the people who created the records knew what they were doing. They were able to use the records when they created them. They were able to find what they needed. If you receive records in their original order, especially if you receive them with finding aids, it is senseless to start making some rearrangement. It takes a lot of time to get them out of order and then make another finding aid. Archivists decided the only way they could do anything with records was to do as little as possible. I do not know whether they did this because they were intelligent and developed the theory or whether it was just that they were faced with paper that was accumulating at a tremendous rate.

Administrators might say, "Why do you have to spend all the time you do 'processing' what you have?" There are some very basic things that you have to do to records even if you do not do any rearranging and description. One is to remove all metal from the collection. Paper clips have been the chief offender in the past, but "metal" also includes the blue steel "alligator" clip and binder-type metal posts. Files clerks delight in using all these things. Where records are grouped together for a reason, replace these means of holding records together with rust-proof staples. This takes a lot of time, but it reduces the bulk of the records, particularly if they have these post clips. You may end up with about a third more space than when you started and you will have gotten rid of items that will rust and destroy your paper. A paper clip will rust under certain conditions almost in a matter of days. After twenty years of storage in a damp basement, the rust will eat through the paper. I have not seen stainless steel and plastic paper clips. In any case you still have the problem of bulk. You should also eliminate rubber bands from the records as quickly as possible and try to scrape the hardened pieces.
Another very basic thing you will be confronted with if you start handling many records is Scotch tape. If you talk to the people who create the records of the various offices and discourage them from using Scotch tape on their file folders, in the scrapbooks, and in all other areas, you will have performed a major service for your university. Within two to five years, Scotch tape bleeds off into the paper and you are left with a very nasty oily stain which is impossible to remove. If you can peel the tape off, the sticky residue on the top of the paper can be cleaned off with carbon tetrachloride although it must be used in a well-ventilated place. The stain, however, will be down in the paper.

You are also going to encounter plain dirt. Dirt is the most common enemy of paper and a great deal of processing time is spent trying to remove it from old records. Ideally for preserving records you should have facilities similar to those of the National Archives which include processing rooms. They have specially constructed bins where material is unloaded. They have machinery for removing dust and vents for circulation. Most of you will not be fortunate enough to have the money for a cleaning room, but you can invest $15 to $18 in a portable vacuum cleaner which will remove much of the dirt. A very simple help, the old art gum eraser, is still the best stand-by for cleaning those single sheets of dusty, grimy, but extremely valuable paper. Some people use wallpaper cleaner, but I have not had much luck with it.

The National Archives also has fumigation tanks. There is no cheap substitute for fumigation, but I do not think many of us expect to have such facilities in our archives. I estimate that it costs from $3000 to $5000 for a fumigation chamber which is perfectly air-tight and which would enable you to pump in lethal gas for a certain time. Also you must have a way of completely exhausting the gas. A special location for getting the gas piped to an outside area is also necessary. Fumigation destroys all living matter. It is important in processing older documentation that has been stored in bad conditions and is subject to vermin. You need only remember that if you are bringing records in from outside you may also be bringing in silverfish and other things. Since your facilities will probably be limited, you should make arrangements to have your area professionally fumigated every so often. Sometimes, however, professional pesticide companies use chemicals that are more harmful to the records than to the vermin. They may spray kerosene, which spots paper and creates a fire hazard. Poison meal can kill many cockroaches and silverfish, but a lot of damage will still occur. Once a month the University of Illinois sprays all around the exterior of the archival storage area. They use pressurized cans of Johnson's "Buggy Whip" which they also use on accessions and areas of likely infestation.

Another thing you would find in a well-equipped processing room is a humidification tank. You are going to encounter documents which have been folded, and are dried and brittle with age. You can make a very simple humidification tank with a new twenty gallon garbage can with a lid that fits tightly. Put a shallow dish in the bottom of the can and put a little water in the dish. Soak a good-sized plastic sponge in the water, put it in the dish and put a screen over the sponge so that the documents will not be touching the sponge. If you put enough paper in to fill the can and close it tightly, leaving it overnight, by the next morning the documents will have absorbed enough moisture from the sponge to be
pliant enough to work with. You can then put them in a press or under book weights to flatten them out. This really does work and you will be doing with a few dollars what the National Archives does with several thousand dollars worth of equipment. Humidification will work on everything except parchment. If you have parchment that is folded and creased, only a document restorer can employ the involved process of flattening.

Humidification will also not do anything for the dry and brittle folders you may encounter in any collection of papers. These folders must be replaced with a good grade of manila office folder. You will hear discussions of de-acidification, the acid content of papers and the advisability of buying acid-free file folders. Since about 1870, paper has been made with sulphuric acid. Prior to that time, the rag content in paper is very nearly pure. The modern paper-making process does not get all the acid out either. People in various phases of our business have been discussing acid-free folders and boxes. Most of you, however, are going to have limited budgets and are not going to be able to buy many of these refinements. You should get a good, first-class, ordinary, heavy manila file folder made by any standard office supply company. That folder is going to last a long time and it will not impart a lot of acid to the papers you are preserving. Also most of the things that will end up in the archives will be just loaded with acid content. It seems a little foolish to be terribly concerned about the folders in which you place the papers. Whether the folders are acid free or not, the papers are going to disintegrate before the folder does. If you are concerned, you should be concerned about a much larger problem--the destruction of all post-1870 paper except specially prepared sheets. If you have a little extra money for buying acid-free folders, use the folders for very old and precious things that you want to give special treatment.

The archivist does not look upon scrapbooks with fondness. The paper that is commonly used in scrapbooks falls apart after ten or fifteen years. If somebody puts something in a scrapbook, they are putting in sulphite paper that is going to rot about as quickly as the scrapbook. A scrapbook is not the way to preserve anything. If something is of real value then you can microfilm it. Permanent documentation should be recorded on permanent-type paper and housed in permanent folders and boxes. As soon as possible after processing, archival documentation should go into permanent, acid-neutral type folders. In the long run this is the least costly, because such a folder will have ten times the life of a folder that is not fully rag and reinforced.

A box that has been developed over the years for record storage which has become very popular with the National Archives, state archives and college and university archives is the Hollinger Corporation's fibredex document case. It is an acid free carton with the advantage of having metal-edged corners so that there is no paste used to attract vermin. The dimensions of the letter-size box #12510 are 12 1/4" X 10 1/4" X 5" and it costs from $.58 to $.85 for quantities of 20 to 2,000. Hollinger boxes are also available in a 2 1/2" width and legal and pamphlet sizes. The standard box or a special version may be stored flat. It is a good box, but there are cost disadvantages in using this box for a large quantity of records unless you have a fairly large budget.
The other type of box that has been developed is known as the records center box. The design used at the University of Illinois can be assembled without staples or gummed tape from a knocked-down box. This box with 15" X 12" X 10" inside dimensions is designed to take letter-sized file folders one way and legal-sized file folders the other way. It holds about a cubic foot of records and costs about $.27 to $.30 in quantities of 500 and 2,000. Ease in transporting and simplicity in assembling are important advantages when handling large volumes of records.

Southern Illinois University uses basically the same type of box as the University of Illinois. It has the same dimensions and the same advantage of being able to be made up without tape or staples. The box, however, is assembled in a different way than the one used at Illinois. There are little slots in the bottom so that you have a double wall on the two ends. It has a hand hold in the end, which is useful. It provides better protection in that it has a lid rather than slotted flaps. These boxes will stack very easily. They can be stacked four or five high. Many box manufacturers have gone into this market. Ready-made "Miracle" boxes from the Paige Company cost from $.55 to $.93 in quantities of 50 to 2,500. Banker's Box Company makes the "R-kive" box for $1.20 in quantities of 12. Records center boxes are not acid-free, but neither are the Paige or the other commercially-made boxes. The Illinois State Records Center uses a stapled box which they buy in quantity for about $.15. The Illinois State Archives uses records center boxes for scheduled records which are put in a records center until they are eligible for destruction. After a couple of uses, this most inexpensive record center box is disposed of with the records. The Illinois State Archives uses steel cabinets rather than document boxes for archival material. Steel cabinets have specifications so that they have a drawer life of 200 years with maximum load. Cabinets may be difficult to obtain, but they are worthy of your consideration.

Illinois archivists can visit the State Archives in Springfield where they can see a fumigation chamber, a cleaning-blowing arrangement and a photographic laboratory. You may look at records center boxes in the Illinois State Archives, at Southern Illinois University, at the University of Illinois, at the Federal Record Center in Chicago, or the Leahy Company Record Storage area in Elk Grove Village and decide which one you like best. You should then see if you can get on a volume order that will get the lowest price. There is not much profit in making records center boxes at 29¢ a box. You can cut out the marketing, give the manufacturer the dye and tell him what kind of box you want. He can produce the boxes and then ship them directly to you.

I have the specifications on the box used at Southern Illinois, which is made by a St. Louis firm. By the time you ship boxes over a few hundred miles, you lose any financial advantage you might have gained. It would be cheaper to take a plan of the box you want to your local box company and find out what it will cost to have them made. The National Archives will have the specifications on the box they use. A box company will probably be your best source if you need only ten or twenty boxes.
The Hollinger or records center type boxes are both designed to store records on edge, a method frowned upon by curators and collectors of rare manuscripts. Boxes which provide flat storage have always been more acceptable for rare materials, principally because it is difficult to keep documents from buckling if stored on edge. Ideally, flat storage is still probably the best way, if you only have a limited number of things and they are very valuable. With the quantity of material that you handle in an archives, most of the boxes can be packed tight enough so that the material stands upright and there is no buckling in the cartons. And if you get a box that you can not fill, it is easy enough to make a folded piece of cardboard that takes up the extra space and holds the records up.

In processing, you should open and clean the containers and flatten out folded records since every time something is folded and unfolded you have decreased its life. If you have to humidify records to get them flattened out, you should do so. Remove the paper clips, rubber bands and other extraneous things and use rust-proof staples in place of them. Old brittle folders should be replaced with whatever you can afford to replace them with. You can do a fairly good job with standard equipment that you could buy from any office supply company. You may later have funds and time to replace these things with refinements.

A map filing cabinet is an extremely expensive item, but if you have access to a supply store that sells sheet cardboard or poster board, you know that they come in some very strong boxes. By storing these boxes on a couple of double-faced shelves piled two high, you can keep a map collection convenient and protected from dust and it will not cost a cent. This is at least a suitable substitute until your budget allows for a map case.

The archives holdings should reflect the organization of your institution, but this is a constantly changing thing. Offices, titles and functions are being rearranged and you can not continually move your materials to fit revised plans of university or college organization. Neither can you continue to change your record groups although they should maintain some flexibility. At some time you have to settle on an arrangement and then provide your flexibility by a series of cross references or some other way. You can not keep up with every minor change in your institution or you will not be doing anything else.

The University of Illinois shelves by record groups, trying to keep each record group in the same area in numerical order, but has to deviate from this for large series like 214 cubic feet of old admission folders from the Registrar's office. They put such series in a separate area, because they can not be moved into a few shelves. They have a place for location on the control card. When the record series is not in numerical order, they enter its location by range and section number. Every institution develops its own way of showing location. Some people place each accession right after the preceding one and assign it a control number. If space is a crucial problem, this is at least a possibility as long as your holdings are relatively small. This system makes it a little difficult when you have users who want
to see several series of records relating to one organization. Then there is a distinct advantage to having the publications, files and the faculty papers of one office fairly close together. You can bring in a truck and take out what you need to service the questions much more quickly than you can if you run around checking the different accession batches. This is somewhat wasteful of space in that you must provide space for the expansion of each record group.

Archivists usually have good memories. There is a tendency to rely on that memory when you have a small collection and not to record where it is and what it is. When someone asks you about it, you know right where it is on the shelf. That is the way most offices are; no one has a really good guide. He just knows he keeps it in that stack. In a professional archival approach it would be well to write down what you know and keep a record of where things are.

ARCHIVAL PROCESSING AND DESCRIPTION: DESCRIPTION

Maynard Brichford

As the archivist processes record series, he should be preparing a description. In writing the description, he should stress those characteristics which prompted him to preserve the series. The description may be in several formats such as sheets, cards or labels. The only essential descriptive record is a separate basic card or sheet for each record series. This is a primary finding aid. Other findings aids may be prepared as need and time permit.

The National Archives publishes preliminary inventories or descriptive listings of series in a records group. Special place or subject indexes are included as appendices. In some instances, the indexes are published as special lists. Descriptions of material on a subject which may be found in a number of record groups have been published as reference information circulars.

At the University of Illinois Archives we use the following system:

1. We attempt to locate any file guides or existing descriptions of the record series. These may be the basis of, or a substitute for, the finding aids which should be prepared.

2. We begin taking notes on the significant content of the file or papers on a pad. A typical note will list types of documentation, classes and names of correspondents and important subjects. For office files, we show inclusive dates on the folder label. For private papers, we are more likely to write brief paragraph descriptions of the individual's connection with the activity recorded in the folder.
We do not make calendar listings of all documents. Letters which summarize the subject matter content of the folder, give a particularly graphic description of a man or event, or which are from important people, are noted as to content and date.

3. As the processor boxes the material, he notes box divisions on his draft supplementary finding aid or prepares a separate label list showing record series number, title and inclusive dates and the specific beginning and ending file designations and dates for each box. If items are too large for the archival container, the processor completes a cross reference sheet which refers the user to the record series number in the over-sized file.

4. When the processor has finished his work, the archivist edits the notes on the pad for clarity, accuracy and completeness. They are then typed as a supplementary finding aid.

5. The supplementary finding aid or notes provide the information for a summary description on an inventory worksheet, which is an 8 1/2" X 11" form with blanks for entering series number, series title, inclusive dates, volume, arrangement, reason for creation, subject or informational content, office of origin, accession date and control number. The main part of the worksheet is a narrative description of the potential research significance of the record series. Information contained in the supplementary finding aid is evaluated, condensed, combined and arranged in a standard manner to provide a brief description of the major significance of the series. For most publications and small record series, we usually have only an inventory worksheet. The worksheet shows the physical character and source of accessions and may contain more information than the control card.

6. A control card is the final step. It is prepared to serve as the basic listing of the Archives' holdings and is the first document seen by the patron seeking material on a subject. One should plan to duplicate these cards for any complete listing of holdings. The University of Illinois has found them very useful in supplying listings to the Library of Congress' National Union Catalog of Manuscript Collections and for providing photocopies to explain holdings to prospective donors and users.

As we do not make subject indexes for all of our record series, we rely on the indexes made by the creators of the records. The annual and cumulative subject and name indexes to our printed Trustees' Reports, the index in the annual Illio, the university calendar, and an alphabetically arranged reference subject file all may assist the researcher who does not know which organizational unit may have filed material on his subject.
A manuscript curator makes subject cards not unlike those you have in the library. In a manuscript collection that is under rigid control, there are subject headings just like those in the Library of Congress book catalog. There are all kinds of variations and you can adapt these to your own time and needs. You may have time to make four- or five-page finding aids or prepare subject cards from your inventory sheet. A group of cards may ultimately give you fifteen or twenty references to various inventory sheets which would then in turn refer people to the larger bodies of material. These techniques can be refined in many different ways, using ideas from several different fields depending on your time, money and ingenuity. The Illinois State Archives uses analytical cards where a specific card describes a specific document within a series when the cataloger knows that this document might be called for or has special value. They use the library type analytical card to supplement subject, function and date cards. Finding aids and descriptive processes grow with the need.

Whether an archivist has a professional staff, student assistants or must do it himself, he must establish time standards for processing his material. A mental whip must make him always conscious of the necessity for both speed and accuracy. He will never have enough time for processing and describing his holdings and must, therefore, apportion his time in the light of his goals. One homogeneous series of thirty to fifty cubic feet may be boxed and described in an afternoon. An average office subject file or collection of organized papers may be handled at a rate of three to five cubic feet a day. A disorganized, but valuable, mess may require as much as ten hours per cubic foot. Specific costs and rates for office operations can be found in a Navy pamphlet on estimating office costs.

On the whole, published series are easier to process. Easy to read, their tables of contents and title page provide essential information on content and provenance. Photographs may be a very time-consuming problem if identifications are lacking or inadequate. Sound recordings are relatively easy to process if they are identified and the archivist is content with preparing indexes. If transcribed, they are time-consuming and expensive. We spend most of our time on the preparation of supplementary findings aids---300 pages last year. The emphasis in a supplementary finding aid depends on the type of research for which the series will be used. The college or university archives do not get a great number of requests for specific data like names, dates and amounts. Our steady customers are working on seminar papers, course papers, dissertations or research projects. As they want to know about a series of events, a period of time or a subject, we find it very worthwhile to have secondary approaches to materials.

RECORDS MANAGEMENT: DISPOSAL SCHEDULES

Ralph Havener

According to archivists, there are three ways that you can dispose of records. One way is to destroy them outright, either by burning, shredding or selling as scrap paper although this is sometimes risky. (The Library of Congress
once found itself buying back some records that it had put up for disposition). A second way is to deposit those that have been judged worthy of preservation in the archives. A third alternative is deposition in a records center where they will be kept for a temporary period.

There are several standard definitions of records. There are also several kinds of materials that are non-records, that you can dispose of without any particular authorization. In colleges and universities, we find that financial records of various kinds often represent a rather large bulk of material. The academic records, which are our main business, are often voluminous. Correspondence sometimes will also occupy a large amount of space. You sometimes have the problem of people in charge of records who have a tendency to hold them tightly and say, "these are my babies and don't you dare try to do anything to them."

A standard way to dispose of records is to have a records committee. If you have a legal adviser you certainly want his advice on statutory regulations and other problems that might be involved. Your school comptroller, should be a member of the records committee to protect financial records. A high level executive officer, a president or a vice-president, or one of their representatives, should have an administrative voice in the disposal of records. You might also want a librarian, a school historian, a history professor, a political science professor, or someone who has a respect for records and their research values. You can channel your recommendations through this committee. You can devise forms for records disposal authorizations and standardize this procedure quite well.

Records management involves what some people refer to as a control of records from birth to ultimate death or destruction. You want a cycle so you can chart a record's path from the time it is created to its ultimate destruction. A program can fall on its face if you are not specific in setting up records disposal schedules. A record has to be identified concisely. There are a number of standard terms for routine records, such as accounting records, payroll records, or the transcripts in the registrar's office. The descriptions should be quite clear. The dates should be specified and the wording should be carefully arranged so that all the persons on your records committee in addition to the archivist or records manager know exactly what is involved. After years of experience, states and the federal government found that the wording of retention periods or destruction procedures sometimes had a tendency to boomerang. Several times I have discovered that officials have destroyed more records than they were authorized to do. Conciseness is a word that I would stress in any kind of records disposal schedule.

If you are a public institution, there are a number of statutory regulations with which you must comply. Some of you will operate under a state records act and a local records act. These laws set up records commissions to perform a specific function. The State Board of Education now has a special group for junior colleges, and I am watching the operation of that group rather carefully. I hope that in the future they will come
up with a records program, at least for the retention and disposition for certain kinds of junior college records. Public funds are used for these programs, and I think the archivist is not remiss in his duties if he makes of himself a self-appointed watchdog.

Record disposal schedules can serve as a type of protection. If unauthorized destructions of records occur, it can sometimes embarrass administrators, financial officers and other people involved. If you have a disposal schedule that authorized you to destroy the records, and the process went through the proper channels and has the signatures of the top-level officers affixed to it, you are in a good position to justify destruction of the records. Schedules are your protection and also provide a logical progression for records during their total life cycle.

There are different types of schedules. The general schedule can apply to a particular form or type of record. Some archivists distrust general schedules. The general schedule says Form 7, wherever it may be found in an organization, may be destroyed after a certain length of time. In the state universities of Wisconsin, archivists found wide variations in retention periods for the same record in different institutions. One registrar may differ from another registrar in his attitude toward records keeping, but a lot of the variations were due to the fact that identical records in different locations are used for different purposes. This is sometimes lost sight of in the process of scheduling. A voucher in one institution may serve as a property control record, while in another it is just a stage in the disbursement procedure. You will have to be careful in issuing broad edicts that a certain type of record may be destroyed after a standard retention period.

Specific schedules deal with more unique records. Some retention schedules specify only the time period of the retention while others specify the location of retention. You may include a long list of record series that you want to destroy on a one-time basis. It may cover all records prior to 1940. If you are going to keep things under control you will have to inventory what you have. After you have made your inventory you should appraise these various records. You then should prepare a schedule. In your schedule, you can state "retain a record series for five years and then destroy." You may wish to give yourself an additional leeway with a proviso such as "provided that Public Law 15 is complied with" or something of this nature. Over a period of time you will be able to bring all of your records under control. These schedules should be reviewed occasionally to see that they are being complied with. Quite often the schedules are permissive rather than mandatory, so that if an administrative officer receives notice that he should destroy a number of records, he may file the notice away and forget about it. A certain amount of follow-up work is always necessary when you are setting up a records disposal or disposition program.

The Illinois State Records Commission considered schedules prepared by the University of Illinois and Southern Illinois University, but the attorney general ruled that state institutions were subject to their boards
of trustees and were not agencies under the State Records Act. If there is no statutory authority for the disposal of the records of public universities under the State Board of Higher Education or the Junior College Board, we may assume that these institutions should not dispose of any records. Since the authority for disposal is with the governing board of the individual institution, it should decide policy regarding paper work control. Records disposal procedures will separate routine fiscal records from permanent records and facilitate their prompt destruction so that the archivist can give attention to his permanent records.

It would be very helpful if Illinois institutions would exchange information. While there is no formal way of doing this, it has been done. The University of Illinois business office has a records disposal schedule. The business office at the University of Chicago has a records disposal schedule. Some of you also have one. The University of Illinois had a records disposal schedule for records disposition when the Chicago Circle campus moved. It was designed primarily to facilitate the destruction of records at the time of the move (an ideal time to evaluate, appraise and destroy). While there is no state statute, we can exchange information. The statute of limitations in respect to contracts and the obligation of an academic institution to maintain its records are common considerations. These have been ruled upon by courts.

You find administrators who say, "I need those vouchers, but my correspondence is not worth anything." When he writes a policy, it is something he has made, it has served its purpose and he does not need it, but a routine fiscal document is an obligation and something that the auditor might question him about. You have an objective perspective which you should bring to bear on the administrators.

You could raise the question of what the university's obligations are to its graduates to maintain their academic records. In some states, courts have to determine what the obligation of educational institutions for the maintenance of academic records is. I do not know about the policies at accrediting associations. In the area of fiscal records, you have the state statute of limitations. Colleges which go out of business can turn their records over to the Superintendent of Public Instruction. It is the duty of the archivist to see that the unauthorized destruction of institutional records does not continue.

RECORDS MANAGEMENT: MANAGEMENT SAVINGS

Kenneth Duckett

A whole new records profession—that of a records management consultant—has grown up in the last ten or fifteen years. Only a records management consultant who has had considerable experience can
talk convincingly about the amount of clerical time that can be saved by transferring non-current records to the archives. Such figures are likely to be more impressive to administrators than to the secretaries and the file clerks who create and service the files. However, it is most important to have the cooperation and the goodwill of the latter. Although you may have difficulty convincing them that time is saved in the abstract, a practical demonstration of what you can do for them will do wonders.

I would suggest that, if you are going to start a records disposal program, you avoid expending your energy on many different offices. After your survey, you should concentrate on one office. This might logically be the President's Office, but it might well be a secretary in another office to whom the others look for guidance. Find one secretary or one file clerk who has the respect and goodwill of others on campus and then begin working with her and her records. If she has this kind of prestige, she is probably also intelligent and will grasp the advantages of the system that you propose. If you can demonstrate that the transfer of records to the archives for retention or regular disposition will make her job simpler and easier, the word will soon get to other offices.

While she may be most cooperative, the method of filing records in the office may hamper your work. If your experience duplicates mine, probably the greatest need to be filled is to get secretaries and filing clerks to set up file breaks. This is nothing more or less than starting new folders at set, periodic times. Since most records disposal schedules will be based on retention for specific time periods, the records must be filed in chronological periods. (Otherwise, when you study a series of records to consider their disposition, either transfer to the archives or destruction, each individual folder has to be scanned and studied for a time span.) You should attempt to convince secretaries and file clerks that they should start new folders in their subject files for each fiscal year for business records, for each calendar year for correspondence. Then when you say, "Keep everything in your office that is three years old, and transfer to the archives all correspondence that is over three years old," you have a way to retrieve a block of records without having to scan each individual folder and file.

Those responsible for creating university filing systems may resist suggestions by records management consultants on the ground that records management techniques have largely been derived from the study of government and industrial records. It is true that academic records differ from business records, and that there may be considerable difference in the patterns of information retrieval. As most university administrators have grown to expect their secretaries to be able to hand them any piece of paper they want from the files in a five-minute period, subject classifications with elaborate cross references are more or less the rule in academic offices. For such files, you will find fewer file breaks than you would find in a comparable set of business files.

College administrative officers have organizations which hold conferences and discuss records management. Their orientation is often toward the destruction of records. If your business office decides to keep their records until the fiscal responsibility is satisfied and then destroy them, you should be alert to what they are doing.
If you are trying to establish a records management program, the best selling point that you have with your administrators is the saving that you can achieve in space and equipment. This can often be quite dramatic. An area of 25' X 18' would hold 80 five-drawer letter-size file cabinets placed in a back-to-back arrangement with an additional range against each wall and a minimum aisle for opening drawers and servicing records. Most letter-sized file cabinets will hold about two linear feet of records per drawer; these cabinets full would hold a total of 800 linear feet of records. If each cabinet costs $80 you have about $6,400 invested in equipment.

Under similar ideal conditions 800 linear feet of records could be housed in 640 record center boxes or 1,920 Hollinger boxes. If you round these figures off at 700 and 2,000 to allow for wasted space when you are boxing, the record center boxes would cost $210 and the Hollinger boxes would cost about $1,200. You can estimate about twenty-five Hollinger boxes or eight record center boxes to one five-drawer file cabinet. In order to estimate space costs remember that a letter-size file cabinet drawer holds about two linear feet of records. A record center box holds a cubic foot. The Hollinger box holds about a third of a cubic foot.

In the same 25' X 18' room, you could erect five double and two single rows of regular library shelving, each row with six units that are seven and a half feet high by 36 inches wide by 9 inches deep. Such shelving is not ideal for archival storage, but you may not have sufficient volume or funds to order special utility archival shelving. Continuous shelving is best and double shelving is much more space-saving and easier to service. Library shelving will hold a Hollinger box on a 9 inch shelf. It hangs out, but not enough to cause any great problem. You can fit a record center box on the shelf sideways. One unit of library shelving will house forty-two Hollinger boxes or fourteen records center boxes. Figuring shelving at $35 a unit with $5 for installation and using very generous aisles, the library shelving that would fit in this 25' X 18' room would cost $2,800 and hold 1,008 record center boxes or 3,024 Hollinger boxes. Using these figures we can see it would cost $8 a linear foot to house records in filing cabinets. If you use ordinary library shelving and the Hollinger box, which is expensive, you will pay about $3.70 a linear foot. Thus it takes about $15 worth of Hollinger boxes or about $2.50 worth of record center boxes to house the same amount of material that you house in an $80 file cabinet. It comes down to a considerable saving—which may be very impressive to a college administrator.

RECORDS MANAGEMENT: FILING SYSTEMS, FORMS AND SUPPLIES

Maynard Brichford

Records management has many other advantages beyond records disposal for both administrator and archivist. Records management controls on the creation of records have been termed "birth control." With the paperwork explosion exceeding the population explosion, such a control is necessary.
It is a relatively simple arithmetical exercise to demonstrate that the savings of a records management program can equal the archivist's salary for several years. It may be another question whether the archivist wants to undertake a job as records manager, but he should at least know about the possibilities. Other than record disposal schedules, filing systems are probably the most productive area for the archivist's interests.

Properly designed filing systems facilitate the work of the file supervisor and file clerks, make the file of greater use to the administrators and the researchers and enable clean, chronological file breaks for the transfer of inactive files to archival custody. A basic part of a good filing system is a file guide which contains a delegation of responsibility to the file supervisor, clear statements of filing procedures and rules and a current list of file headings. I have on several occasions recommended alpha-numeric subject file systems to university offices.

Lest you think that a concern with filing systems is beneath the dignity of the archivist or foreign to his nature, you should remember that many of the problems we have discussed are created by poor filing systems, all of which may eventually come into the archives. The more people we can persuade to establish file guides for their current files and to keep metal paper clips, rubber bands and scotch tape out of the files or to take them out at the time they move the files to an inactive storage area, the simpler our job is going to be when we eventually receive the material in the archives. File supervisors should be urged to destroy routine transmittals, acknowledgments, notifications, form letters and sales and promotional literature before they are filed or when active files are moved to an inactive storage area. This simplifies the "weeding" operation later on. Controls on filing systems which reduce the filing of duplicates and the use of materials that damage paper can save considerable time for the archival processor.

Another area of good records management is the matter of responsibility. Though files management is an important item in office costs, it may be difficult to find anyone who will admit that he is really responsible for the files. The department head often points to the secretary and the secretary points to her predecessor. The archivist should encourage office personnel to accept responsibility for maintaining neat and efficient files. Our archives have called on all departmental secretaries and left filing manuals and literature with a number of them.

Good forms are the result of good systems analysis and good procedures. To the extent that they are efficient and informative, they are useful conveyers of information to administrators, clients and researchers. A forms management program seeks to eliminate unnecessary forms, combine similar forms, simplify forms to make them more efficient, standardize forms by function and apply design techniques to get attractive forms at the lowest cost. There are a number of works on forms analysis and forms design which will guide the amateur. A forms control file will prevent duplications and the creation of unnecessary forms. The archivist should encourage all such attempts to improve the quality of the documentation in his institution.
When we protect and preserve records, we really protect and preserve information. When we retrieve records we locate and provide information that we have previously committed to an organized filing system. As archivists, we will receive the most startling requests for information. While some of these requests do not and should not require much of our time, they all help to justify our positions. As information specialists we should keep in close touch with administrators, IBM programmers and others who are designing new information systems in our institutions.

A good archivist-records manager is not only interested in improving office record systems through the use of functional equipment; he also has a weather eye out for his own department. (Not the least important among free acquisitions of our archives are 21 chairs, 10 tables, 20 file cabinets, 26 transfile stacks, 9 Kardex files, 1 3 X 5 card file, 1 microfilm storage cabinet, 2 map cases, 1 disk recording storage unit, 4 exhibit cases, 4 book trucks, 1 bulletin board, 1 record player, and 1 floor fan. This is equipment management.)

PRESERVATION, SPACE AND EQUIPMENT: REPAIR AND PRESERVATION

Theodore Cassady

By the time you have completed your inventory and begun accessioning non-current record series, you will find that the results of haphazard storage have placed many documents in a state of disrepair. The ravages of time and use, the inroads of vermin and pests, the occurrence of mildew where conditions have been too humid, or brittleness of paper that comes from high temperatures, will all take their toll. Much of the damage to documents is caused by tearing or folding (which usually is increased by someone who used adhesive tape to repair damages). The tapes eventually cause more damage than they correct. I do not want to overemphasize the problem of care for small archives collections, but I think it is necessary to call your attention to some recommended precautions. Provisions should be made for cleaning, either through vacuum or dusting methods. Precautions should be taken to fumigate the documentation before placing it in your storage area. At the Illinois State Archives we use a liquid fumigant which converts to gas with a slight temperature increase and pressure, and this is capable of killing all living insects in the course of a twenty-four hour period. This fumigant is made of 70 percent iron dichloride and 30 percent tetrachloride. Under most conditions this system could not be used because of the restrictions on the use of tetrachloride. We exhaust our fumes on top of our building to avoid affecting humans. There are fumigating substitutes and I think the recommended insect repellent used periodically should be satisfactory.

One of the substances having the most disastrous effect on the life expectancy of a record is sulphuric acid. It causes paper to turn in color, and to become brittle and fragile. It is your responsibility to make every
effort on a priority basis, to see that the documentation you receive is restored to usable condition, that is, provided it has certain inherent qualities that make it desirable to be kept in its original form. Prior to World War II a laborious system was devised for the restoration of documents by using a product called Japanese silk. This was put on both sides of a document by applying cold water and wheat or flour-water paste. This was considered quite acceptable at the time Japanese silk was available. During World War II, a synthetic, crepeline, cover was introduced. We have found that after a period of ten to fifteen years, crepeline became brittle and lost its usefulness. In fact, at Illinois, we found we had to remove it and re-laminate the documentation. It was discovered that an alum content in the adhesive caused this brittleness and disintegration.

During this wartime period, William J. Barrow of the University of Virginia was experimenting with what is now called the Barrow lamination process. This process involves making a "sandwich" of cellulose acetate to cover the document. Under heat and pressure the cellulose is made an integral part of the document. Aging tests show that the document's life is increased from 200 to 300 years. Barrow later improved upon this process by adding to the sandwich a tissue which gave tensile strength to the document. We now believe that this is the most successful system for adding an appreciable number of years to the life of the document that you wish to keep in the original. Barrow also added to his process a means of neutralizing the sulphuric acid content of the document. It is now recommended that documents and manuscripts be placed between screens and immersed in a bath of calcium hydroxide for approximately twenty minutes. Calcium hydroxide neutralizes the sulphuric acid content and makes the document less acidic prior to its being laminated. A second immersion in calcium carbonate adds a bicarbonate residue to the document to give it added strength and body. There are a few precautions to take in this deacidification method. We know that in certain periods of time, especially around the 1860's and 1870's, many inks were water soluble so you should spot check documents in this period before immersing them.

We know that setting up lamination equipment in small institutions is practically impossible since a minimal estimate for a restoration laboratory is $20,000. I understand that the General Binding Corporation of Northbrook has come out with a simplified plastic lamination process that can be adopted to the use of small repositories. Although our lamination laboratory or restoration laboratory is mainly for priority documents of state agencies, I have the permission of the Secretary of State to laminate particularly important historical documentation found in Illinois institutions. In our restoration laboratory, we have set up spiral binding equipment that makes it relatively simple to restore simple binding to documents.

Before trying new restoration processes, you might write Harold Tribolet of the Lakeside Press in Chicago, who is one of the best professional restoration people in the country. His article, "And All the King's Horses," will give you helpful advice. He has said that many commercial preservatives may do more harm than good. If you cannot afford to have a professional take care of crumbling documents, you should put them into a folder and keep them flat and out of the light. You will have done the best service you can for them.
According to experts in the field, there are five basic advantages to the use of microfilm. One is to save time and labor in repetitive record operations, which can be speeded up with microfilming. Perhaps some of you have read articles on the Social Security Administration's system. Their whole operation is based on microfilm. All records are kept on film. If you send an inquiry to them about your dossier, they press the button and ultimately your file comes out. Mechanized record keeping systems can use microfilm. A second reason for microfilming is to insure the safety of vital records. The third reason is to duplicate records in an office procedure. Another factor that is often cited, is that microfilm saves space in the storage of records. Finally, microfilming will preserve records that are in an advanced state of deterioration.

There are disadvantages in using microfilm. One is the high cost of arranging the records for filming. This is where most programs break down if they are not properly organized. Secondly, there are many photographic difficulties involved in setting up a record series or file for filming. Another disadvantage is the problem of interfiling. In microfilm, you have to cut and splice, which is very expensive simply in labor time. There are also reference difficulties. How do you retrieve the information from a 35 mm. roll of film? Do you have to crank it all off every time? Your major problem is to balance the advantages and disadvantages, compute them on a cost basis, and come up with particular standards. The cost of microfilming (like everything else) periodically increases.

The latest findings I have seen are the result of a study by five federal agencies with most of the work being done by two chemists at the National Bureau of Standards in cooperation with the National Archives, the General Accounting Office and the War Department. The study was the result of the deterioration of a lot of microfilm. Rolls were getting blemishes on them, commonly referred to as "measles." The study report, "Technical Note #261," is available from the Superintendent of Documents. It lists twelve recommendations for microfilming. The first one is that the best film today is manufactured on a safety cellulose, ester base. In 1957, the American Standards Association's Photographic Standards Board published Specifications for Photographic Films for Permanent Records (PH 1.28-1957).

A second recommendation of this study is to avoid high density in the actual filming process. The camera operator can turn a control to direct a tremendous amount of light on the document; however, the report recommends that you use only the density necessary for the kind of document you are filming. Throwing too much light on the document was one of the basic causes for the formation of measles on microfilm.
The third recommendation is to avoid scratching the film. They recommend that you wear white gloves when you handle microfilm. The gloves can be purchased through most microfilm dealers. Measles will form first on film that has been scratched.

A fourth thing that they recommend is that the film be very thoroughly washed in processing so that all chemicals or other foreign matter, that might get on the film during the processing are removed. Fifth, they recommend very thorough and uniform drying of the film before it is rolled. Sixth, they recommend that in the processing stage all dust, odors, or chemicals be avoided. Measles will form on film where there are dust particles or where there might be some chemical residue even if it is just in the air.

Seventh, they recommend what we all take for granted, that film should be stored under proper conditions of humidity and temperature. As result of this test, they say that the ideal temperatures range between 50 and 60 degrees Fahrenheit, the ideal humidity ranging between 30 percent and 35 percent. Their eighth recommendation is that film should not be bound with string, rubber bands, adhesive tape or paper. Ninth, they recommend that whenever you have to do any splicing you use only the thermal method. The thermal method requires a piece of machinery where heat can be applied in the splicing process. These machines cost $300 and it takes some skill to use them.

Tenth, they recommend that microfilm be stored only in anodized aluminum cans and reels. The main reason for this is that any other type of can usually carries some kind of paint on it. Most paints have turpentine in them and turpentine is one of microfilm's greatest enemies. Microfilm has two or three protective covers before it gets to your cabinet. I think "no paint" means no paint in proximity to the film since it will absorb turpentine and gases. Eleventh, they highly recommend positive copies of microfilm rather than negatives. Their studies show that negative film develops measles at a much higher rate than positive copies. Twelfth, they recommend that anybody who has very much microfilm should develop periodic inspection schedules. In the National Archives, the survey studied approximately ten million individual images on microfilm. These are the most current and comprehensive recommendations relating to microfilm.

The above recommendations indicate that to a certain extent all the microfilm that is in existence is developing measles, since there is dust on all of our films. Also the moment you put one in a machine, it gets scratched. You should be cautious about filming something and destroying the original until you are absolutely sure that you have a good film. Most of the damage was to the leaders of the film. There was very little damage and occurrence of measles in the actual record content. In a simulated speed-up test in the National Archives, they estimate microfilm life at two hundred to three hundred years in the studies they have run. As a final recommendation, obtain a copy of "Technical Note #261" and always balance it against whatever microfilm salesmen tell you. They will sell you ten times as much equipment as you will use if you will let them. If you go into microfilm at all, do it slowly, one machine at a time.
PRESERVATION, SPACE AND EQUIPMENT: SPACE AND SHELVING

Kenneth Duckett

If it is possible to conduct a records survey on your campus, it will be relatively easy to determine the storage space needs of your archives. There is no complicated formula to figure out if you are using library shelving in your archives. It is quite simple. One full letter-size file drawer equals one library shelf. It is only because you are able to service material stacked seven shelves high that the ratio is not one cubic foot for one square foot of floor space. With the best possible shelving, 2 to 3 cubic feet of archival material can be stored in one square foot of floor space. When you figure out all your aisles and corridor space, a one-to-one ratio is customary. If you are able to lay out the aisles where you want them and do not have problems with pipes and duct work, you can probably get a 2 or 3-to-1 ratio.

I doubt that many of you will have time to conduct such a survey, except on an informal basis. I also doubt whether there is much reason to concern yourselves with records to space ratios. You may become involved if you are fortunate enough to be charged with planning an archives building or a section of a new building. For most of us, it is more realistic to offer the simple suggestion to take whatever space you are given, and when it is full, ask for more. If you can instill in the minds of your administration the idea that the archives is an ever-expanding operation in terms of space, your cause will be well supported. With the high cost of building construction, I cannot believe that any college or university administration is going to build all the space needed for the future expansion of a growing archival program. If you have it standing empty today, tomorrow someone will be teaching a class there. To avoid this, archivists sometimes end up filling space quickly, often with borderline materials.

Archivists, unlike rare book librarians and curators of manuscripts, rarely have plush quarters. Stack, storage, and processing areas will be much the same. The archivist's office, if he has one, and the reference area, will usually be spare, stark and utilitarian. This largely stems from the rare book librarian or curator trying to create an atmosphere which will impress the visiting collector or donor while the archivist has no such need. The archivist then has a small office with enough space for a few reference works, correspondence relating to the collection, the finding aids, a phone and the other usual office equipment.

Although your reading or reference area need not be fancy, it should be well lighted. Researchers in archives require about three times the amount of table space allotted to the usual library patron. Since each of your institutions will vary in size it is difficult to talk about
a reference area in relation to the number of patrons you might expect to
serve. I suggest that you plan a reference area double or perhaps triple
your expected needs. When the space is not needed for patrons, it can be
readily used for processing.

Processing archives requires more space than any similar activity.
Processing space can also double for other uses. Archives can be searched
on processing tables. You need plenty of well-lighted table space. Large
study tables are a necessity. You need a tremendous amount of space in
processing manuscripts and private family papers that are out of order. I
have found that processors can better encompass a collection mentally when
they can see it physically arrayed on tables in a great many different
piles. Archivists are not supposed to be sorting things which have a
natural order. One should not break up series that have a natural order
and start sorting them into some other arrangement. You may have to return
things to their order sometimes, however. Sorting shelves with thirty or
so compartments can be very useful if you must restore a chronological
arrangement. Even the fairly large card sorter with flip pockets that the
librarian uses can help you sort papers. Shelving is particularly useful
for publications. The University of Illinois has an extensive area of
shelving which is used for sorting publications by office of origin.
Since a processor must spend large amounts of time on his feet shifting
stacks of folders and wrestling with boxes, step rugs, rubber mats, or
some other floor covering is desirable. If your equipment fund will stand
it, it is well to provide extra staplers, staple removers and large
wastebaskets to help your workers do a more efficient job.

In thinking of space needs, it would be well to consider a certain
amount of dead storage space. This need not be prime space and often it
is the most undesirable space available. The closet-like rooms under the
stairs, a room in the heating plant, an old house on campus (I know of
one university which uses some rooms in a stadium). Whatever safe space
that will be useful for storing records awaiting processing. It is fine
if you are fortunate and acquire dead storage areas which meet the
standards of humidity and temperature control, but most of us are not
so blessed. Your dead storage should in space be at least comparable
to that used in processing.

Your utilization of storage space will depend upon the classification
scheme you adopt and the physical character of the space available. It will
also depend upon whether you have strong young men or frail faculty widows
working for you. I have found that by using book trucks, dollies, kick steps
and other equipment, women can service most materials. To advise you,
whenever possible, to shelve materials of greatest potential use in the
most accessible shelving seems like overstating the obvious, but surveys of
archives will show you that it is a truism frequently forgotten. By the
same token, records that are frequently used for research need the best
possible storage facilities. Records used infrequently can be less
elaborately housed.
Use statistics on the various record series will provide you with figures for your annual report and will indicate whether you are accepting records of too recent an origin. If an office is asking you to search their records too frequently, you may wish to revise your schedule and leave the records in the office longer. Opinion varies about an acceptable frequency of use ratio, and ultimately only the individual archivist can decide. Even the use statistics can be deceiving sometimes. In my office we had been getting far too frequent requests to search a set of recently acquired records. I had cautioned my staff to be very patient in this instance, because I knew that the man who created the bulk of these records had not wanted to see them come to the archives. The decision had been made by his superior, and I think he had determined to demonstrate to our office and to his superior that we had made a mistake. When we continued to find what he needed and made no complaints about servicing his files, the frequency of use rate dropped quickly.

USE, REFERENCE SERVICE AND PROMOTION: RESEARCH USE

Kenneth Duckett

Most of you who have worked with archives for any period of time already know the variety of uses to which archival material is put by scholars. This is a favorite topic for papers at the national meeting of archivists. Dr. Clifford Shipton, Archivist of Harvard University, has written an article discussing the purpose for which his archival material was used. He did not mention one of the most consistent uses to which my archives has been put. That is the disgruntled faculty member who wants to know how his raise compares with the other people's raises in his department. I would hate to go before the President and justify the archival program on the basis of this type of use. On the other hand, we did have a young student who spent most of two quarters with us every day, engaged in research exclusively from the archives for a history of the theater department.

Most custodians of special collections, archives and manuscripts keep use records to justify their existence and for use in writing their annual reports. I thought I did not have to write this sort of thing until one day I discovered that the academic vice-president really did not know what the archives was doing. We started keeping use records and I was amazed to find that, in a three-months period, we had two hundred and fifty people in the archives, not counting the kids that come in to look at the annuals or the campus newspaper. Considering the obscure locations archives sometimes occupy, this is evidence of widespread interest in serious research.

In Shipton's study of the Harvard archives, he found that the largest number of users were biographers. The second largest number were writing in the field of education followed by science, literature,
medicine, philosophy, religion, bibliography, library science and political science. The use of your archives is largely dictated by what you collect. The University of Illinois collects the papers of scientists because Illinois has been a leader in the field of scientific research. It is natural and normal to expect that in years to come people who are working in these fields are going to use these archives. Institutional centennials or anniversaries also give rise to increased use and development of archival programs. If you are establishing a program, the celebration is a most potent approach in securing adequate budget and quarters.

Dr. Shipton did not touch on the use of archives in writing local history. I do not see how anybody could write the history of Carbondale, Illinois, without considering Southern Illinois University. There is a lot of local history in any college or university archives.

Many colleges and universities have followed the pattern of Columbia University in developing oral history programs. We tape-record retiring faculty members and elderly alumni who want to reminisce. I may get permission to tape some faculty meetings and board meetings. Often another campus office will have an oral history program. I found that a dean is writing a local history of Southern Illinois and is engaged in collecting oral history interviews with people in the surrounding area. The University of Illinois has another oral history project on its campus. The archivist should make sure that if the program closes down, all records are sent to the university archives. The sponsoring office supplies the labor, funds and alumni contributions. The archives guides them in getting started, lets them pay for the project, and eventually is assured of getting the results without the daily responsibility of carrying out the project.

In some cases the archivist has a responsibility for creating records. We have a visual history program with the cooperation of the printing and photography department in the university. Students in this department, instead of writing a thesis, are doing a series of stills or a movie. I suggested that if they were given guidance in certain areas, they might do a movie on a Southern Illinois town. They are now oriented in this direction and are going to do the same thing on campus activities, campus projects and regional projects. We have both the still classes and the movie classes moving in this direction. We will pay for the film that they use for the rights to retain the negatives in the archives. They have the rights for the first five years and then they are assigned to the archives. We already have the first five series of stills, including one on country stores; one on railroad stations; one on abandoned coal mines and one on barnyard chicken-raising. In ten or fifteen years, we will have created a very wonderful and useful archive of photographic materials. As we are becoming more and more visually oriented, we might as well recognize this and start planning.

While collecting student and faculty papers, I have started thinking about being a college or university archivist. The whole world has opened up to us in the last ten years. Our field is the newest section of a new field. We are the youngest of the archivists. With the expansion in
American education today and the involvement of students, faculty and administrators in the affairs of our country, we are, in collecting the papers of these people, tapping the real leadership of this country. Faculty members move around so often that many of them are going to be in your collecting field at some time. A faculty member may not be there when he retires and he may not have begun there, but he is there some time and this gives you a legitimate reason to collect his papers. There ought to be more people collecting papers. As a college or university archivist, you are going to be cutting across the whole of American life. Each one of you, if you do your job right, will be setting up a little Library of Congress. Today, by collecting faculty, student, alumni and administrative papers, the diligent college archivist has virtually the whole fabric of modern history open for collecting.

Before I came to work in the university archives I was with historical societies. My experience is that they are a dying breed. With a few notable exceptions, the state historical societies are becoming tourist agencies and gradually losing their research function. The agency that is stepping in to fill the vacuum of collecting materials in most states is the university. It has the money, the people and the "know how." I do not think there is an archival program worthy of its name in the United States that is not doing something which by strict definition is a little bit beyond the campus boundaries. You might have an archivist who is nothing more than the keeper of the board minutes and the president's files, but in those cases there are other very active collecting agencies on campus. The archivist should be collecting faculty papers rather than the other agencies. By papers, I mean correspondence, files, diaries, journals and anything else kept that shows what a faculty member did in his lifetime.

USE, REFERENCE SERVICE AND PROMOTION: REFERENCE SERVICE

Theodore Cassady

Our basic responsibility is to the official records of the university. Within the last few years, the archival profession has been more active in contacting offices on the campus. This means the earlier and continuing retirement of the record series. As records of indefinite or permanent value reach a stage where use is so small that the agency can be relieved of custody, the burden of records retention passes to the archives. Student records might be ready for archival custody soon after the student leaves the institution. (Such records require increased reference service for the agencies of origin, and the archives staff, while being much smaller than the staffs of these combined agencies, must be large enough to service their reference requests.) In the Illinois State Archives, in fact in most public archives, reference use of modern archives is somewhat over 70 percent by the agency of origin. This is justified because busy administrative office space is too expensive
for keeping records that have only occasional use. We have set a rate of
reference to record series that is flexible. We like to say that not more
than seven or eight references to a record series per month is practical.
This of course can be adjusted to space and staff situations in your own
institutions.

Agencies of origin have a positive attitude toward their retired
records and therefore strict rules and regulations concerning the use of
the documentation are required. Since the document is unique, the original
should not leave the custody of the archivist. It should be used in your
reference room. Special provisions should be made when it is necessary
for the document to be removed to permit copying.

Your reference room should be dignified by an emphasis on demeanor,
cordiality and courtesy. The searcher should be permitted to work in a
pleasant situation with a quiet but dignified approach from the staff.
College offices and the public should have access to your archival holdings
and provision should be made for charge-out even for use in your reference
room. Care should be taken to preserve any restrictions on use. If the
department of origin wishes to make arrangements about the use of their
documentation, this should be done formally in writing with the full
understanding of your staff.

Provision should be made to compile monthly statistics of use,
not only for your own guidance, but for reporting purposes. Statistics
are useful when it is necessary to request additional money, space and
staff. It is never too early to start a statistical record. Of course,
this brings up the question of what a statistic is. An indefinitely
described letter for the president's office might take two hours to find.
Another type of document might be produced instantaneously. A concept
based on reference service is sufficient and it will eventually adjust
and reflect the burden of the reference services even though there is a
wide difference between assistance to an individual scholarly researcher
and a simple request for an individual document. The end result of
statistics should show a true picture of use. Rules should be set up to
make them as accurate and useful as possible.

We have in the Illinois State Archives a well-used reference desk
file on reference use. It covers the scope of the work done in the archives
including even how to make charge-outs. Most of you will not have such a
large staff that this will be necessary. However, I think that it is
always a good idea to formulate in writing the rules for the materials used
in your reference room. You might expand upon your library's reference room
rules and regulations since they have much the same scope and nature as
those for library use.
USE, REFERENCE SERVICE AND PROMOTION: PROMOTION

Maynard Brichford

There is a direct relationship between the use of the archives and your success in promoting it within the institution, and with the general and the scholarly public. As an unused archives cannot justify its existence, an unknown archives will not be used. Prompt, efficient reference service remains one of the best and most effective ways of promoting the archives.

In any university or college, the best publicity you can get is a reputation for helpfulness and friendliness. We cannot dismiss this trite statement when we consider the number of academic specialists who possess an extensive knowledge of their field, but who cannot communicate. Brash students, over-informed and impatient scholars, short-sighted administrators, distraught widows and jealous secretaries are just a few of the types with whom the archivist must establish a rapport. If you do not enjoy establishing friendships and winning the confidence of people, you should not be an archivist.

Beyond personal relationships, there are standard ways of promoting the archives on your campus and with the general public.

1. Internal promotion procedures include:

   (a) Announcement letters which should contain a clear delegation of responsibilities for the archival program and a statement of purpose. The first impression should be a good one and a lasting one. Avoid flowery rhetoric, technical language, threats and detailed procedures.

   (b) Circular letters are useful in reaching classes of people, like active faculty, emeriti, alumni and department heads, with appeals for aid or lists of research topics.

   (c) Exhibits attract attention to archival resources and maintain interest in historical matters. They are particularly well adapted to photographic and published material.

   (d) Talks before campus and community groups promote an awareness of the archival program and result in useful "leads" and gifts.

   (e) An advisory committee may be very helpful in supplying information on faculty papers, research programs and administrative interests. We have a seven-man committee with two ex-officio members—the university librarian and the university archivist.
Administrative reports are a basic means of advising your institution of the accomplishments of the archives. The three which we have issued include sections on operations—covering staff, space and equipment; holdings and processing—covering emphases in staff work; significant accessions; special projects; records management; reference use; program activities including professional and promotional activities and plans for future development. Supplementary tables show the number and volume of records series accessioned and processed for each record group. We also list significant interviews and collections of faculty papers. Reference use tables show quarterly totals broken down by type of user, purpose of the use and types of record used in each record group. Your annual report should cover all aspects of your program, avoid lengthy discussions of rare items or details and convey your enthusiasm for the program.

Budget requests are practical statements of existing financial needs which should include a clear explanation of the way in which the expenditures will benefit the institution and enable it to fulfill its role in society.

External promotion procedures include:

- Newspapers are willing to run stories and pictures on popular themes, such as anniversaries, homecoming, old buildings, student life and activities and athletic events. Another good newspaper story is a photograph of a donor presenting a collection to the archives.

- Periodicals will accept notices of programs, significant accessions and appeals for assistance. This conference was announced in History News and The American Archivist. Notices for scholarly journals should be well written and not too frequent.

- Radio programs may provide a forum for calling the archival program to the attention of the public.

- Television will use photographic resources in documentary programs. On three occasions, staff and graduate students at the local station have used photographs and recordings.

- Filmstrips are used by the Archives of DePauw University and Indiana Methodism to depict its interest in the preservation of historically significant religious records.

Before concluding, I invite you to consider membership in the Society of American Archivists. The Society is a professional organization of archivists which was set up in 1936, shortly after the National Archives was opened. It is divided into different interest groups, including one for
college and university archivists. Its annual meetings feature special workshops for people interested in college archives, science archives, records management, state records, church archives and a number of other areas. The regular programs include papers on various topics relating to archival administration. The American Archivist is the Society's quarterly publication. While it is not too interesting if taken in large doses, it compares very favorably with the journals of historians and other professional quarterlies. It contains a variety of articles, bibliographies, news notes and an interesting technical section which contains good advice on equipment for your archives.

Now that we have discussed all of these aspects of the college archivist's job, you probably have concluded that the time and resources that you or your institution can commit to its archives can never match the time required. Like the little boy with the book that told him more about turtles than he wished to know, we have covered many things that are not necessary for your program in the immediate future. We have lured you here to discuss a small archival operation and have discussed a major one. We confess that this was our intention. When you set priorities, as we all must do, you should work with broad goals and within a comprehensive plan for the development of your archival resources. You must not be subject to the whims of your administration, your faculty or yourself. You cannot operate successfully on a "putting out the fires" basis. Only with a plan for a full archival program can you fit the pieces together in a professional manner. Many people will supply the pieces, but you must do the building. A careful perusal of archival literature, a pleasing personality and the ability to contemplate a mess and understand that there is "order" there will be of great assistance.
GENERAL REFERENCES


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