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Society of American Archivists

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Code of Ethics for Archivists

The Society of American Archivists

Archivists select, preserve, and make available documentary materials of long-term value that have lasting value to the organization or public that the archivist serves. Archivists perform their responsibilities in accordance with statutory authorization or institutional policy. They subscribe to a code of ethics based on sound archival principles and promote institutional and professional observance of these ethical and archival standards.

Archivists arrange transfers of records and acquire documentary materials of long-term value in accordance with their institutions' purposes, stated policies, and resources. They do not compete for acquisitions when competition would endanger the integrity or safety of documentary materials of long-term value, or solicit the records of an institution that has an established archives. They cooperate to ensure the preservation of materials in

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repositories where they will be adequately processed and effectively utilized.

Archivists negotiating with transferring officials or owners of documentary materials of long-term value seek fair decisions based on full consideration of authority to transfer, donate, or sell; financial arrangements and benefits; copyright; plans for processing; and conditions of access. Archivists discourage unreasonable restrictions on access or use, but may accept as a condition of acquisition clearly stated restrictions of limited duration and may occasionally suggest such restrictions to protect privacy. Archivists observe faithfully all agreements made at the time of transfer or acquisition.

Archivists establish intellectual control over their holdings by describing them in finding aids and guides to facilitate internal controls and access by users of the archives.

Archivists appraise documentary materials of long-term value with impartial judgment based on thorough knowledge of their institutions' administrative requirements or acquisitions policies. They maintain and protect the arrangement of documents and information transferred to their custody to protect its authenticity. Archivists protect the integrity of documentary materials of long-term value in their custody, guarding them against defacement, alteration, theft, and physical damage, and ensure that their evidentiary value is not impaired in the archival work of arrangement, description, preservation, and use. They cooperate with
other archivists and law enforcement agencies in the apprehension and prosecution of thieves.

Archivists respect the privacy of individuals who created, or are the subjects of, documentary materials of long-term value, especially those who had no voice in the disposition of the materials. They neither reveal nor profit from information gained through work with restricted holdings.

Archivists answer courteously and with a spirit of helpfulness all reasonable inquiries about their holdings, and encourage use of them to the greatest extent compatible with institutional policies, preservation of holdings, legal considerations, individual rights, donor agreements, and judicious use of archival resources. They explain pertinent restrictions to potential users, and apply them equitably.

Archivists endeavor to inform users of parallel research by others using the same materials, and, if the individuals concerned agree, supply each name to the other party.

As members of a community of scholars, archivists may engage in research, publication, and review of the writings of other scholars. If archivists use their institutions’ holdings for personal research and publication, such practices should be approved by their employers and made known to others using the same holdings. Archivists who buy and sell manuscripts personally should not compete for acquisitions with their own repositories, should inform their
employers of their collecting activities, and should preserve complete records of personal acquisitions and sales.

Archivists avoid irresponsible criticism of other archivists or institutions and address complaints about professional or ethical conduct to the individual or institution concerned, or to a professional archival organization.

Archivists share knowledge and experience with other archivists through professional associations and cooperative activities and assist the professional growth of others with less training or experience. They are obligated by professional ethics to keep informed about standards of good practice and to follow the highest level possible in the administration of their institutions and collections. They have a professional responsibility to recognize the need for cooperative efforts and support the development and dissemination of professional standards and practices.

Archivists work for the best interests of their institutions and their profession and endeavor to reconcile any conflicts by encouraging adherence to archival standards and ethics.

**Code of Ethics for Archivists and Commentary**

The code is a summary of guidelines in the principal areas of professional conduct. A longer Commentary explains the reasons for some of the statements and provides a basis for discussion of the points raised.
I. The Purpose of a Code of Ethics

The Society of American Archivists recognizes that ethical decisions are made by individuals, professionals, institutions, and societies. Some of the greatest ethical problems in modern life arise from conflicts between personal codes based on moral teachings, professional practices, regulations based on employment status, institutional policies and state and federal laws. In adopting a formal code of professional ethics for the Society, we are dealing with only one aspect of the archivist’s ethical involvement.

Codes of ethics in all professions have several purposes in common, including a statement of concern with the most serious problems of professional conduct, the resolution of problems arising from conflicts of interest, and the guarantee that the special expertise of the members of a profession will be used in the public interest.

The archival profession needs a code of ethics for several reasons: (1) to inform new members of the profession of the high standards of conduct in the most sensitive areas of archival work; (2) to remind experienced archivists of their responsibilities, challenging them to maintain high standards of conduct in their own work and to promulgate those
standards to others; and (3) to educate people who have some contact with archives, such as donors of material, dealers, researchers, and administrators, about the work of archivists and to encourage them to expect high standards.

A code of ethics implies moral and legal responsibilities. It presumes that archivists obey the laws and are especially familiar with the laws that affect their special areas of knowledge; it also presumes that they act in accord with sound moral principles. In addition to the moral and legal responsibilities of archivists, there are special professional concerns, and it is the purpose of a code of ethics to state those concerns and give some guidelines for archivists. The code identifies areas where there are or may be conflicts of interest, and indicates ways in which these conflicting interests may be balanced; the code urges the highest standards of professional conduct and excellence of work in every area of archives administration.

This code is compiled for archivists, individually and collectively. Institutional policies should assist archivists in their efforts to conduct themselves according to this code; indeed, institutions, with the assistance of their archivists, should deliberately adopt policies that comply with the principles of the code.

II. Introduction to the Code

Archivists select, preserve, and make available documentary materials of long-term value that have
lasting value to the organization or public that the archivist serves. Archivists perform their responsibilities in accordance with statutory authorization or institutional policy. They subscribe to a code of ethics based on sound archival principles and promote institutional and professional observance of these ethical and archival standards.

Commentary: The introduction states the principal functions of archivists. Because the code speaks to people in a variety of fields—archivists, curators of manuscripts, records managers—the reader should be aware that not every statement in the code will be pertinent to every worker. Because the code intends to inform and protect non-archivists, an explanation of the basic role of archivists is necessary. The term ‘documentary materials of long-term value’ is intended to cover archival records and papers without regard to the physical format in which they are recorded.

III. Collecting Policies

Archivists arrange transfers of records and acquire documentary materials of long-term value in accordance with their institutions’ purposes, stated policies, and resources. They do not compete for acquisitions when competition would endanger the integrity or safety of documentary materials of long-term value, or solicit the records of an institution that has an established
archives. They cooperate to ensure the preservation of materials in repositories where they will be adequately processed and effectively utilized.

Commentary: Among archivists generally there seems to be agreement that one of the most difficult areas is that of policies of collection and the resultant practices. Transfers and acquisitions should be made in accordance with a written policy statement, supported by adequate resources and consistent with the mission of the archives. Because personal papers document the whole career of a person, archivists encourage donors to deposit the entire body of materials in a single archival institution. This section of the code calls for cooperation rather than wasteful competition, as an important element in the solution of this kind of problem.

Institutions are independent and there will always be room for legitimate competition. However, if a donor offers materials that are not within the scope of the collecting policies of an institution, the archivist should tell the donor of a more appropriate institution. When two or more institutions are competing for materials that are appropriate for any one of their collections, the archivists must not unjustly disparage the facilities or intentions of others. As stated later, legitimate complaints about an institution or an archivist may be made through proper channels, but giving false information to potential donors or in any way casting aspersions on other institutions or other archivists is unprofessional conduct.
It is sometimes hard to determine whether competition is wasteful. Because owners are free to offer collections to several institutions, there will be duplication of effort. This kind of competition is unavoidable. Archivists cannot always avoid the increased labor and expense of such transactions.

IV. Relations with Donors, and Restrictions

Archivists negotiating with transferring officials or owners of documentary materials of long-term value seek fair decisions based on full consideration of authority to transfer, donate, or sell; financial arrangements and benefits; copyright; plans for processing; and conditions of access. Archivists discourage unreasonable restrictions on access or use, but may accept as a condition of acquisition clearly stated restrictions of limited duration and may occasionally suggest such restrictions to protect privacy. Archivists observe faithfully all agreements made at the time of transfer or acquisition.

Commentary: Many potential donors are not familiar with archival practices and do not have even a general knowledge of copyright, provision of access, tax laws, and other factors that affect the donation and use of archival materials. Archivists have the responsibility for being informed on these matters and passing all pertinent and helpful information to potential donors. Archivists usually discourage donors from imposing conditions on gifts or restricting access to collections, but they are aware of
sensitive material and do, when necessary, recommend that donors make provision for protecting the privacy and other rights of the donors themselves, their families, their correspondents, and associates.

In accordance with regulations of the Internal Revenue Service and the guidelines accepted by the Association of College and Research Libraries, archivists should not appraise, for tax purposes, donations to their own institutions.

Some archivists are qualified appraisers and may appraise records given to other institutions.

It is especially important that archivists be aware of the provisions of the copyright act and that they inform potential donors of any provision pertinent to the anticipated gift.

Archivists should be aware of problems of ownership and should not accept gifts without being certain that the donors have the right to make the transfer of ownership.

Archivists realize that there are many projects, especially for editing and publication, that seem to require reservation for exclusive use. Archivists should discourage this practice. When it is not possible to avoid it entirely, archivists should try to limit such restrictions; there should be a definite expiration date, and other users should be given access to the materials as they are prepared for publication. This can
be done without encouraging other publication projects that might not conform to the standards for historical editing.

V. Description

Archivists establish intellectual control over their holdings by describing them in finding aids and guides to facilitate internal control and access by users of the archives.

Commentary: Description is a primary responsibility and the appropriate level of intellectual control should be established over all archival holdings. A general descriptive inventory should be prepared when the records are accessioned. Detailed processing can be time-consuming and should be completed according to a priority based on the significance of the material, user demand and the availability of staff time. It is not sufficient for archivists to hold and preserve materials: they also facilitate the use of their collections and make them known. Finding aids, repository guides, and reports in the appropriate publications permit and encourage users in the institution and outside researchers.

VI. Appraisal, Protection and Arrangement

Archivists appraise documentary materials of long-term value with impartial judgment based on thorough knowledge of their institutions' administrative requirements or acquisitions policies. They maintain
and protect the arrangement of documents and information transferred to their custody to protect its authenticity. Archivists protect the integrity of documentary materials of long-term value in their custody, guarding them against defacement, alteration, theft, and physical damage, and ensure that their evidentiary value is not impaired in the archival work of arrangement, description, preservation, and use. They cooperate with other archivists and law enforcement agencies in the apprehension and prosecution of thieves.

Commentary: Archivists obtain material for use and must insure that their collections are carefully preserved and therefore available. They are concerned not only with the physical preservation of materials but even more with the retention of the information in the collections. Excessive delay in processing materials and making them available for use would cast doubt on the wisdom of the decision of a certain institution to acquire materials, though it sometimes happens that materials are acquired with the expectation that there soon will be resources for processing them.

Some archival institutions are required by law to accept materials even when they do not have the resources to process those materials or store them properly. In such cases archivists must exercise their judgment as to the best use of scarce resources, while seeking changes in acquisitions polices or increases in support that will enable
them to perform their professional duties according to accepted standards.

VII. Privacy and Restricted Information

Archivists respect the privacy of individuals who created, or are the subjects of, documentary materials of long-term value, especially those who had no voice in the disposition of the materials. They neither reveal nor profit from information gained through work with restricted holdings.

Commentary: In the ordinary course of work, archivists encounter sensitive materials and have access to restricted information. In accordance with their institutions' policies, they should not reveal this restricted information, they should not give any researchers special access to it, and they should not use specifically restricted information in their own research. Subject to applicable laws and regulations, they weigh the need for openness and the need to respect privacy rights to determine whether the release of records or information from records would constitute an invasion of privacy.

VIII. Use and Restrictions

Archivists answer courteously and with a spirit of helpfulness all reasonable inquiries about their holdings, and encourage use of them to the greatest extent
compatible with institutional policies, preservation of holdings, legal considerations, individual rights, donor agreements, and judicious use of archival resources. They explain pertinent restrictions to potential users, and apply them equitably.

Commentary: Archival materials should be made available for use (whether administrative or research) as soon as possible. To facilitate such use, archivists should discourage the imposition of restrictions by donors.

Once conditions of use have been established, archivists should see that all researchers are informed of the materials that are available, and are treated fairly. If some materials are reserved temporarily for use in a special project, other researchers should be informed of these special conditions.

IX. Information about Researchers

Archivists endeavor to inform users of parallel research by others using the same materials, and, if the individuals concerned agree, supply each name to the other party.

Commentary: Archivists make materials available for research because they want the information on their holdings to be known as much as possible. Information about parallel research interests may enable researchers to conduct their investigations more effectively. Such information should consist of the previous researcher's
name and address and general research topic and be provided in accordance with institutional policy and applicable laws. Where there is any question, the consent of the previous researcher should be obtained. Archivists do not reveal the details of one researcher’s work to others or prevent a researcher from using the same materials that others have used. Archivists are also sensitive to the needs of confidential research, such as research in support of litigation, and in such cases do not approach the user regarding parallel research.

X. Research by Archivists

As members of a community of scholars, archivists may engage in research, publication, and review of the writings of other scholars. If archivists use their institutions’ holdings for personal research and publication, such practices should be approved by their employers and made known to others using the same holdings. Archivists who buy and sell manuscripts personally should not compete for acquisitions with their own repositories, should inform their employers of their collecting activities, and should preserve complete records of personal acquisitions and sales.

Commentary: If archivists do research in their own institutions, there are possibilities of serious conflicts of interest—an archivist might be reluctant to show to other researchers material from which he or she hopes to write something for publication. On the other hand, the archivist
might be the person best qualified to research an area represented in institutional holdings. The best way to resolve these conflicts is to clarify and publicize the role of the archivist as researcher.

At the time of their employment, or before undertaking research, archivists should have a clear understanding with their supervisors about the right to research and to publish. The fact that archivists are doing research in their institutional archives should be made known to patrons, and archivists should not reserve materials for their own use. Because it increases their familiarity with their own collections, this kind of research should make it possible for archivists to be more helpful to other researchers. Archivists are not obliged, any more than other researchers are, to reveal the details of their work or the fruits of their research. The agreement reached with the employers should include in each instance a statement as to whether the archivists may or may not receive payment for research done as part of the duties of their positions.

XI. Complaints About Other Institutions

Archivists avoid irresponsible criticism of other archivists or institutions and address complaints about professional or ethical conduct to the individual or institution concerned, or to a professional archival organization.
Commentary: Disparagement of other institutions or of other archivists seems to be a problem particularly when two or more institutions are seeking the same materials, but it can also occur in other areas of archival work. Distinctions must be made between defects due to lack of funds, and improper handling of materials resulting from unprofessional conduct.

XII. Professional Activities

Archivists share knowledge and experience with other archivists through professional associations and cooperative activities and assist the professional growth of others with less training or experience. They are obligated by professional ethics to keep informed about standards of good practice and to follow the highest level possible in the administration of their institutions and collections. They have a professional responsibility to recognize the need for cooperative efforts and support the development and dissemination of professional standards and practices.

Commentary: Archivists may choose to join or not to join local, state, regional, and national professional organizations, but they must be well-informed about changes in archival functions and they must have some contact with their colleagues. They should share their expertise by participation in professional meetings and by publishing. By such activities, in the field of archives, in
related fields, and in their own special interests, they continue to grow professionally.

XIII. Conclusion

Archivists work for the best interests of their institutions and their profession and endeavor to reconcile any conflicts by encouraging adherence to archival standards and ethics.

Commentary: The code has stated the "best interests" of the archival profession—such as proper use of archives, exchange of information, and careful use of scarce resources. The final statement urges archivists to pursue these goals. When there are apparent conflicts between such goals and either the policies of some institutions or the practices of some archivists, all interested parties should refer to this code of ethics and the judgment of experienced archivists.

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