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The Advantages and Disadvantages of a Network System for the Administration of Local Government Records

Frank R. Levstik

During the past decade, the viability of archival networks has been a recurring concern of the membership of the Society of American Archivists. A number of sessions at annual meetings have been devoted to the topic. The background and operation of the Ohio Network of American History Research Centers in the administration of local government records may prove suggestive to other archivists as they contemplate such an arrangement.

While the Ohio Network of American History Research Centers was founded in 1970, the idea of a regional network in Ohio dates from 1959. In 1959 the Ohio Historical Society was officially designated as "the archives administration for the state of Ohio and its political subdivisions." The enabling act (ORC 149.31) further provided that the archives administration could "make other disposition, such as transfer to libraries and county historical societies, of those records of the state and its political subdivisions which may come into its possession."

Under the authority of this legislation, the Archives Division began to assemble a regional depository system for local government records. Included in the system were: Kent State University for the archives of Portage County and the immediate area; the Western Reserve Historical Society for Cuyahoga County; the Historical and Philosophical Society of Ohio in Cincinnati for Hamilton County; Ohio University, Athens, for Southeast Ohio; the Williams County Historical Society, Montpelier, for Williams County; and the Toledo Public Library for Lucas County. A county archivist was hired by the Society to assist county and municipal records commissions in establishing programs when requested. The situation remained relatively static for the next decade, with a single staff member assigned to the entire state. Local government records accessions were limited due to a shortage of professional staff, insufficient archival storage facilities, and insufficient commitment from participating depositories.

The still-born depository system of 1959 was revived in 1970 with the establishment of the Ohio Network of American History Research Centers composed of eight participating institutions: The Ohio Historical Society, Cincinnati Historical Society, Western Reserve Historical Society, Wright State University, Bowling Green State University, Kent State University, University of Akron, and Ohio University. The Network remains much the same today, except that the University of Cincinnati has replaced the Cincinnati Historical Society. The establishment of the Network was consummated by a legal agreement, which dealt with local government records. Subsequently,

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agreements have been written for newspapers, manuscripts, and audio-visual materials. From 1970 to 1975 the accessioning of local government records at the various Network Centers depended largely on the time and staff available at the institutions. As total staffing at most Network centers ranged from one to three persons with teaching, archival, and other library duties, records acquisition and inventorying were extremely limited.

In February 1975 the State Controlling Board released funds to the Ohio Historical Society for the employment of the necessary staff members to implement the Ohio Historical Society's (OHS) legal responsibility in local records. Eight local records specialists were hired and one assigned to each Network Center, where they began the inventorying of local government records in their region.

Although the enabling legislation of 1959 provided that OHS be the "archives administration for the State of Ohio and its political subdivision," the Ohio records statute provided that only counties and cities were to inform the Society of record disposition. Townships could transfer archival materials if they so desired. School districts and municipal courts were exempted from direct OHS jurisdiction.

Records are the immediate goals of the present local records program. Local records specialists inventory records in county courthouses and city halls, assist in the preparation of retention schedules for local officials, provide advice on microfilm reproduction and paper conservation, and transfer records of historical value to the appropriate Network center. Since the commencement of the program, local records specialists have inventoried over one million cubic feet of government records, prepared nearly 50,000 schedules of records retention and destruction, transferred 5,000 cubic feet of historically valuable government records to Network centers, and assisted in the destruction of 90,000 cubic feet of worthless records. After nearly a century and a half of neglect, Ohio's county officials were approached by the local records specialists. All eighty-eight counties have been inventoried by the specialists and work has begun in Ohio municipalities. A Local Government Records Manual has been prepared as part of the county phase of the program (a how-to-do-it book on establishing a records program), as have a County Records Manual (a records retention guide) and an Abstract of County Records Inventory 1803-1977 (a listing of 8,300 records series of historical and genealogical value in Ohio counties). A Municipal Records Manual (another retention guide) will soon be completed. Published guides to local government records holdings have been compiled at Wright State University, the Ohio Historical Society and Ohio University.

The Network as presently constituted consists of American History Research Centers at: Bowling Green State University serving nineteen counties with a population of 1,350,000; Ohio University serving eighteen counties with a population of three-quarter million; Ohio Historical Society serving eleven counties with a population of 1,250,000; Wright State University serving eleven counties with a population of 1,250,000; University of Cincinnati serving eight counties with a population of 1,500,000; Western Reserve Historical Society serving five counties with a population of 2,600,000; Kent State University serving eighteen counties with a population of 800,000; and the University of Akron serving eight counties with a population of 1,300,000.

The adequacy of storage space for local government records at the various Network centers varies significantly. Bowling Green State University has adequate room for several hundred linear feet of accessions while stack space...
at Wright State University is nearly exhausted. Ohio University has adequate room for several hundred linear feet of local government records, and the University of Cincinnati now has space for about the same volume of material. Western Reserve Historical Society does not anticipate room for expansion in the near future. The University of Akron, Kent State University, and the Ohio Historical Society each have adequate room for several hundred linear feet of local records. Nearly all Network centers have a microfilm camera or access to one. Only two centers microfilm local government records on a regular basis, however, since the Legislature has failed to appropriate monies for preservation microfilming.

The advantages of a network system are several. One of the most important is that local government records can be retained in the geographic region where they were created for easy access. Resource materials for academic and genealogical researchers are usually within one hour's drive of any county in each one of the regions. Graduate students and faculty need not travel hundreds of miles to expend immense sums of money for research trips.

A network system allows an archival agency to save significant amounts in the administration of local governmental records. The Ohio Historical Society would lack the space and equipment necessary to house all county records under the program. Even if available, the investment in equipment (shelving and space at OHS) would involve an added expenditure of $25,000. Personnel costs of $50,000 and travel expenses of $15,000 would also be involved.

Administrative disposition of local government records can be more closely supervised under a network arrangement. Local records specialists within one hour of a particular county can visit a governmental office not only to supervise destruction but also to appraise records and to act quickly to acquire historically valuable records, thus insuring against inadvertent destruction of the state's precious historical heritage.

A network system enables the institutions to increase their prestige as research centers. A regional center designation for an institution can do much to elevate an educational institution's prestige. In Ohio, for example, Network participation helped to elevate the image of Bowling Green State University, once recognized only as a state teachers college, and Wright State University, once seen as strictly a commuter institution. A collection of primary research materials can be a crucial factor in attracting quality faculty members to an institution. Similarly, the existence of a research collection may act as an incentive for private and governmental funding support.

Housing local government records at network institutions has increased reader use 25% to 50% and expanded the clientele of all types, including faculty, students, and genealogists. Faculty, students, and other scholars who had failed to use an institution's archival center because of its narrow focus (i.e., university archives, manuscripts, or special collections) can be attracted as researchers. These same local records also complement other archival holdings of a Network center.

A network system does have significant disadvantages. Among these are problems of cooperation between the network coordinating authority and network centers. Since local records specialists operate out of a regional Network center where they are furnished a desk and mailing privileges, OHS staff members often run the risk of being considered an extension of the Network center's staff, resulting in potential conflict. Differing research interests at member institutions may lead to accessions not in keeping with general appraisal
guidelines from the coordinating authority. A local records specialist stationed at a Network center may have to bear the burden of accessioning local records without the assistance of Network staff. The special research interests or job obligations of Network staff are such that certain aspects of local records work, including public relations, are neglected by supervisory personnel. In a period of financial restraint and no-growth budgets, networks may come to require more time, staff, and collection development than a coordinating authority may be able to support. It would be particularly difficult to provide proper conservation and microfilm production.

Another problem associated with network systems involves the uneven commitment of staff, budget, and facilities from network centers. As originally conceived, a Network center within the Ohio system was thought to need at least four staff members: an administrator, an archivist, a librarian, and a clerk. Other assistance would be provided by graduate assistants or work-study students. Lacking any budgetary control over the allocation of funds at participating institutions, commitment to Network responsibilities has been uneven at best. For example, in 1979, one Network center has only a single staff member devoted to archival duties, whose Network responsibilities are in addition to obligations as university archivist, special collections administrator, and classroom instructor. Due to declining enrollments and spiraling inflation, three centers have reduced staff size since 1970. If a support staff member has left, the person has not been replaced. One institution has declined to accession material due to a lack of space, a situation which has existed for nearly five years. Three members are maintaining the same staff level that existed at the Network's inception, and only two institutions have improved staffing levels since 1970. Nearly all members have a microfilm camera available to them, yet only two film government records on any regular basis. Others film only manuscript material, or the camera stands idle due to lack of staff or expertise. The suggested 1970 minimum operating budget of $25,000 for salaries, supplies, equipment, travel and purchases, not adjusted for inflation, is barely met by a majority of Network members today.

State archival institutions adopting a regional system must be prepared to accept the fact that their leadership role will be blurred by such an arrangement. No longer will the state archives be considered the single institution to visit for a given state's history. For the Ohio Historical Society, the nation's largest state historical agency, the roles of Network coordinating authority and repository for local government records of Central Ohio raise questions as to whether that institution's state-wide mission of preserving the state's historical heritage is being diffused or eroded. Quality and cooperation are small consolation for administrators when prime archival records series are transferred to a Network center.

Although most local historical agencies are museum operations, there are three or four county and municipal historical agencies which administer archival collections in Ohio. As a result, the coordinating authority is placed in the awkward position of making a final determination as to where local records are to be deposited. The Ohio statute states that the Ohio Historical Society has this authority, and Network centers are not specifically provided for by statute. The coordinating authority can be caught between the statute and the Network agreement. Problems such as these are especially difficult when local government records complement the manuscript collections of a prominent local individual held by one of these organizations outside the Network. This can become ticklish for a publicly supported historical agency to defend before a legislator representing a constituency in which one of these other agencies
The decentralization of local government records has entailed uneven progress in their processing for research use. Limited staff commitment at Network centers due to other duties makes assistance in local records processing very rare. Significant travel demands are made on the local records specialist since Network regions range from five to nineteen counties and the program emphasizes acquisition. The arrangement of records and the preparation of finding aids also largely devolves on the specialist, who is already engaged in the inventory of offices, records scheduling, and acquisition. Therefore, some Network centers may have records readily available and be able to inform researchers of their holdings while others are in a less enviable position.

Despite its shortcomings, the regional network has been a generally workable solution to local government records preservation in Ohio. True quality or consistency will only come with adequate legislation, minimum standards, and adequate budgets for professional staff and collection development.
Regional Depository Systems:
The Complications of Compromise

David Levine

Since the creation of the Wisconsin network of Area Research Centers in 1951, the concept of regional depositories for the management and preservation of local public records has received a lot of attention. Such networks have been described, praised, and criticized, but have not yet been analyzed for what they are — a compromise system — and for what they can accomplish. Their correct place within a total local records program has yet to be defined. In order to determine the proper role of regional depositories, it is first necessary to admit that such systems are essentially compromises, and that several interest groups will, in all probability, attempt to mold a depository system to fit their own needs and desires.

The purpose of a regional depository system is to provide a secure location, near the place of origin, for the permanent deposit of local public records (county, municipal, or special district) of permanent historical value which may not otherwise be preserved or may not be accessible to the public. It is the intent of the depository system to preserve such records in accordance with modern archival standards, and make them available for research to interested persons. In almost all cases, regional depositories are located in state-supported institutions of higher education. The actual location of the depository is generally within the university's own archival or manuscript facility. Host institutions are generally required to provide secure stack space for the storage of records deposited in that institution.

The essential compromise is between the state archival agency's mandate to provide for the management and preservation of local public records on the one hand and the lack of space in the central facility on the other. The politically risky action of removing local records some distance from their place of origin is also a real concern. Records placed in a regional depository fall under the jurisdiction of the state archival agency, yet remain reasonably close to their place of origin. By this arrangement the state archives is freed from the expensive prospect of providing stack space for possibly thousands of linear feet of county or municipal records. But, like most cooperative ventures, this one can work only if compromises are made.

Regional depository systems are subject to pressures from different interest groups. Although some of these pressures would apply to any type of local records program, they come together in a unique way when that program includes regional depositories. In so doing, they impose certain limitations on what the regional depository network can accomplish. There are four interest groups that, for reasons which will become apparent, take

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an especially strong interest in a regional depository network: local government officials, the host institution, the research community, and last, but certainly not least, the state archival agency. Each has its own perceptions of the purposes of a regional depository system.

For the most part, local government officials are interested in the program only if it can offer them a service in the area of records management. One of the biggest problems faced by county and municipal officials is finding space for the records created and maintained in their offices. They look to the local records program to help relieve them of the burden of keeping unwanted or unneeded records. Local government officials do not look for assistance to a program that professes as its main interest the service of scholarship. Their desire or willingness to transfer records to a regional depository is almost wholly predicated on their own administrative needs. Some county officials want to transfer records regardless of their lack of historical or research value. Masses of such records stored in basements or attics may be offered for placement in a depository. The archivist must use appraisal talents very critically if the regional depositories are not to become warehouses for record series of short-term value.

Furthermore, local officials hesitate to transfer vital records because they are perceived as being, and often are, crucial to the daily operation of the office. Deed records, for example, are very valuable to many types of research, but also serve a vital legal function. Even in cases where the law allows the transfer of such records to a depository, local officials have expressed reluctance to do so. One reason for this hesitancy lies in a widely held reverence for records as a symbol of office or stewardship. Some officials believe that the transfer of such records would, at the least, impair the functioning of their office and, at worst, suggest an abdication of public responsibilities.

Virtually opposed to the local officials are the administrators of the host institutions whose major motivation for joining a depository system is to enlarge their research collections. Their idea is that students and faculty will benefit from the addition of quantities of primary documentary sources. The obligations of host institutions vary from one system to another, but would not generally be considered burdensome. In most instances the host is required to provide secure stack space and reference services. The amount of stack space given over to the local records program varies greatly from one depository to another; when a space crunch arrives, a serious conflict can develop between the host institution and the state archives. On the whole, however, stack space requirements are minimal and flexible and are at the discretion of the host. Because the state archives is using borrowed space for its local records program, the host institution can exert a great deal of influence over the quantity and quality of accessions. This is perhaps the most critical compromise affecting a depository system.

Once a university has become a depository and accessions local records into its stacks, unanticipated problems arise. Much to the dismay of one university librarian involved in a depository network, his library came into the genealogical spotlight when a local newspaper columnist discovered that it was a depository for county records. The librarian did not want his staff to be burdened with that particular segment of the research community. On more than one occasion administrators of host institutions have urged that the accessioning of records especially attractive to genealogists be avoided. This, of course, places the state archives in an awkward position since, as

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a tax-supported public institution, it must serve all segments of the public equally. This potential conflict must be handled with care lest it result in hurt feelings and a loss of support for the regional system.

The third interest group, the research community, is far from being monolithic, as it is made up of a number of subgroups, each with its own notion of what constitutes legitimate research. Amateurs and professionals, students and faculty, historians and political and social scientists, all have their own particular research interests. Segments of the research community, or even individuals within it, will not hesitate to pressure the state archives to accession certain kinds of records they feel are more worthy of preservation than others. An urban historian may be interested in city tax records or building permits; a genealogist may want to see deed records, marriage certificates, and the like; a political scientist may be interested in county election returns; while a geographer may be interested in the records of special districts, such as those concerned with flood control.

Local historical and genealogical societies are often potent political forces, especially in smaller communities. These groups can make local officials very uncomfortable if they choose to cooperate with a program not approved by the local society. If these local groups perceive the depository system as something from which they will benefit, it will gain their full support and its chances for success are increased. On the university campus, faculty can exert a similar pressure on the administrators of the library hosting the depository. Formal or informal advisory committees can bring pressure to bear on the system that is difficult to ignore. In either case it is important for depository system staff to resist any attempt by any interest group to mold the system to meet only its needs.

Finally, the attitudes of the state archival agency must be considered. Ultimately accountable for the operation of the entire system and for its success or failure in managing and preserving local public records, a conscientious state archives will want to develop a comprehensive and coherent program that fulfills its responsibilities. The danger lies in the good intentions of the state archives, which tries to make the regional system alone serve all those needs. A regional system has far too many limitations imposed on it from without for it to be the sole element in a local records program. Limitations on stack space demand that a very high degree of selectivity be used in accessioning local records. Limitations imposed on the transfer of original records sometimes make it difficult to develop the first-rate research collections the host institutions expect when they join the system.

If regional depositories are to serve a useful purpose, the state archival authority will have to take the lead in shaping the system to meet the requirements of local records administration. Depositories can probably best serve a limited function as sites for the retention of a small quantity of highly valuable records. Other, broader functions of local records management will have to be met through other programs, such as microfilming vital records or record series with good research potential that are too bulky to be placed in a regional depository. Another vital component of any records program is a comprehensive records retention schedule. The development and use of retention schedules can eliminate many of the potential conflicts by stating clearly just which record series are eligible for placement in a depository, which are to be microfilmed, and which are to be destroyed after their administrative usefulness has ended.
The state archives must take the initiative in bringing together the several interest groups and educating them about the uses and limitations of a regional depository system. Local government officials will have to learn that regional depositories cannot become huge research collections. Regional depositories are not the answer to all local records problems. In conjunction with a total records management program a depository system can be a useful component of a local records program. State archival agencies looking for an easy, inexpensive means to provide the services local governments are increasingly demanding will find that a depository system alone cannot provide solutions to all the problems they are facing. The biggest danger is that regional depositories will be used as crutches, taking the place of fully developed records management programs. If regional depositories can be realistically seen for what they are, they will be able to assume a respected place in state archives management. However, if they are looked upon as the final solution to local records management problems, they will do nothing but contribute more to the chaos archivists already know so well.
Has the time arrived for archivists to reevaluate their disengagement from the historical profession over forty years ago? It was then their desire to draw together those whose prime concern centered on the creation of "scientific" methods for administering archives from those whose chief occupation was to teach, since the latter had seldom taken an interest in the technical side of arranging and describing records. The establishment of an archival profession has, consequently, resulted in the development of sophisticated archival tools at the expense of unity between the archival and historical professions. For both archivists and historians a point of diminishing returns in the continued separation may have been reached, yet a renewal of the partnership could prove as difficult as the break. One step archivists might take to renew relations is to direct their attention toward the use of documents in their charge by engaging in scholarly research.

Archivists' scholarly work based on primary source material housed in the institutions that employ them may never emerge as a major job responsibility; indeed, some might flinch at the suggestion, worrying that regular archival chores would be hampered if co-workers kept themselves busy researching. Even leaders of the archival profession, while advocating scholarly research, sometimes downplay its pursuit by archivists. Nevertheless, few in our profession would deny that a qualified archivist ought to have the education and experience that equip him to engage in scholarly research. Historical research expertise, nearly all archivists agree, is necessary for effective archival work, whether administration, reference, appraisal, or processing. Every archivist should be able to unravel the origins of records and to trace the background of the persons or organizations that produced the records.

Once on the job, archivists are confronted with disturbing restrictions on the use of the very research skills that were conditions of employment. New staff are invariably warned against too serious an involvement in their research for their archival projects lest they neglect their clerical tasks. Do not persevere in research beyond the requirements of archival necessity, concludes a common admonition to beginning archivists who, often having spent years in graduate school training in the search for elusive truth, receive such advice with a heavy heart.

Once employed as archivists, are these historians never again to look upon themselves as scholars? Are they now essentially clerks, or, even worse, "dead file clerks," according to a humorous definition for archivists that once upset Solon Buck, the second Archivist of the United States?

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Must archivists, upon entering the profession, forsake scholarly research or relegate it to a hobby? Such questions are the focus of this article and the answers to them occasionally appear severe.

In one school are those who view the matter strictly from an administrator's perspective. Christopher Crittenden, for instance, taught that the archivist's prime duty is to be a "public servant" because employees of archives have to perform too many archival chores to allow time to engage in scholarly endeavors. In line with that advice, others have urged archivists to restrict their archival research to studies of the structure of the organizations that created the records preserved in their repositories and to analyses of the developmental growth of those records. Writers of this school urge archivists to avoid turning their research into a scholarly enterprise, but to concern themselves with the functions of the records creator. While on the job, similar instructions urge, historical interests should be limited to information that may cast light upon the records that are serviced.

Those remonstrances, however, have not yet congealed into a consensus within the archival profession. During its early years, a generation ago, experts had hoped that archivists would remain scholars; that dream persists in the thinking of some, perhaps a dwindling number, of archivists. To them, the rationale for the scholar-archivist still appears cogent. Waldo Leland said, "The archivist must, it is true, deal with a vast number of technical problems, but he must not, because of that necessity, become a mere technician." Philip Brooks added that scholarly accomplishments, because they lead to improved archival reference and description work, "could be an important element in distinguishing between the various degrees of archival competence." And Lester Cappon urged archivists not to act as mere caretakers of records. Archivists, Cappon explained, have a "scholarly obligation to publish, for an archivist is a scholar... because of the function he performs and the process he supervises."

Even so, archivists noted for their own publications might not represent most professional opinions on the subject of archival research. Those who have made a name in the profession, and who find it easy to publish what they write, could hold a bias on the question. Archivists who exhibit slight desire to see their names in print may form the majority and may have no aversion to being typed as clerks or technicians. It is not unusual to hear archivists argue that scholarly research benefits archival operations in the long-run, yet in the short-run technical abilities determine the efficiency of an archivist. In the long-run, as John Maynard Keynes quipped, we are all dead.

Those views may have helped to produce the current situation in the archival profession. By scanning archival, library, or historical journals over the past decade or so, one's impression deepens that the technician side of the archival profession has been gaining acceptance at a cost to the scholarly research side. That trend has been growing so strong that today college professors might find it incongruous to envision an archivist, or many of them, researching in and writing about records that he handles in a housekeeping fashion. In some circles, archivists—and others with scholarly training, but working outside academia—are considered as having rather haphazardly fallen into their jobs because they could not synthesize, analyze, write, or teach well enough to become full-fledged scholars. An archivist...
is a scholar manqué. It is curious that American academics have adopted such an image of archivists. After all, it was through the efforts of the American Historical Association that the archival profession emerged in the United States. Certainly the study of history is well-established as, if not essential to, training for archivists. In fact European scholars have long considered archives a branch of historical pursuit, so much so that it is not uncommon for European historians to switch from teaching to working in archives and then back to teaching, not only without any loss in prestige but with a clear acknowledgement that the experience has enriched their professional skills.

Despite the prevalence of the archivist-as-technician attitude in the United States, recent events may augur a change. As the employment crisis for historians has worsened, European thinking about the symbiotic relationship of archivists and historians has begun to receive favor. But the breach between American scholarship and archival work may be difficult to bridge. Archivists' habitual focus on the routine could prove just as great a hindrance to an alliance of history and archives as the well-known indifference of those historians who still maintain that history is essentially a teaching profession. Archivists, however, might initiate the alliance by advocating in their own institutions the adoption of an institutional policy that encourages staff to research, write, and publish monographs based on the exploitation of collections in their own repositories.

Archival scholarship, as administrative policy, is neither a new nor a radical proposal. It exists in some institutions on a voluntary basis. But it is a policy that should be promoted if scholars, especially academics, want to cultivate financial resources for the sustenance of their apprenticed recruits and if the archival profession is not to be classed as a clerical skill, a fate that today's archival leaders should view with dismay. Walter Rundell, Jr., has ranked archival scholarship as the fifth, and last, priority for a soundly based historical records program. Although records disposition, inventorying, indexing, and local document preservation receive higher priorities, Rundell encourages scholarly investigations by archivists into the records that they maintain. "The scholarly curator," he explains, "is a better curator because of the deepened understanding that research and publication bring to his task. Thus, he is better able to serve the needs of history as well as his own institution."

What should constitute the elements of such a policy, and how might it be implemented both to the satisfaction of efficiency-minded administrators and intellectually-oriented academics? As a beginning, an archives might announce that its staff will be permitted to engage in personal research one day a month, or a half-day every two weeks, on subjects for which the archives collection is a major source. Only archivists who wish to participate in the program would be given the time, but the opportunity would be open for all. Research topics might be approved by the archives director, as would the completed monographs before submission for publication. Outlines, or progress summaries, could be required periodically, say at three- or six-month intervals. Subjects selected need not be oriented only toward history, but also toward the interests of scholarly journals in public administration, law, government, genealogy, librarianship, or archives. Typical research topics offered by an archives collection might include: 1) interaction between governmental entities; 2) their origins and growth; 3) their activities that led to significant change or
public attention; 4) their reaction to new laws, directives, or social events, such as those arising from racial unrest; 5) diminution of agency responsibilities or power; 6) prosopographical studies when records reveal biographical data of many individuals over long periods; and 7) quantitative analyses of documents that offer consistent statistics.

Collections in manuscript repositories would, of course, lend themselves to more traditional avenues of research; and there the danger arises of a conflict with patrons who are researching the same topic as the archivist, if his personal ethics do not impel him to treat the patrons' requests with a higher priority than his own project. Worries, however, about such conflicts need not develop if archivists reflect upon how unlikely it is that similar hypotheses would be pursued and how many rooms the mansion of historical interpretation contains. An analogous situation exists in a university archives when professors insist that they be given first rights to research a collection and then proceed to tie it up for long periods of time. Librarians and archivists have long considered such tactics as "fraud."15

A research program in institutional history would provide training for archivists, generate favorable publicity for their institutions, and demonstrate that their collection offered varied services for government officials, academics, or other citizens. Interpretations in the resulting monographs ought to be guarded (since the archivist will inevitably represent his institution in such a work) but, at the same time, clear. Otherwise, archivists may find themselves compiling chronicles in the tradition of medieval monks. If, however, archivists choose their themes with the goal of developing hypotheses that may fill vacuums in the realm of human knowledge, or correct erroneous accounts of the past, or solve historical problems—as Carl Becker advised—no one can effectually charge that antiquarianism, or nineteenth-century historical "scientism," has once again bloomed under official sponsorship.16

To avoid such a criticism, archive directors might take care that these research projects do not result in the mere abstracting and stringing together of documents or the trivializing of historical data by limiting the research to a particular pile of documents, rather than investigating all relevant sociocultural ramifications wherever questions lead during the course of research. Maynard Bricford noted the value of this approach:

Administrative history is an important research use often confused with administrative uses of historical records by the office of origin and the archivist's own special concern with administrative history in the identification, arrangement, and description of his holdings. . . . Institutional studies are not favorite topics of scholars, and the archivist's professional bias has produced misunderstandings among researchers more interested in economic development, social change, and the dynamics of inter-institutional relationships than organization, functions, procedure, and authority. The special obligation to promote the serious study of institutions and records makes the archivist an advocate of institutional history.17

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At the monthly rate of one day for work on these projects, an archivist ought to complete a monograph within two years (24 days of research). The writing itself might be accomplished during the archivist's free time after work or on weekends. Such a program should result in the production of a scholarly article researched in depth. Not all research should be performed in the archives, since a thorough job necessitates synthesis of unpublished documents with publications—both primary sources and insights from secondary works—available from libraries or other document repositories. Besides acting as an incentive for archivists to stay abreast of historical research, public administration problems, and legal interests, such a policy would enhance the reputation of an archives by publicizing its potential.

The former Archivist of the United States, James Rhoads, explained why his institution adopted the policy: "We believe that in order to be responsive to the needs of scholarship, archivists should themselves be practicing scholars... All our professional staff are being encouraged to spend ten percent of their time in independent research and writing activities." Ten percent is two days a month; some university libraries permit their staffs the same amount of time for similar activities. The "surest proof," according to Brichford, that a solid archival program exists is "the frequency and variety of use" by administrators and scholars. And, he added, to keep up with the profession, to grow as an archivist, even to possess the ability to appraise records and carry on discussions with researchers, the archivist "must read history extensively to understand research uses and write history to gain an appreciation of historical methodology."

Furthermore, in another work, Brichford deemed continual personal research mandatory for all archivists to perform satisfactorily. Only archivists who keep up with contemporary research can judge whether documents available to archives are worth preserving. In Brichford's words: "The most difficult task in archival evaluation is deciding that a record is not likely to be needed for scholarly research. Here the archivist must look at current scholarship, research trends, and his own experience in research work... Without a sound personal research background and a wide knowledge of research in other fields, the archivist cannot anticipate the research needs of others." Federal and university archivists, who have written most about the problem of archival scholarship, ought to be joined in their concern by all archivists, be they local, state, private, religious, or corporate. All archivists should endeavor to start institutional programs that not only allow, but promote personal research on the part of the staff. Not until such a policy is generally recognized as necessary for personnel development will the archival profession emerge from its status as a skill to a professional standing on par with other scholarly disciplines. When the care of archives is perceived as belonging to the intellectual pursuits, then the world of scholarship may accept the archival vocation as a full partner in the search for truth.
NOTES


3 Solon J. Buck, "'Let's Look at the Record,'" American Archivist 8, No. 2 (April 1945): 110.


12 Instances of Ernst Posner's and T. R. Schellenberg's backgrounds quickly come to mind, but their historical-archival interests stem from a European tradition. For example, Friedrich Meinecke, after receiving his doctorate from the University of Berlin, spent the next fourteen years working in the Prussian Archives. During that time, he came across the papers of Prussian Field Marshall von Boyen, who had reorganized the German army following Napoleonic era. The resulting von Boyen study boosted Meinecke into the ranks of outstanding European historians. Even in the early 1930s, Meinecke was acting as a consultant for Prussian archives. Albert Brackmann, "The National Archives Staff Information Circulars: Archival Training in Prussia," 1 (December 1938): 2, 7, 9.

13 DeLloyd J. Guth, "History as Epistemology" (Presentation delivered at the Missouri Valley History Conference, Omaha, Neb., March 10, 1978).


The North Carolina State Archives Research Fee Saga

Larry E. Tise and Druscilla R. Franks

North Carolinians in 1903 acted through their General Assembly to establish one of the earliest state history programs in America and hired as their first archivist R. D. W. Connor, who would become the first archivist of the United States thirty years later. Connor and his followers pursued with a vengeance the practice of public history and archives. They established many precedents in the handling of archives which have been utilized throughout the United States—from basic archival practices to the first state public records law in America. The earliest state microfilming program was begun in North Carolina, as well as the first and most comprehensive attempt to collect the public records of county and municipal governments. More recently, attempts have been made to establish a firm court precedent for the concept and practice of replevining public records out of custody. A Fort Knox type of security system has also been established, and experimentation with a fee system for supporting genealogical reference work has gone into effect. The last of these innovations will be the subject of this brief article.

Like all other state archival institutions, the North Carolina State Archives has been besieged in recent years by geometrically increasing demands for reference services. As is the case with most of these institutions, the area in which requests have grown most quickly is in providing data for persons undertaking genealogical research. The level of demand from persons doing more traditional historical research has not increased nearly so dramatically. Over a period of five years, the number of visitors to the Archives Search Room has increased by more than 5,000 or an average of more than 1,000 per year. The number of letters which must be answered increased an average of about 1,100 per year. Aggregate figures for reference services during the 1978 calendar year were as follows:

<table>
<thead>
<tr>
<th>Service</th>
<th>Anticipated Number</th>
<th>Actual Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Search Room Visitors</td>
<td>15,000</td>
<td>16,499</td>
</tr>
<tr>
<td>Mail Information Requests</td>
<td>12,000</td>
<td>14,003</td>
</tr>
<tr>
<td>Microfilm Reels Used</td>
<td>31,000</td>
<td>39,681</td>
</tr>
<tr>
<td>Call Slips Used</td>
<td>30,000</td>
<td>64,020</td>
</tr>
</tbody>
</table>

All of these services were handled during the year by 4.3 persons including portions of the time of a senior archivist, three junior archivists, one part-time records clerk, and a temporary clerk. This same staff which handled reference services was also responsible for doing much of the maintenance and preservation work on records in custody as well as some rearrangement of...

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existing record files.

Until near the end of 1977, this small staff had been barely able to handle the workload. They were accustomed to using periods when visitation to the Search Room was lighter and the number of letters to be answered fewer to perform other essential archival functions. At that time it required a maximum of three weeks for replies to be made to written inquiries. During the last few months of 1977 when the Archives would normally have experienced a reduced number of letters, however, the quantity of reference requests became almost unmanageable. Working to full capacity, the reference staff suddenly found themselves with more than 800 letters to be answered, all of which had arrived in the past two weeks. They also found that the number of patrons using the Search Room and the types of services the patrons requested were increasing dramatically from week to week. In order to reduce the backlog and to close out the calendar year with every letter answered, the Archives had to stop its other activities and assign all archival staff that could be spared to the task of answering letters.

Having survived this experience at the conclusion of the year, the Archives decided at the opening of 1978 to look at alternatives to what was becoming an untenable situation. Dr. Thornton Mitchell, administrator of the Archives and Records program, made an analysis comparing the volume of work to the available resources. In February he recommended three possible alternatives: add additional personnel in the Search Room; divert all Archives personnel to reference work; or reduce the level of service rendered to the public. Areas where reductions might be made were also suggested: closing the Search Room one day a week; discontinuing reference services by mail to non-North Carolina researchers; transferring certain archival functions to other programs of the Division of Archives and History; or charging a search room and handling fee for undertaking research in response to out-of-state inquiries.

No one wanted to reduce services or invest all archival staff in the reference function alone if it could be avoided. Since it was not possible to add personnel immediately, the Archives searched for strategies that would ensure the continuation of basic reference services while allowing the Search Room staff to accomplish other archival tasks as well. The concept of a search and handling fee which could be used to provide additional Search Room staff to answer inquiries began to look increasingly attractive. If a fee could be charged that would cover the basic costs of answering letter inquiries, it seemed possible that over a period of time the Archives might be able to make this unpredictable reference service self-sustaining and reduce the drain on the remaining archival work.

Before making any major changes in reference procedures, however, the Archives decided to examine the practice of other states. In April the North Carolina Division of Archives and History undertook a national survey of all state archival institutions, asking if they charged search fees, whether they were making reductions in their reference functions, and how they were planning to deal with what was presumed to be a national increase in requests for assistance from archival institutions. Responses were ultimately received from all the other forty-nine states. The results may be summarized as follows:

| No search fee | 42 |
| Time limit on search | 4 |

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The responses suggested that nearly all state archives were facing similar problems, but few had made any basic decisions regarding solutions for the future. A few had responded by reducing the amount of time spent on any single search (Alaska, Arizona, Hawaii, and Oregon). A few had eliminated searches for letter inquiries entirely (Arkansas, Iowa, Kansas, and New Jersey). Six had initiated a search fee of from $1.00 for each inquiry up to $11.00 per hour of search service (Hawaii, Kansas, Maryland, Montana, Oregon, Pennsylvania, and Vermont). Seven states were actively considering the initiation of a search fee (Florida, Michigan, Nevada, North Carolina, Oklahoma, Virginia, and West Virginia). The major conclusion we drew from the survey was that other states were finding themselves in a similar situation, but that a solution to the problem had not yet emerged.

After compiling the survey results, final conclusions were formulated regarding North Carolina's solution to the problem. A three-person committee was established to make firm recommendations on steps to be taken. The committee made four recommendations, all of which were adopted immediately:

1. The Search Room would be closed on Mondays (along with our museum and historic sites) to allow the staff time to catch up on letters and to do other needed archival work.

2. A search fee of $2.00 per letter received from non-North Carolina residents would be charged, the revenues from which would be used to provide additional temporary staff in the Search Room to handle reference requests.

3. Detailed statements on the types and limits of available reference services would be prepared to be issued both to Search Room patrons and correspondents.

4. The Search Room would be closed two days near the beginning of each calendar year to enable the staff to make an inventory of archival holdings and return fugitive records to their proper place.

The recommendation to close the Search Room on Mondays was implemented on July 1. Also on July 1 the Archives began to notify correspondents that a search and handling fee would be collected beginning October 1. If the search fee was not included in out-of-state letters of inquiry after that date, they would be returned to their senders. The various materials and staff capabilities necessary to operate the system were then prepared for full implementation. To make these changes legal and to insure that the Archives had the authority to collect and make use of the search and handling fee, the Archives' governing body, the North Carolina Historical Commission, was asked to adopt the necessary regulations governing the system. Although public complaint about Monday closings and the search and handling fee had been anticipated, the Archives' staff was pleased and somewhat surprised that almost no complaints were registered.

Most of the few complaints that have been received relate to the rather
impersonal reply used to inform correspondents of the search and handling fee requirement. With the initiation of the new policy, two forms had been printed. One notice, simply explaining the requirement, is returned with all out-of-state letters received without a search and handling fee. The second notice is sent to those correspondents who have either sent an incorrect amount for the search and handling fee, or who have sent an estimated amount for the cost of copying any documents found (with or without the search and handling fee). This form explains that the Archives is unable to accept the correspondent's payment because of statutory requirements, informs them of the search and handling fee, and offers to conduct a search, if so desired, upon the correspondent's returning the original letter accompanied by the $2.00 search and handling fee.

As the public became aware of the search and handling fee requirement, several misunderstandings developed. For example, several correspondents believed the fee requirement meant that for $2.00 they could get their entire family history researched. Others assumed that they would receive a list or even copies of all wills (or estates records, marriage bonds, or any other series of records) pertaining to a specific surname and county. It soon became apparent that some type of policy statement was needed which would define precisely what the term "search" referred to, types of searches possible, and types of questions which could not be handled. Such a statement was written and printed and is now sent to each correspondent whose letter does not comply with the Archives' requirements.

This policy statement begins by informing the correspondent of the search and handling fee requirement (eliminating the necessity to enclose the statement which merely describes the fee). In addition to specifying the amount of the fee, the statement explains that the purpose of the search and handling fee is to help defray the cost to the taxpayers of North Carolina of rendering a reference service by mail to non-residents of the state. The statement also explains that, after accepting the correspondent's letter, the Archives will send to the researcher a report of the search conducted, including a statement of copying charges. It is made clear that the preservation and protection of North Carolina's public records, not genealogical research, is the primary responsibility of the State Archives.

The policy statement then gives examples of requests which the Archives can respond to:

a. Do you have a record of Revolutionary War (or Confederate) service by Elijah Coor of Craven County?

b. Do you have a marriage bond for Elijah Coor and Grace Jones, about 1800?

c. Do you have a will or estate record for Elijah Coor of Craven County, about 1840?

d. Does the 1850 Census Index for North Carolina report the surname Coor?

e. Does the record of probate of the will of Elijah Coor appear in the Craven County court minutes for May Term 1840?
To further explain to the correspondent what type of requests the Archives can handle, the policy statement also gives examples of requests which cannot be responded to by the Archives:

a. Who were the parents of Elijah Coor, born in Craven County, about 1755?

b. Who were the children of Elijah Coor of Craven County, 1800-1840?

c. Please search for the brothers and sisters of Elijah Coor of Craven County during the last half of the eighteenth century,

d. Please send me a copy of all the Coor wills (or estates records, or marriage bonds, or any other series of records) found in the Craven County records in your custody.

e. Please send me anything about Elijah Coor, Craven County, 1755-1840.

Finally, the policy statement clarifies the type of research which is conducted for a military request. Because there is scant information available for a Revolutionary War or Civil War soldier, there are three standard sources checked for each per one $2.00 search and handling fee. For the Revolutionary War there are the Revolutionary Army Accounts, Revolutionary War vouchers and the Colonial and State Records of North Carolina. (The policy statement notes that since Revolutionary War pension applications are federal records, researchers should write to the National Archives for this information.) For information pertaining to a Civil War soldier, the three sources checked for one fee are Civil War pension applications, Moore's Roster of North Carolina Troops in the War Between the States, and North Carolina Troops, 1861-1865: A Roster.

This policy statement has greatly reduced the staff time spent explaining why letter inquiries are being returned to correspondents. Now a policy statement is simply sent to the correspondent, along with his original letter, explaining why his letter was returned. The correspondent, in turn, can rewrite his letter in a manner that can be handled more readily.

The final chapter in our search fee saga is perhaps the most interesting. After we instituted the search and handling fee and began collecting it, the Administrative Rules Review Committee of the North Carolina General Assembly challenged the statutory authority of the Division of Archives and History to charge such a fee, the fee policy's discrimination against non-residents of North Carolina, and the Archives' authority to spend any funds which had been or would be received through the system.

This challenge, made less than two months after the Archives had begun collecting the fee, was quite frustrating. Just when it seemed that the Archives was on the road to solving some of the problems in handling reference requests, it appeared that the whole system was about to collapse. The Archives immediately claimed that it did have authority to charge the fee. Later, such claims became a delaying tactic so that the Archives could continue the system until specific statutory authority was granted.
The Archives quickly drafted a bill that would give the North Carolina Historical Commission specific statutory authority to establish fees of all types in the operation of the State Archives. The bill was introduced by Senator Willis Whichard and enjoyed smooth sailing until it reached the Senate Finance Committee. That committee claimed that only the General Assembly could establish fees and demanded that the bill be redrawn two times before it could be reported favorably. During the lively debates that followed, it became clear that the General Assembly had no qualms about discriminating between residents and non-residents of North Carolina. It was also apparent that the General Assembly perceived genealogical reference as a special type of service, the costs of which should be borne fully by the persons seeking the assistance. When the legislators learned that more than 90 percent of such letter inquiries came from outside North Carolina, they were convinced of the correctness of the system.

A bill was reported favorably and ratified on April 13, 1979, with the following language: "The Department may answer written inquiries for non-residents of North Carolina and for such service charge a search and handling fee not to exceed ten dollars ($10.00), the receipts from which fee shall be used to defray the cost of providing such service." The Archives finally had a mandate to make the fee system self-supporting and to use any funds generated from the system to provide this special type of service.

The search and handling fee has had a significant impact on requests for reference services. The fee has nearly stopped inquiries from professional genealogists. It has greatly reduced the number of "shot gun" inquiries for "any" information about a particular individual; the Archives simply will not handle such requests. The fee has also nearly ended the practice of a single correspondent sending twelve letters per day asking twelve different questions. Finally, and unfortunately, the search and handling fee has considerably increased the amount of paper work and postage costs by requiring staff to return inquiries that arrive without the search fee and inquiries that cannot be handled under the new policy. Taken together, however, the results have been beneficial. The Archives' staff now believes that the search and handling fee system will be a permanent solution to a long-standing problem of providing adequate reference service to the general public while maintaining our basic archival programs.
The Yellowed Square of Paper: The Archival Appraisal of Accounting Records

Michael V. Lewellyn

Each morning the junior staff awaited the arrival of the senior accountant. He went to his desk, donned his green eye shade, rolled up his sleeves, unlocked his desk, and removed a yellowed square of paper. He read it and returned it to the cavity of his desk. With the window to the left of his desk, the senior accountant began his day. Each day he repeated this regimen, while the junior staff wondered what the yellowed square of paper contained. After many years the old accountant died. Hurriedly, the staff ran to his desk, unlocked it, and read the paper. It read, "Remember, the debits are next to the window." The senior accountant simplified the convoluted mysteries of accounting with his simple reminder. The moral of the anecdote, and of this article, is simple. Taking the mystery from accounting is the necessary preface to its understanding and appraisal.

On first sight, stacks of dusty old ledgers appear uninviting to the researcher, but the records of accountancy have proven to be rich in detail for the historian's interpretation. A number of biographies, notably Steel's T. Butler King of Georgia, used account books extensively. Corporate biography, like Harold Martin's Three Pillars of Trust Company of Georgia, is in its most elemental form a narrative of profits and losses. But accounting records may also reveal the mix of individual cupidity, social necessity, and institutional opportunity, as in Seymour Mandelbaum's Boss Tweed's New York. When Lewis Atherton wrote The Country Store and Mainstreet on the Middle Border, defining the predominant business institutions of the post-Civil War South and Midwest, he relied heavily on account books. With their use of accounting records, two books in particular have redirected historiography. Gene Gressley's Bankers and Cattlemen used the ledgers and journals of western stockmen to redefine the roles and relationships among investors, commission agents, and ranchers in the range cattle industry. Despite the furious criticism excited by Time on the Cross, Robert W. Fogel and Stanley Engerman exploited accounting records in a new interpretive fashion and forced their critics to use similar evidence. The new school of econometric history is dependent on the use of quantitative data, including accounting records, and alternative suppositions.

Michael Lewellyn prepares descriptive inventories for the Governmental Records Office of the Georgia Department of Archives and History. His interest in the archival importance of accounting records developed during his research for the administrative history section of an inventory of the state-owned Western and Atlantic Railroad. He is a member of the Society of Georgia Archivists and is a Certified Records Manager.
Despite their value, accounting records present many problems. Most archivists lack an understanding of accounting formats and the sequential flow of information between these record types. Consequently, the uninformed appraisal of accounting's large volume of loose papers and bound books encourages indiscriminate retention. Whether one is a special collections librarian or a public archivist, account books are generally a cause of anxiety for us, when we can think about them, and frequently an unreasonable expense of shelf space, labor, and overhead.

This essay aspires to define the formats and essential theory of accounting, to erect a scaffolding for the appraisal of accounting records, and to argue the selective retention of only essential information. In writing this, I acknowledge my bias towards records management and its "life cycle" conception of the creation, use, maintenance, and disposal of records. Accounting records come to an archival custodian: 1) as a part of a manuscript collection which includes the account books of an individual's personal affairs or his business; 2) as a collection of business records without personal papers, varying in size from a few volumes to a truckload; or 3) as part of an internal, procedural transfer to an archivist or a records manager from a creating office. The last case is singularly different. In such a situation, historical or informational values are secondary to the administrative, legal, or fiscal value of the series. Regardless of how these records are accessioned, one must remember that accounting records are unique and must be appraised according to special criteria.

A THEORETICAL FRAMEWORK

Accounting is a discipline which measures, summarizes, and interprets information relevant to the economic activities of an organization. This economic entity may be a proprietorship, a corporation, a political subdivision or government, or a non-profit group such as a church, a chamber of commerce, or a university. The economic activities of an organization are measured in units of dollars to give a common, compatible reference. The utility of accounting records is weakened when historical inflation, social costs and overhead, and barter transactions are not considered.

A business operates on either the cash or accrual system of accounting. Cash accounting creates only a journal as the primary record and does not permit credit accounts. Accrual accounting records revenues or expenses on the day a transaction is committed whether or not any cash is exchanged. To maintain the duality of transactions, the accrual system operates a journal to record entries chronologically and a ledger to record entries by account or subject.

The great revolution from a cash to a demand deposit economy during the 1890's profoundly affected accounting and the creation of records. The broadening use of checking accounts accelerated the demise of cash accounting and facilitated the wide acceptance of accrual accounting. In its simplest form the cash system required only a journal and cash receipts. The expanding marketplace created manifests, bills of lading, and invoicing; the expansion of checking created deposits, checks, and another surge of invoicing. The years between the Great Depression of 1893 to 1914 mark a watershed in the creation of types and growth in the volume of entry documentation in addition to the basic journal and ledger. Consequently, this entry documentation often equals the volume of the two account books.
Not all financial records are accounting records. Financial records—such as entry documentation including cancelled checks, bank deposit receipts, receipts for cash payments, invoices for goods purchased or ordered, waybills, and other transportation records—record information for entry and provide source documentation for the administrative reference of accountants and auditors. Accounting records arrange, measure, report, summarize, or interpret financial information. Arrangement and measurement segregate data into classifications based on function, product, line-of-business, a calendar cut-off, or some other grouping. Reporting, summarizing, or interpreting requires the fashioning of data and its analysis into a series of quantitative statements or narrative reports. The latter forms reflect decision-making and are more important. During appraisal, the archivist must confirm that the accounting records adequately recapitulate the data of the financial records.

The theory and practice of accounting is built on a single equation: "assets = liabilities and equities." Assets are desired objects with a measurable dollar value, such as mortgages, mining equipment, or moonshine in Mason jars. Liabilities are binding debts or claims owed to others, such as bills payable or toll road revenue bonds. Equities represent the difference between assets minus liabilities or net assets belonging outright to the holder, such as an inventory of seed peanuts or shares in a shrimp fleet when all the debts are paid.

The equation has two corollaries. If one makes an entry or entries to one side of the equation, then one must make an equal entry or entries to the opposite side of the equation. Thus a double entry system maintains a balance of accounts in the ledger and the journal. The second corollary stipulates arbitrarily that revenue is recorded as a debit ("next to the window"), and expenses and profits are recorded as credits. The corollary equation reads: "revenue = expenses and profits," and the rule is followed for both the journal and ledger.

THE FIVE FORMS OF ACCOUNTING

Accounting has five major formats. The journal and analogous daybook are the "book of first entry." The ledger is the "book of final entry." The unit data of these two forms are interpretively arranged and summarized in the statement of financial position and the statement of earnings. Although the titles and construction of the two statements have varied historically, the captions and design of the modern statements will enable the archivist to identify pre-twentieth century forms. Managerial accounting is a textual manipulation of data.

The journal is a register of entries in chronological order. The information recorded may vary widely but ideally includes the date, a description of the transaction, the ledger "folio" or page number, and the dollar amounts with a running total. The transaction description contains two elements or lines: the debit is denoted with a "Dr" usually on the top line, and the credit is denoted with a "Cr" usually on the bottom line. A journal does not have an index. The daybook is a journal with a long-narrow format and briefer space for daily entries; they are used primarily to record cash receipts.

The ledger recapitulates the journal's chronological data into accounts arranged at random with an alphabetical or numerical index. Manual systems title each account with a caption for a person, firm, product, or process such
as "sewing snuffleuppeguses." Large accounting systems assign a number to each account and a series of numbers for categories of accounts like the 3,000's for taxes and 3,001 for corporate income tax. The ledger information varies but ideally includes a date, a description of the transaction, credit(s) and corresponding debit(s) in separate accounts, the journal folio number, a dollar amount, and a running total. The ledger's alphabetical index to the accounts provides a key to the accounting cycle; and it consequently supersedes the journal in archival utility and retention value.

Two derivative records of account books may be vitally important. Both ledgers and journals segregate accounts into specialized, subsidiary books for sales, delinquent receivables, cash receipts, and other series which are summarized into the parent account book. Subsidiary books should be compared closely with the parent account book; they may include vital, disaggregated information. The total of all debit and credit accounts in the ledger gives the trial balance, which is a crude but useful summary for scholars. It is, however, neither as useful nor as reliable as the two statements.

The modern statement of financial position or balance sheet measures the assets, liabilities, and equities of an organization at one specific point in time. The arrangement of the statement reflects the basic theory. The assets may be listed as single items or classified as aggregates. A current asset or liability is expected to be collected or paid within a year. A long term asset or liability is expected to extend beyond a year. Individual stock ownership in a business is recorded in the minutes or in a subsidiary ledger; a proprietor or partnership records equity in the retained earnings. The latter category records profits left in the business. The statement of financial position or balance sheet is the most important statement when compared with earlier balance sheets because it reflects a cumulative total of prior assets, liabilities, and changing equity.

The earnings or income statement summarizes the economic activities of an organization for a specific period of time. The statement is also called a profit and loss statement, a statement of income, profit, loss, and other variations. The statement measures the revenues received against the resources expended to create those revenues for a common period of time. The earnings statement, however, does not include cumulative data; but it does demonstrate the profitability and efficiency of an organization from period to period.

Managerial accounting is an additional form of interpretive reporting which arranges financial data to inform stockholders, management, or even the bondholders of a company. The subjects of managerial accounting may vary from the consideration of alternative investments to the analysis of a manager's performance. The managerial accounting report may be a single item or a serial; the report may be specialized, argue a specific point of view, or lack explicit documentation. Managerial accounting reports may have more informational value than the other formats. They are particularly valuable in use with other accounting records. Historical examples of managerial accounting tools include the condition reports of southern railroads after the Civil War, attorneys' investigations for British investors of western mining or cattle properties, and the multi-volume report of the U. S. Industrial Commission, 1898-1901.
BEFORE APPRAISAL

A deliberate, articulate policy should guide the acquisition of accounting records. The mere presence of bodies of material due to administrative inertia is not sufficient justification for archival retention. Over twenty-five years ago, a distinguished business archivist contended that although it was difficult, "to anticipate every use of the records, yet the broad interests of the users should be kept in mind" in making accessions. Before the archivist elects to collect accounting records, he should deliberately design a coherent, collecting policy. When he assumes a new position and inherits an accounting collection, the archivist should re-ascertain its value to the institution. One should consider the mandate granted to the archives by its parent institution and its constituent clienteles. A university with a strong economics or business administration school would utilize accounting records, but would the special collections at a liberal arts college do so, too? Will accounting records complement the other collections of an archives?

The resources of all archives are finite. Accounting records invariably consist of a few volumes or many cubic feet. The archivist should attempt to extrapolate what is the maximum amount of space that could be allocated to accounting records. Will space for personal papers be forfeited? Does the archives have additional space for processing massive collections? Is additional staff time available for processing, or will the donors of accounting records be encouraged to contribute funds for processing? Are the winds of research favorable to a collection of financial records? Each on his own must analyze the use statistics of his collection. A university special collections must continually refresh its collections to provide work for its graduates and faculty. Library reference rates, faculty book orders, and even random interviews among students will reveal the range of patron interest.

The construction of a research collection of business materials is best determined by aggressive acquisition predicated upon intensive homework. One must understand an area's economic evolution before collecting account books. City directories and decennial censuses are particularly valuable in defining this evolution. At the University of Wisconsin, Parkside, Nicholas Burkel established a program to inventory and schedule the essential records of prior and existing businesses in a small geographical area. One should acquire representative accounting records or collect in a predefined order of priority. For example, an Atlanta archivist might decide that gold and coal mining was more significant than flour mills or hotels. After identifying one's collections needs, the archivist can decline or accept collections according to his target. Before appraisal the archivist should consider whether the accounting records have residual active values. Will the record creator or record user have any continuing reference to the record? Do the records document the expenditure of public funds, as by United Way agencies, or do the records document the use and depreciation of capital equipment for purposes of taxation? Do the purposes of future legal or audit questions preclude the disposition of any part of an accession? Do the policies of an organization dictate use limitations on any class of employees or the public; or does the quality of some portions of a collection dictate confidentiality?

Before physically transferring the records of a savings and loan or of an eleemosynary society, the archivist must consider what he will accept. Shall one accept artifacts, even when they are illustrative and in good taste? How does one decline to take the contents of the late auditor's desk? One must be flexible in confronting blank forms or technical reference publications.
while retaining the autonomy to dispose of useless paper or return any manner and number of items to the donor. In all cases, one should establish some measure of box-level control at the site. Blessed is the donor who creates even a rudimentary description of each box’s contents. The additional labor will give the archivist the essential tool to recognize and organize the patterns of the collection.

The appraisal of accounting records must be informed and comprehensive in perspective. Oliver Wendell Holmes once commented that, "Records properly described are half appraised...records seem almost to appraise themselves once clearly identified and well defined.” As a minimum, this identification should include the title of the series, the name and name changes of the organization, the date span of the series with any date breaks, arrangement, and indexes, physical condition, and the series' relationships to other series. The archivist should conceive and appraise accounting records as organic record series, common in function and form, whether created by an individual or a multi-national conglomerate.

ACCOUNTING RECORDS AND THEIR SPECIAL APPRAISAL STANDARDS

The standards for the appraisal of accounting records consist of criteria common to all records and criteria peculiar to accounting records. When the archivist accesses the records of his own organization, informational values are secondary to evidentiary or administrative, legal, and fiscal values; the more common, solicited deed-of-gift accession generally lacks any active evidential, administrative, or fiscal values, because informational values are the primary consideration. Accounting records must also be judged for:

- legibility and intelligibility
- completeness
- level of detail
- accounting function
- economic function
- volume

Of course, the value of any quantitative series is enhanced when complemented by textual record series such as correspondence, contracts, or minute books, but such situations are not common.

Physical quality is critical for quantitative records. Missing letters and words may be read in context to convey meaning; but illegible or obliterated numbers on damaged paper cannot be read in context. Many items cannot be reconstructed from the remaining figures. Any type of damage may compromise understanding and make nonsense out of figures and their columnar arrangement. In the transaction description of debit and credit entries in the journal or ledger, the clarity in the description is imperative. If the description is consistently illegible or only denotes "to account," "to sundry," or "to cash," only the volume's summary totals have much value. Unless an account book has significant value and high expected use, a volume with a broken spine or torn covers should not be rebound. Rather the binding should be removed, the pages protected in an acid-free folder, and control maintained bibliographically with the descriptive inventory.
A useful accounting series must be complete. The construction of long-term economic series, such as wages and prices, is an important application of accounting records. Completeness permits comparability over time. Fragmentary runs invite disposition when a substantive subsequent record in the accounting cycle is complete. This is especially true of entry documentation, records receipting or reporting cash, and subsidiary journals whose data may be summarized elsewhere. If the character of the series is unique, the fragment may be retained; and, hopefully, summary data from that series may be found in a subsequent series. In some instances, the data of a significant broken series may be sampled periodically and the balance destroyed. When the organization centralizes all data and summary information in the ledger, the archivist may elect carefully to destroy all entry documentation and journals in favor of an indexed ledger.

Appraisal must identify the same information at different levels of the accounting cycle and, in general, dispose of the redundant, more elementary format. To avoid needless duplication of information, the archivist should retrace sample entries from the ledger's index through the ledger to the journal and to the point of original entry. The preference for one level of data over another can be a function of the collecting policy. The potential uses for the materials play a strong role in acquisition. The historian of a corporation wants annual statements; the social historian wants specific informational data tying economic transactions to individual persons or groups. Some subsidiary account books, like a ledger for guano sales or a delinquency journal from a land and scrip company, lose their informational value when summarized in a ledger. Some forms of invoices or statements of account contain useful economic and social information which is lost during the recording into the journal. One manuscripts curator samples letterheads for their artifactual value and to identify accounts in the ledger. Many capital accounts which record the expenses to build and equip a business, are recorded in subsidiary account books and provide significant evidential information.

The accounting function of the record series may be facilitative; many accounting functions are merely housekeeping. They provide controls for the administration of a financial system without recording substantive information. The administrative control of cash and its internal transfer ultimately to the treasurer is one example. The recording of cash by receipt, cashbook or daybook, and check register are housekeeping chores.

Economic functions may be ranked in a hierarchy according to their ubiquity or rarity in the marketplace. The acquisition mandate of an archivist may limit him or her to collecting only the records of firms and organizations within a defined geographic territory, the records of a specific type of economic activity, such as the personal account books of doctors and pharmacies. A collecting policy should discriminate between analogous levels of economic activity: primary or extractive industries such as agriculture, lumbering, or mining; secondary or value-added production such as manufacturing; and tertiary including retail trade, services, and the services or rent of money. Small collections may reveal a slice of history, but a large collection of many years will reveal broader detail, more color, and a more reliable view. The archivist must respect his limited time, limited space, and limited means. He must accumulate accounting records selectively.

Evidential and informational values are predicated on a reasonable expectation of use. Few archivists can afford to allow account books or any other materials to sit unused on shelves. To this end, archivists should solicit accounting practitioners to assist with appraisal of fiscal records and
should aggressively promote the use of his record groups among potential researchers. One archivist invited an economics professor to evaluate the annual insurance company statements reported to the Georgia Comptroller-General. As a result, the professor's students used the statements extensively. For the needs of the instructor the archivist scheduled the out-of-state statements for destruction after twenty-five years, after all administrative uses were exhausted. Evidential values may document the genesis and evolution of a company's goods and services, the expansion of its market or wealth, or its relationship with classes of labor, suppliers, the public and regulatory agencies. Informational values may help to define a person, a family, another company, a charitable organization, or broad class distinctions. Accounting records are particularly beneficial for local and regional history. The historian of the urban frontier, Richard C. Wade, argues that, "a company's account book sometimes reveals economic pressures not intimately conveyed in larger statistics." Accounting records, justified for their informational values, must be utilized or their retention must be reconsidered.

Because the standard formats of accounting records demand proportionately less processing and reference time in relation to their increasing scale, volume should not frighten the archivist. One can with some adaptation impose limited, satisfactory bibliographic control over any collection. A brief, uniform inventory limited to record title, volume number, date span, and when necessary, a fragmentary description, will suffice to impose basic control and reference to the segments of a record group or collection. The volume of accounting records prevents a common degree of meticulous description for all parts or divisions of a collection. Sometimes, considerable labor must be expended in arrangement before the records can be appraised and selectively retained. From a preliminary inventory of sorted cards, time can be apportioned in priority between divisions and segments to be left untouched and those to be given detailed attention. Accounting records are of more value in the aggregate than for the information in particular documents. Lydia Lucas of the Minnesota Historical Society has written that, "The larger a collection, the more structured it tends to be, and therefore the more obvious the arrangement of its essential components."

The subjectivity of the appraisal process may be ameliorated with the use of a two-part control form. This in-house document may be handwritten on a printed form. The inventory records basic data, as cited above, with space for any annotation. The second part consists of a few sentences evaluating the evidential, facilitative, or informational value of the record, and noting other significant characteristics, such as poor physical condition or the relationship of the records to other series. On some occasions, the archivist may hesitate to destroy a record but remains doubtful of its enduring value. The increasing costs of labor, space, and overhead must be weighed with cold brutality against the probabilities of use. One should remember that for unused records, appraisal is a recurring responsibility which re-evaluates the relative research worth versus the cost of retaining a series. In cases of such uncertainty the archivist may "red-line" the appraisal statement, shelve the record, and defer final judgement. Over several years, a tally should be made of patron use which can be monitored by marking the box each time it is pulled. Detailed analysis of how the records were used might be obtained by studying researcher application forms and subsequent call slips. After the use is measured, the series can be reappraised.

Accounting records are a specialized record form; they are voluminous and non-textual in quality, and their appraisal must be premised on unique

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as well as traditional criteria. The archivist must understand the essential, theoretical framework of the accounting cycle and the five major record formats of accounting in order to appraise them judiciously. With a disproportionate amount of space required per unit of available information, one must weigh carefully the reasonable expectations of use for accounting materials. Even more important, archivists and historians must acknowledge their implicit preference for textual records. History-oriented individuals are often reluctant to exploit the values of quantitative records unless they can manipulate the data to reveal human foibles, travails, and conquests.

The thoughtful preservation of accounting records may in the end provide us with the resources to explore the premise that humans in general, and Americans in particular, have consistently revealed the best and worst of their character and aspirations through their economic behavior and in the creation and consumption of wealth, both as individuals and as corporate entities. To this end, we should recall the wisdom of the senior accountant that "the debits are next to the window." With a little more light and a little less mystery, accounting records will yield themselves and their contents to archival evaluation and research use.

NOTES


5Conversation with J. Harmon Smith, Head of the Governmental Records Office, Georgia Department of Archives and History, October 10, 1979.


Establishing effective subject access to research materials is a continuing problem for both librarians and archivists. The librarian is in a better position because he or she has the author and title to catalog by, as well as the use of established subject authority files or lists such as those developed by the Library of Congress. These lists of subject headings which are recognized and followed by all professional librarians eliminate the use of non-standard terms for cataloging and greatly facilitate access to collections lacking descriptive titles.

The archivist has a more difficult situation for two reasons. The first relates to the nature of the archival materials themselves, as opposed to books and periodicals; and the second is due to a lack of subject authority lists in the archival field. Published materials are written for particular purposes, enabling the librarians to utilize the title, the table of contents, the index, and, occasionally, predetermined topic headings to provide subject access. Collections of manuscripts, however, come together much more accidentally, with little forethought about researchers, and may provide no inherent subject clues for users. Donor or creator headings often do little to illuminate collection contents since many bodies of manuscripts consist of documents collected, rather than written, by their donor/creators. This situation is aggravated by the fact that, unlike libraries, the archival field has no recognized subject authority list for use with manuscript materials and is not likely to have such a tool in the near future. Clearly these problems only intensify the need for practicing archivists to create a specific and precise subject access file for use with their own manuscript collections.

Although the situation differs from archive to archive, the germ of a subject authority list is generally present. Archivists arranging and describing manuscript materials will be familiar with the subject content of the collections they process. The reference area may have files of material arranged by topics developed from frequently or infrequently asked research questions. Staff catalogers may have attempted to adapt library subject headings for manuscript applications. All or any one of these can be the basis for the development of an integrated, comprehensive file which will insure standardized cataloging of materials by subject. A timely beginning to this task is essential. Each week the number of collections increases and all too often these are accessible to the researcher only so long as collective staff memory of them prevails.

The purpose of this article is to provide the reader with guidance towards the creation of a comprehensive list which will provide standardized terms for detailed subject cataloging, along with appropriate cross-references (including

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Figure 1

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those which should not be used), to direct the researcher to those materials relevant to his or her project. Ideally this list can be used throughout an institution and cover a variety of forms such as letters, business records, genealogical files, printed material, graphics, and perhaps even artifacts. No matter what final form the list takes, initially a flexible format is best. A card file approach will allow for essential organic expansion and change without altering the basic structure of the list.

There are three main resources for creating a Subject Authority File: (1) the scholars and writers who have produced books in the area of collection; (2) staff members who have experience in processing collections and referencing them for researchers; and (3) local and regional subject authority lists already in existence.

The first step is to go to the authorities. Although general librarians have the Library of Congress to depend upon, librarians in special libraries often have to create particular subject categories for the special kinds of information in their institutions. But even special libraries have holdings duplicated in other libraries and can use subject authority lists developed elsewhere. Lists are created by studying the indexes of the libraries' holdings, the best books in the specialized collection area, and extracting the terms which appear most frequently. These subjects will be the most useful in cataloging all of the books and periodicals.

But an archive's or historical society's manuscripts collection is unique. Most of the documents are found in no other collection and are not indexed. The primary source as an authority does not seem useful in subject cataloging manuscripts. Therefore, the creator of the subject authority file must turn to secondary sources, the books written about the periods and places covered in your collection. For instance, in the Georgia Department of Archives and History, general histories of Georgia can be consulted. E. Merton Coulter's well-known work, A Short History of Georgia, has a lengthy index. Reproduced in figure 1 is page 445 of Coulter with nouns useful for a subject authority list underlined: Liberty pole, erection in Savannah; Library commission, state; Livestock; Local option; Lotteries; Loyalists, see Tories; Lumber, production of; and Lynching. To create a list from the indexes of ten or so books, the compiler simply makes a card for each of these terms and writes the author's name on it. The same procedure is followed with other reference works. Thus, if the second book were by Jane Smith and it also indexed the term Lotteries, a card would be headed Lotteries with the names Coulter and Smith listed underneath.

In general, it is best to examine at least eight to twelve books on the subject and to reject as a term any that does not appear in 80-90% of the indexes as not common enough to be useful. So, for example, if Liberty Pole appeared only in Coulter, it would not be accepted as a term. If Lynching were found in eight of the ten books used, it would appear in the completed subject file. The term Lotteries, a card would be headed Lotteries with the names Coulter and Smith listed underneath.

However, this method alone is never going to supply all of the terms needed for subject cataloging a manuscripts collection using only history indexes because those sources do not generally deal with the problems and pleasures of daily life which are found so frequently in the manuscripts of private letters. Terms outside the general categories of public life--
PRELIMINARY CATALOGING SHEET

Peter E. Schinkel
Manuscripts
Georgia Department of Archives and History

CONTROL #: 78-493
LOCATION #: 2122-126

1. TITLE: Noble John Brooks Outgoing Letter and Diary

2. AUTHOR(S): N.T. Brooks (1836-1922)

3. PHYSICAL FORM(S), TYPE(S), VOLUME: 10 letters, 2 diaries, original base papers, 14 pieces; typed transcripts, 1 piece; photocopied transcripts, 11 pieces

TOTAL VOLUME: 1 folder

4. DATE SPAN: 1862-1864

5. GEOGRAPHIC AREA: Bartow Co., GA; S.C.; VA

6. SUBJECT(S): Civil War - letters

Civil War - diaries

Civil War - Regiments

Caleb's Legion

7. FINDING AIDS: inventory in case file

8. RESTRICTIONS: None

9. DONOR: Armaretta Brooks Matthews (daughter)

10. ABSTRACT: The letters are written to Wor. C. and Mary Timmons Brooks. N.T.'s parents. The diary covers only Nov.-Sept. 1864. Both give detailed accounts of Civil soldier's daily life. Brookes' (his spelling) were well read and philosophic on the futility of war. The longest letter, July 4, 1862, gives minute details of the Battle of Cold Harbor.

See also Brooks Family Papers, Family Name File, and

Prints (BET 013-114) Vanishing GA.

Date: 1/24/79

Prepared by: Euk

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those being politics, labor, education, etc.—are not found in the average history. Terms relating to childbearing, courtship, and death are all subjects more likely to appear in general works on social customs and beliefs, and these books also must be consulted in order to generate the specific nouns necessary for the subject authority file.

Even these general works may not produce every term useful for defining a collection. Therefore, a second authority is needed. Fortunately, it is close at hand—colleagues and other staff members. A preliminary cataloging sheet (figure 2), derived from an actual collection, shows four subject headings (see #6) chosen by someone familiar with the manuscripts. Sheets like this can be kept for a period of six to twelve months by several of the staff experienced in working with the particular documents of the archive. This process creates a pool of terms by persons knowledgeable in specific areas, a pool much larger and more comprehensive than if it were developed by a single cataloger. After a large number of sheets are collected, a card can be made for each term, indicating the number of times it has been used by each processor. Continue as with the index compilations. Thus, for example, there may be a card for Rivera followed by the names of people who have selected the term and the number of times each did so: Jones - 2; Johnson - 1; Brown - 2.

Any earlier attempts to create a subject list can be used to produce the finished product. Check to see how the various lists overlap; terms which appear on most of them can be transferred to the composite file. Although the subject authority file does not generally incorporate the forms of the manuscripts, exceptions can be made based on reference experience. The Georgia Department of Archives and History Manuscripts Section, for instance, uses the term Personal Narratives to include diaries, journals, and narratives because there are specific requests for such items.

Additional Sources For Creating The Subject Authority File

The third group of sources for terms are the subject authority lists developed and/or used in local and regional archives and libraries. The closest, probably the one used by the research library of the Manuscripts Section's own institution, may not be very useful because it is used in cataloging books. It may be very similar to the Library of Congress subject headings. However, the local list may be helpful in choosing between two or more possible terms. A concern for the nearby authority files makes the resultant manuscripts cataloging compatible with what is done in the research library and thus renders the referencing of all materials easier.

Professionally developed subject authority lists from geographically and historically similar archives are an even better source. The Georgia Department of Archives and History's Manuscript Section uses The South Carolina Archives' Topical Index List extensively. Completed several years ago, the South Carolina List contained many terms which appeared already on Georgia's developing list (which was reassuring in itself); it also included other terms, not yet thought of, which seemed applicable to Georgia manuscripts. Such a list from a neighboring area with similar climate, geography, and history can be invaluable. The term Artisans and Mechanics, to incorporate various craftspersons in a wide variety of fields ranging from potters and weavers to the individual builders of machinery, came from the South Carolina List. Figure 3 shows samples of subject heading cards that include terms gleaned from books, manuscript processors, and lists from other institutions.
Figure 3

LOYALISTS
Mary Lee's list - Loyalists, American
Jim Smith's list - Loyalists
Coulter - see Tories
S.C.'s list - Loyalists

LUMBER INDUSTRY
Mary Lee's list - see Business & Trade
Jim Smith's list - see Timber
Coulter - Lumber, Production of
S.C.'s list - does not appear

LYING
Mary Lee's list - Lying
Jim Smith's list - see Afro-Americans - Lying
Coulter - Lying
S.C.'s list - does not appear

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Do not neglect the great national compendium, the National Union Catalog of Manuscripts’ Collections (NUCMC) index, for specific terms which may not be found anywhere else. These can be modified as needed. Although the list in its entirety is too detailed and overwhelming for use in most smaller manuscripts collections, it can suggest solutions to many problems. Their term Cities and Towns proved a useful way to cover a wide variety of advertisements and postcards about Georgia’s towns after changing the phrase to Towns and Cities to better reflect the size of the communities. The NUCMC Index is primarily helpful as a source of ideas.

Specific Ways to Handle Details

Adding terms to the file does not solve all the problems of subject cataloging; a list of possible subdivisions must be drawn up. In this way, the forms of the manuscripts can be dealt with—Newspapers and Graphics, for instance. Broad categories like Civil War can be broken down into Civil War – Letters or Civil War – Regiments. Subdivisions can be applied to any common geographic location.

The mention of geographic location leads to the subject of proper nouns. Generally a subject authority list will not include proper nouns because they are too numerous. This does not mean, however, that they are not used in cataloging. Many proper nouns become headings because they are main entries: The William K. Haddaway Civil War Letters; the Morecock/Baldy/Smith/Williams Family Papers; the Jackson Sisters Papers. Haddaway, Morecock, and Jackson are automatically headings in the card catalog. Additional subject cards would be made for Baldy Family, Smith Family, and Williams Family. If one collection contained letters written by Eugene Talmadge, for instance, a subject card would be made for him. These matters lie outside the scope of the Subject Authority File and must be decided by experience and good judgment.

Although geographic locations will not appear in the subject file, some limits must be set to prevent every Hilly Dale and Handy Crossroads from being considered a subject. At the State Archives collections are cataloged by county because: 1) so much of Georgia is organized under the county structure; 2) there is little urban development state-wide; and 3) the numerous small counties make location very specific. Georgia locations are under county name only with cross-referencing for county name changes. Collections with papers from outside the state are cataloged by State or foreign country. The one exception concerns Civil War soldiers. Because soldiers were moved so often, material authored by them is cataloged under Civil War Regiments, followed by the appropriate regimental number. The location of these regiments on various dates is easily identified in numerous histories.

Another consideration is chronological cataloging. Time periods can be included in the subject file that are keyed to the amount of material in each era that the collection contains. If eighteenth-century material is rare, begin with the category 1800. If there is a great deal of World War I material, make 1914-1918 a whole section in itself.
<table>
<thead>
<tr>
<th>Subject Heading</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>LAW</td>
<td>see also: PROHIBITION</td>
</tr>
<tr>
<td>LAW ENFORCEMENT</td>
<td>see also: COURTS; LIQUOR LAWS</td>
</tr>
<tr>
<td>Law Practice</td>
<td>see: BUSINESS AND TRADE - LEGAL PRACTICE</td>
</tr>
<tr>
<td>Lawyers</td>
<td>see: BUSINESS AND TRADE - LEGAL PRACTICE</td>
</tr>
<tr>
<td>Legal Societies</td>
<td>see: BUSINESS AND TRADE - ORGANIZATIONS</td>
</tr>
<tr>
<td>LIBRARIES</td>
<td>see also: specific libraries</td>
</tr>
<tr>
<td>LIQUOR LAWS</td>
<td>xx LAW ENFORCEMENT; PROHIBITION; TEMPERANCE</td>
</tr>
<tr>
<td>LIVESTOCK</td>
<td>xx AGRICULTURE</td>
</tr>
<tr>
<td>Lodges</td>
<td>see: CLUBS, SOCIETIES, AND LODGES</td>
</tr>
<tr>
<td>Lunatic Asylums</td>
<td>see: MENTAL HOSPITALS</td>
</tr>
<tr>
<td>LOYALISTS</td>
<td>x Tories</td>
</tr>
<tr>
<td></td>
<td>xx AMERICAN REVOLUTION</td>
</tr>
<tr>
<td>Lumber Industry</td>
<td>see: BUSINESS AND TRADE; TIMBER</td>
</tr>
<tr>
<td>LYNCHING</td>
<td>xx AFRO-AMERICANS</td>
</tr>
<tr>
<td>MAPS</td>
<td>see also: SURVEYOR GENERAL DEPT. (GA)</td>
</tr>
<tr>
<td>Masons [secret order]</td>
<td>see: FREEMASONRY</td>
</tr>
<tr>
<td>Mechanics</td>
<td>see: ARTISANS AND MECHANICS</td>
</tr>
<tr>
<td>Medical Colleges</td>
<td>see: COLLEGES AND UNIVERSITIES</td>
</tr>
<tr>
<td>Medical Practice</td>
<td>see: BUSINESS AND TRADE - MEDICAL PRACTICE</td>
</tr>
<tr>
<td>MEDICAL SERVICES</td>
<td>see also: HOSPITALS</td>
</tr>
<tr>
<td>MEDICINE</td>
<td>xx EPIDEMICS; MENTAL ILLNESS</td>
</tr>
<tr>
<td>MENTAL HOSPITALS</td>
<td>see also: PHYSICIANS AND SURGEONS</td>
</tr>
<tr>
<td></td>
<td>x Home Remedies</td>
</tr>
<tr>
<td></td>
<td>xx EPIDEMICS; PHYSICIANS &amp; SURGEONS; SCIENCE</td>
</tr>
<tr>
<td>MENTAL ILLNESS</td>
<td>see also: specific mental institutions</td>
</tr>
<tr>
<td>MILITIA</td>
<td>xx HOSPITALS; MENTAL ILLNESS</td>
</tr>
<tr>
<td>Mills</td>
<td>see also: MEDICAL SERVICES; MENTAL HOSPITALS</td>
</tr>
<tr>
<td></td>
<td>see also: specific units of specific wars</td>
</tr>
<tr>
<td></td>
<td>xx AMERICAN REVOLUTION</td>
</tr>
<tr>
<td></td>
<td>see: TEXTILE MILLS</td>
</tr>
</tbody>
</table>
Organizing A List

Once the list is compiled, it must be organized. Two options are: (1) the traditional subject authority listing, similar in format to the Library of Congress Subject Headings; and (2) a thesaurus capable of being used with on-line cataloging. Since most archives and historical societies do not yet have on-line cataloging and because organizing a thesaurus is more exacting than organizing the traditional list, only the latter will be described.

The traditional method is easier because subjects can be selected in isolation from each other and only related to other terms as necessary. In reviewing page six of the Georgia Department of Archives and History Manuscripts Section's Subject Authority List (figure 4), it is easy to trace which terms made it from the Coulter index page to the final listing. Some were too narrow to warrant inclusion. Some which also appeared in the South Carolina list were added automatically. The terms that were adopted appear in capital letters in the left-hand column. Terms that were in use by catalogers but were omitted from the file appear in small type. "See" references guide the user to the correct term: "Lumber Industry, "See Business and Trade or Timber."

A system of "X's" help the compiler prepare cross-reference cards. If she or he chooses Mental Hospitals as a term, the "X Lunatic Asylums" indicates that a card must be made for the latter term with a "see" reference to Mental Hospitals. In addition, cards must be made for Hospitals and for Mental Illness, each with a "see also" reference to Mental Hospitals, thus channeling the researcher toward more specific subjects.

The Subject Authority File continues to grow with the experience of the processors and the reference staff. The term Lynching has been added rather than the subject being subsumed under the category Afro-Americans. There is a "see also" reference from the latter to the former. The unused term "Mills," with a "see" reference to Textile Mills, has also appeared.

Once the list is completed, its uses are fairly standard. Checks are made next to terms when they are first used to give some indication as to which terms are deadwood. Additional cards are made for "see" and "see also" references, and further subdivisions are added when topics seem to be too broad. The subject authority list exists to make subject cataloging useful to researchers. If a term is used often enough that hundreds of cards are found under it, subject cataloging is not useful. There is no point to using the term Georgia as a geographical term in the Georgia Archives Manuscripts Section. Indeed, no archivist has the time, nor is it very helpful, to catalog a collection under every noun which appears in its papers. Keep in mind that some subject cataloging is better than none and that the sooner such a reference aid can be made available to researchers the better.

In Summary

The Subject Authority File forms the necessary basis for ready access to manuscripts collections by providing precise cross-referencing of the many possible terms which could be used in subject cataloging. Such a list has its roots in the work and thought of the people who process and reference the manuscripts. As well as collecting terms, compilers of Subject Heading Lists need to develop subdivisions and guidelines concerning special areas.

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such as geographical and chronological terms. Finally, the file must be organized with "see" and "see also" references to make it usable by catalogers.

If the Subject Headings remain on cards, additions and corrections can easily be made, but the entire file cannot be seen at one time. In list form, the terms are easy for the cataloger to skim; however, changes to the list are messy and it has to be retyped completely when revised. On the other hand, the list can be duplicated and passed around easily, whereas cards are bulky to transport. Each form has its advantages depending on the point one has reached in the evolution of the authority file.
Conservation and Community Action: Bringing the Message Home

Richard Kesner

I

Amongst the many problems that archivists face in the fulfillment of their responsibilities, perhaps the most intractable tasks involve the preservation of those historical materials in their custody. It is not therefore surprising that professional meetings and seminars devote at least a portion of their allotted time to some aspect of paper or photographic conservation. At these sessions, conservators often discuss the pressing need for greater community involvement in conservation programs and address the broader issues of institutional, state, and regional cooperative efforts. But they also tend to emphasize that a proper conservation program requires highly skilled and experienced personnel, a well equipped facility, and substantial, on-going financial support. This type of comprehensive program often excludes modest-size establishments, especially those isolated from like-minded archives seeking a cooperative arrangement.

At this time, it is unlikely that archivists will witness an increase in agency support for archival conservation work. Small local archives should be encouraged to send "piece-work" to the professionally staffed labs of larger institutions in their regions or to band together to fund communal centers for paper and photographic conservation. Though increased costs and shrinking budgets may price the "cure" of professional conservation services beyond the reach of many institutions, archivists are not powerless to promote the cause of "preventative medicine" within their own communities. Indeed, beyond damage caused by "inherent fault," much of the document and artifact deterioration faced by archivists today can be traced directly to earlier owner neglect and ignorance of basic conservation practices. As a profession, we should not limit ourselves to mending and repairing damaged materials when greater public awareness about conservation practices can result in better preserved and ordered collections.

It should be emphasized that such a conservation education program, though planned to adhere to the highest professional standards, is not a substitute for an on-going conservation program, nor is it intended to turn laymen into instant conservators. The goal of a conservation education program is to acquaint the public with the basic elements of paper, photographic and artifact conservation and to encourage them to take preventive steps to preserve such materials in their care. Furthermore, an educational program has the added benefit of drawing attention to the archives itself and to its special mission in the community. In the end, conservation seminars or workshops not only alert people to the value of their personal papers, books and photographs, they also demonstrate to them how a local library or archives may serve as the most appropriate depository for such materials and establish it as the

Richard Kesner is the Director of the Archives of Appalachia housed at East Tennessee State University. This article is based upon a presentation entitled "Community Action and Conservation" delivered as part of the special conservation conference held at the Archives on April 27 and 28, 1979.

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place to turn to for information on preservation. Thus, in addition to serving an educational purpose, the local promotion of conservation in the community may very well lead the sponsoring archives to valuable additions to its holdings.

These hypotheses were borne out by the experience of the Archives of Appalachia, which developed an experimental conservation education program in response to grass-roots demand.

Located on the campus of East Tennessee State University, the Archives of Appalachia opened its main facility in the University's Sherrod Library on September 1, 1978. From its inception, the Archives staff sought to forge ties with the community and to generate interest in the Archives' collecting efforts. The staff were particularly surprised by the steady stream of telephone calls and letters concerning conservation problems.

After an analysis of the questions raised by the public, the Archives staff identified those areas of paper and photographic conservation that attracted the most inquiries. The areas of demonstrated community interest included: the proper storage of papers, photographs and books, the restoration of prematurely aged or damaged books (usually as a result of inherent fault), and the necessary measures to counteract flood damage, mold growth and vermin infestation. Often these inquiries reached staff attention only after the fact, when restoration and not preservation constituted the only viable course of action. This research analysis underscored the pressing need to alert the community as to how they might avoid such problems in the future. As a result, the Archives staff decided to compile and distribute basic conservatorial advice that might anticipate problems and suggest possible remedies.

This took the form of a booklet entitled A Primer for the Conservation of Book and Manuscript Materials. Designed for the lay public, the publication discusses the history of paper and its construction, the causes of paper and book deterioration, and the treatment of paper and photographic materials suffering from flood damage. It also includes a glossary of often-used conservatorial terms, a selected bibliography, a list of sources of supplies and equipment, and for those faced with major restoration projects, a list of qualified conservators and conservatorial organizations. Copies were distributed without charge to local libraries, schools, historical societies, and civic organizations. The staff also mailed them to individuals who contacted the Archives for advice concerning conservation.

Although the Primer was an important educational tool, its limitations soon became apparent. Those in the community who had sought advice in the first place benefited from the receipt and use of the booklet and from further recommendations the staff might have provided. Yet even with the organizational mailing a vast majority of citizens remained unaware of conservation problems and of the fact that the Archives could provide the community with consultative services in that area. Clearly a more direct approach for communicating conservation concerns and techniques to the community was needed.

A conference approach offered the Archives a fresh and exciting vehicle for the realization of its educational objectives. As a public event, such
a meeting could be easily publicized and flexible enough to accommodate different community interests. The conference format would bring together area experts and people seeking conservatorial advice. The widespread community participation would heighten local consciousness and, it was hoped, generate a commitment to foster conservation activities. Finally, the hosting of such a conference would provide the Archives with an opportunity to draw public attention to its own activities and to its role in the preservation of the region's heritage.

From the outset of our conference planning efforts, we pursued two complementary objectives. First, we sought to devise a community meeting program that would serve our educational purposes while, at the same time, attracting the widest possible public audience. Second, we searched for an appropriate funding agency to underwrite the costs of the conference, therefore allowing the Archives to offer the program to the community without fees of any kind. At the center of our conference plans stood a series of workshops, each devoted to a specific aspect of conservation - paper, photographs or paintings - and led by a noted specialist. The American Association for State and Local History helped to identify people who could serve as workshop leaders. These sessions offered opportunities for the audience to meet and exchange information with an expert who enjoyed considerable experience in dealing with the practical side of preservation as well as the professional side of restoration. This interaction between the speakers and the public was maximized by limiting formal presentations and by providing ample time for question and answer periods, followed by unstructured informal discussions.

The search for an appropriate funding agency was successfully ended with the discovery that the National Endowment for the Humanities (NEH) distributes a portion of its resources annually to state-wide organizations. These state committees in turn employ their NEH allotments to support "humanistic" activities that seek to enrich the lives of the out-of-school, adult population. A budget for the conference totaling $1,000 including speakers fees, travel expenses, publicity, printing and refreshments was approved for funding by the Tennessee Committee for the Humanities.

To encourage a substantial and diverse attendance, the conference itself was scheduled for Friday night and Saturday, April 27 and 28, 1978, in the Reading and Research Room of the Archives. As a result of an extensive publicity campaign, a total of 351 people attended the meetings with some of the sessions reaching an enrollment of nearly ninety. Many attendees brought along books, papers, photographs and paintings, and received advice on their care and restoration. Throughout, discussions were lively and enthusiastic.

Subsequent community feedback from those who participated described the conference experience as enjoyable and enlightening. Indeed, since the meetings the Archives has received increased numbers of inquiries from the public regarding not only matters of conservation but a variety of subjects. This apparent success pleased our staff, but it also pleased the Tennessee Committee for the Humanities, which is currently considering a state-wide conservation education program employing the Archives' experiment as its model.

The significance of programs promoting community action and conservation will depend upon their adoption by archives and other appropriate agencies throughout the United States. If we as archivists are to insure the survival of the nation's documentary heritage, we must move out of the rarefied atmosphere of our conservation laboratories and into the community. Ignorance and neglect remain the greatest enemies of our preservation efforts; they militate against the effects of the most upright archival principles. The widespread
use of wood fiber paper and non-archival film processing further exacerbates these problems. But as this essay hopes to demonstrate, community education is one positive step towards improving the conditions under which records are produced and stored. It may even provide archivists with the basis for a campaign to promote the use of permanent and durable paper in the paper-making and photographic industries. Ultimately this approach will lessen the problems faced by archivists when as the last step in a long and complicated process, they receive documents from private citizens and community organizations.

Finally, the Archives of Appalachia's experiment in conservation and community outreach has produced one additional benefit from which others may also profit. By holding our conference sessions in the Archives itself, we introduced a significant number of local citizens to our institution. They left the meetings with a fuller appreciation of how the Archives functions and how it serves the community. Most importantly, it emphasized in the minds of many audience participants the vital importance of conservation as a community enterprise and the role of the Archives as the local custodian of records of historical and research value. These activities in turn have brought a number of interesting new collections to our attention. For newly established archives or for archives seeking to enlarge their community ties, our experiment and its results may prove most edifying.

In the final analysis, only considerable popular pressure will win over paper manufacturers, printers, and publishers to the idea of producing materials that will survive the tests of time. And it is only through public insistence that we can insure the design and construction of buildings capable of providing the proper environment for the storage of our records. To succeed in this struggle will require diligence, perseverance, and inventiveness on the part of the archival and library professions. Perhaps some of our colleagues will adapt the examples presented in this essay when addressing the problems that they face in their own communities. But whatever they decide, the time for action and public involvement has arrived. Community education is an important first step towards the realization of our goals and the survival of our documentary heritage.

NOTES

1For example, the 1978 annual meeting of the Society of American Archivists included a session, entitled: "Conservation of Archives and Manuscripts: Searching for a Solution," where Frazer G. Poole and Edward Gilbert discussed the role of the community in conservation efforts. Both talks demonstrated imaginative thinking and flexibility in dealing with conservation problems from a professional perspective.

2The term "conservation" encompasses two closely related activities, preservation and restoration. Preservation refers to the process of eliminating or at least limiting the deteriorating effects of the environment on artifacts and documents, and restoration refers to returning an object to its original appearance while retaining as much as possible its original components. Within this context, the term "inherent fault" describes a state whereby - due to the object's construction or manufacture - an artifact or document will self-destruct because of its internal weaknesses, as in the case of newsprint (high acidity) and nitrate film (chemical instability).

3See, for example, George Daniel Martin Cunha and Dorthy Grant Cunha, -45-
Conservation of Library Materials, 2nd ed., Vols. 1-2 (Metuchen, N.J.: Scarecrow Press, Inc., 1971 and 1972); and Peter Waters, Procedures for Salvage of Water-Damaged Library Materials, rev. ed. (Washington, D.C.: Library of Congress, 1975). The second volume of Cunha provides the reader with the most extensive bibliography to date in the field of paper conservation. It is much less useful in the areas of audio-visual and machine-readable records conservation. For these highly specialized subjects, the reader may want to consult the Archives of Radio and Television at the Library of Congress and the Machine-Readable Records Division of the National Archives and Records Service respectively for further information. The Preservation Office of the Library of Congress currently has the following Preservation Leaflet titles in print: "Selected References in the Literature of Conservation," "Environmental Protection of Books and Related Materials," "Preserving Leather Bookbindings," "Marketing Manuscripts," and "Preserving Newspapers and Newspaper-Type Materials." The Office projects the release of ten further leaflets in the near future. All of these leaflets are well written, highly informative, and available without charge from the Library of Congress, Washington, D.C. 20540. For those Archives without the need or resources to produce their own conservation booklet, these leaflets represent a useful if not ideal alternative.

*Editor's Note: Copies of Dr. Kesner's compilation A Primer for the Conservation of Book and Manuscript Materials may be purchased for $1.00 by writing to:
The Archives of Appalachia
Sherrod Library
East Tennessee State University
Johnson City, Tennessee 37601
Designed for laymen, the Primer, will be reviewed in the next issue of Georgia Archive.
New Ways Developed to Preserve Paper

Of the nineteen million books and pamphlets in the Library of Congress, fully one third are too brittle to circulate to the public. At the New York City Public Library, the fraction is closer to one half. One recent study estimates that 97% of all the books published between 1900 and 1937 will have a useful life of fifty years or less—even though many books published in the Middle Ages are still in excellent condition.

These statistics underscore the urgency of a symposium on the preservation of paper and textiles, held at the American Chemical Society meeting in Washington, D.C. "It really hit about 1850," says symposium organizer John C. Williams of the Library of Congress Preservation Office.

Before that time, he explains, paper was made largely from cotton and flax by techniques that left it with a neutral pH—and sometimes with a reserve of buffering salt such as calcium carbonate. These are qualities now known to be ideal for durable paper.

But starting in the early nineteenth century, says Williams, the Fourdrinier papermaking machine came into widespread use. Production rapidly outstripped the supply of rags and forced the industry to turn to wood pulp, which yields cellulose of much lower molecular weight and durability than cotton. Papermakers also began bleaching the pulp with chlorine, which further degrades the fibers.

Worst of all, says Williams, was the choice of alum-precipitated rosin as a sizing, or waterproofing, agent compatible with the new machines. Without sizing, printing is impossible. Water-based inks blur and feather out on the sheet. But when that sheet is exposed to high humidity, the alum (aluminum sulfate) generates sulfate and free hydrogen ions.

Thus the pH of modern paper is between four and five. As soon as it is made, acid hydrolysis begins to destroy acetal linkages between the glucose subunits of cellulose. The result, says Williams, is modern paper that rapidly embrittles and disintegrates.

In an attempt to halt the self-destruction of their holdings, archivists over the years have subjected millions of documents to techniques such as silking, lamination, encapsulation, deacidification, and alkalization. Sometimes, says Peter Waters of the Library of Congress Restoration Office, misguided attempts by one generation have complicated the problem facing subsequent generations. Contemporary archivists are in a better position to avoid such a legacy, he says, largely because they are better trained, are more aware of the problems, and have closer ties to scientists working on preservation.

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The ACS symposium was a portrait of what has become a nationwide preservation effort under the informal leadership of the Library of Congress. A number of presentations were devoted to basic research on the degradative process, covering such details as the catalytic role of trace metals, the influence of cellulose crystallinity, and the contribution of lignin's chromophoric systems to paper yellowing.

A second group of speakers described efforts to develop mass deacidification techniques, and one speaker predicted an industrywide shift to alkaline papermaking methods that could eliminate the problem for future generations.

Typical of modern deacidification research is the work on diethyl zinc described by Williams' colleague George B. Kelly, Jr. The process consists of drying the documents to essentially zero moisture content, exposing them to diethyl zinc vapor in the absence of air, and then destroying the excess diethyl zinc with alcohol. The paper rapidly regains its moisture when re-exposed to air. The basic reaction is

\[
(C_2H_5)_2Zn + 2RCOOH \rightarrow (RCOO)_2Zn + 2C_2H_6
\]

During three trial runs in 1978, 1210 books and 91 maps, all acidic, were subjected to the process in the giant vacuum chamber at General Electric's Space Center at Valley Forge, Pa. The results were encouraging. Treated books and maps were left with a pH of about 7.5, and no detrimental effects were noted on either the book bindings or the map colors.

Unfortunately, says Kelly, the treatment also left the documents more sensitive to degradation by ultraviolet light. When taken from the chamber they contained 1 to 3% zinc oxide. This compound serves as an alkaline buffer, but, like many other metal oxides, it reacts with atmospheric water vapor under the influence of UV, generating hydrogen peroxide and accelerating the degradation process it was supposed to stop.

In the original trials this effect was negated by adding a trace of iodide to the paper. More recently a better method has been found, says Kelly. At the very end of the run, carbon dioxide is admitted to the chamber, shifting the alkaline reserve from zinc oxide to zinc carbonate.

Although both Kelly and Williams regard the diethyl zinc process as one of the most promising deacidification treatments, they caution that it is not yet ready for mass production. The cost, for example, has been estimated at only $5.00 per volume, but this is still tentative pending further trials.

Furthermore, says Williams, diethyl zinc is very "bad stuff" to work with. It's pyrophoric in air and explosive in water. It must be handled by trained chemists. During the deacidification process, it must be contained within a tightly sealed vacuum autoclave. The technique is just not something that can be handled in an individual library.

Nothing would make librarians happier than to see the paper industry shift to a neutral or alkaline product, Williams says. Such paper would have the potential of lasting 1000 years. It's certainly possible to make alkaline paper and in fact to make it more cheaply, he says, but a combination of mental inertia and high conversion costs has kept the rosin-alum system on top.
But increasing shortages of raw materials may soon force a conversion, says Robert W. Hagemeyer of J. M. Huber Co., Norcross, Ga. The total world demand for paper and paperboard is expected to double by the year 2000, reaching 350 million to 450 million metric tons. At the same time, the cost of fiber and energy is expected to double, and the cost of water to triple, on a real-dollar basis.

Conversion to a neutral or alkaline sizing compound—Aquapel alkylketene dimers from Hercules, for example, or succinic anhydride from National Starch—lowers costs in two ways, says Hagemeyer. First, a mill's alkaline white water can be recirculated more often. Scale and corrosion problems, which in a rosin-alum system result from the buildup of alumina and sulfate ions, are sharply reduced.

Thus the need for makeup water is cut in half, he points out, with a corresponding savings in the energy needed to heat the water to process temperatures. Effluent volume also is reduced, and what does come out has the optimum pH for clarification and treatment.

Second, says Hagemeyer, a fiber web formed under alkaline conditions is 20 to 40% stronger than acid paper. Thus, without degrading the final products, manufacturers can reduce the content of expensive fiber and add more of a much cheaper filler used to give paper its whiteness and gloss. Furthermore, with alkaline papers papermakers can use calcium carbonate filler, which itself is cheaper than materials, like titanium dioxide, that are compatible with acid systems. Calcium carbonate has the added advantage of buffering the paper against acid city air.

Of course, all these economies take hold only after a plant is converted, says Hagemeyer. The conversion itself is hectic. The crews must be retrained. Sludge left in the equipment from the acid process causes spotting on the paper. "Any mill that is back to full efficiency in less than a year is doing very well," Hagemeyer says. Still, several large companies have converted and are happy with the results.
Genealogical Books for Librarians and Archivists.


A more recent volume, Tracing Your Ancestry by F. Wilbur Helmbold (Birmingham: Oxmoor House, 1976. Pp. 210. Bibliography, index. $9.95), is most helpful in illustrating the sources for genealogical research—city directories, census, pension records—and giving examples of how to use a microfilm machine or library card catalog. Although these skills seem elementary to many archivists, they are not familiar to everyone, and this guide is a good teacher's manual. Unfortunately, the volume includes old addresses in the glossary. The accompanying Logbook ($3.95. Paper) contains ten copies of thirteen useful forms.

Since the publication and airing of Roots and the U.S. Bicentennial celebration, the genealogical market has been deluged with numerous "how-to-do-it" books which differ only slightly. It is hard to imagine why anyone would attempt to write another one, yet new titles appear yearly.

Recent publications also include two useful guides to black history:

Each year more and more of these popular "how-to-do-it" books will probably be published, although what new approaches will be taken remains to be seen. Genealogical works are needed that individually address research sources in each state. Such guides should be written by researchers in the appropriate state rather than members of some outside organization.

These "how-to-do-it" books are directed to the individual genealogist, but librarians and archivists will also want to be aware of many valuable specialty works and directories including **The Researcher's Guide to American Genealogy** (Baltimore, Md.: Genealogical Publishing Co., 1975. Pp. 535. Index. $10.00) by Val D. Greenwood; **Newspaper Genealogy Columns Directory** (Escondido, Cal.: by the author, 1979. Pp. 104. $8.00) compiled by Anita Check Milner; **Directory of Genealogical Societies in the U.S.A. and Canada with an Appended List of Independent Genealogical Periodicals** (Pasadena, Md.: by the editor, 1978. 2nd ed. Pp. 80. Index. Paper. $6.00) edited by Mary K. Meyer; **Directory of Historical Societies and Agencies in the United States and Canada** (Nashville, Tenn.: American Association for State and Local History, 1978. 11th ed. Pp. 474. Indexes. Paper. $24.00) compiled by Donna McDonald; and local lists of historical societies such as that for Georgia prepared annually by the Georgia Department of Natural Resources (Historic Preservation Section, 270 Washington St., Atlanta, Ga. 30334).

Three bibliographies provide access to most genealogical books in print: **American and British Genealogy and Heraldry: A Selected List of Books** (Chicago: American Library Association, 1975. 2nd ed. Pp. 467. Index. $25.00) compiled by P. William Filby; **United States Local Histories in the Library of Congress: A Bibliography** (Baltimore, Md.: Magna Carta Book Co., 1972. 2 vols. and a 1977 supplement) edited by Marion J. Kaminkow. There are also specialized bibliographies for some of the larger genealogical libraries such as the National Genealogical Society Library and indexes to genealogical periodicals including **A Survey of American Genealogical Periodicals and Periodical Indexes** (Detroit, Mich.: Gale Research Co., 1978. Pp. 199. Appendices, index. $22.00) by Kip Sperry which explains how to use earlier indexes as well as the current **Genealogical Periodical Annual Index** by Laird Towle of Bowie, Maryland.

An unusual publication, **Lest We Forget: A Guide to Genealogical Research in the Nation's Capital** (Annandale, Va.: Annandale Stake of the Church of Jesus Christ of Latter-Day Saints, 1976. 4th ed. rev. Pp. 135. Index. Paper. $6.00) compiled by June Andrew Babel, highlights the National Archives, the Library of Congress, the DAR Library and the National Genealogical Society Library, and is a useful example of what other libraries and archives, or all of those located in one city, could do to make research easier for visitors.

In this brief pamphlet David Horn has attempted to "explain the rules for handling archival collections under both the old and new laws, to state the regulations that continue to be in effect, and to suggest practical steps for archivists, researchers, and donors." Archivists who are unfamiliar with the new law can profit from reading Mr. Horn's treatise, which provides a good discussion of the basic differences between the old law and the new, and the problems which must be resolved.

Mr. Horn has divided his pamphlet into thirty short sections covering literary rights, possession, and ownership of papers; duration of copyright and public domain; copyright and common law rights; copyright in published and unpublished materials; registration of copyright; the effect of the copyright law on government, business, religious and university archives; and its effect on the acquisition of papers, relations with donors, and access to materials by researchers. The author uses specific examples to explain basic, though sometimes elusive, concepts such as possession of papers as opposed to legal ownership of papers, and ownership of papers as opposed to ownership of literary rights.

His efforts to explain a complicated law in so brief a space creates several difficulties. The sections devoted to explanations of literary rights and copyright, fair use, and photocopying of unpublished materials are especially disappointing since these areas are of the most immediate concern to archivists and users.

In some cases an imprecise choice of words leads to confusion. In section 5 (literary rights), for example, Mr. Horn states that an author on creating a work has certain rights in the work ("intangible property"), and that the author may choose to "publish and copyright" the work, thereby giving himself certain additional protections. In fact, under the new law the work is protected by copyright from the time of its creation. The author may choose to register his copyright (with or without publication) and thereby obtain additional rights. Although Mr. Horn treats the registration of unpublished materials in a later section, the choice of words in section 5 creates confusion. Mr. Horn also fails to explain clearly the different rights held by authors who register their copyright and those who do not.

Mr. Horn includes a bibliography of the most useful publications relating to the new copyright law, but omits the General Guide to the Copyright Act of 1976 issued by the United States Copyright Office in September 1977.

In the original version of his manual the author had misinterpreted the twenty-five year transition period for unpublished materials under the new law. To avoid the expense of reprinting the entire pamphlet, the sentences containing the erroneous interpretation were blacked out and a general correction was pasted on the inside back cover. Although the reason for making the change in this way is certainly understandable, the method of making the change gives a disjointed effect to certain sections.

Mr. Horn has attempted to speak plainly without legal jargon and to make his explanations simple. As he wisely notes, he is offering guidance and
suggestions for further investigation and thought; the copyright act itself should be read and studied, and a wise archivist will consult his own institution's lawyer should any potentially serious questions arise.

In spite of these shortcomings, the manual succeeds in its efforts to bring the mysteries of the new copyright act within the ken of the archivist who has had little previous exposure to it and who is fearful of the long arm of the law. It is most successful when the author explains the law's effects in particular situations or in specific types of archives and offers case studies as examples. The organization makes for easy reference and the subsections noting particular problems which may arise with sections of the law are also helpful. The Society of Indiana Archivists and Mr. Horn should be commended for their initiative in providing this brief overview for archivists.

Special Collections Department
Robert W. Woodruff Library
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Linda M. Matthews


In 1977 the Modern Language Association selected East Carolina University as one of fifteen schools to participate in a project, entitled "Teaching Women's Literature From A Regional Perspective," designed to collect and preserve previously neglected examples of women's literature. At East Carolina, English professor Sally Brett combined the M.L.A. program with a course in writing and editing. Broadly defining women's literature to include manuscript sources and interviews, Brett and her six students used materials in the manuscript collection of the Joyner Library at East Carolina to produce this anthology.

Focusing on one woman or group of women, each essay examines a different aspect of the lives of white middle-class women in eastern North Carolina from the 1850s to the 1970s. Topics covered include life at antebellum female academies, the experience of rural North Carolina women during the Civil War, the conventions of mid-nineteenth-century courtship, women's clubs at the turn of the century, career patterns of early alumnae of the University, and women's participation in politics in the mid-twentieth-century. The articles are based on traditional manuscript sources, personal interviews, and questionnaires.

Some of the students decided to let the women speak for themselves, reproducing letters in their entirety and adding only occasional editorial comments, while others used their source material as the foundation for interpretive essays on the lives of eastern North Carolina women. Thus the book must be evaluated in two ways: first as a contribution to the secondary literature on the history of Southern women, and second as an exercise in editing manuscripts for publication.

The students came to Brett's class with little background in historical writing and the volume reflects their inexperience. The major weakness in all the essays is the authors' failure to examine a wide range of secondary literature on the historical experience of American women. They rely too heavily on the interpretive treatment of Southern women's history presented by Anne Firor Scott in The Southern Lady: From Pedestal to Politics, 1830–
1930. Their work would have benefited had they taken a more critical view of Scott's assumptions and conclusions and then explored ways in which the evidence in their sources could be used to modify or challenge Scott's thesis.

The students are more successful in their collective attempt as editors to retrieve the lost words of women. They show good judgment in their selection of "neglected" women, choosing women or groups of women whose writings and recollections can be used to illuminate significant areas of feminine experience. All display a fine instinct for knowing when to let the women speak for themselves and when to speak for them. The authors are all sensitive to one of the major problems in working with material of this type: determining the significance of what is not said, as well as what is.

Perhaps the most significant aspect of Awakenings lies not in its specific contents but rather in the problem it addresses: that of finding and preserving the lost words, both written and spoken, of women and other neglected groups. Brett and her students have given us one useful approach to this problem; archivists and historians must cooperate to find others.

University of North Carolina
at Chapel Hill

Anastatia Sims
Museums, libraries, archives, historical societies, and other repositories of cultural materials requiring special climatic conditions are eligible for exemption from federally-mandated thermostat controls for non-residential buildings. Exemptions are available on an individual building basis through a process of self-certification. Owners or operators of such buildings should post a "Certificate of Building Compliance" stating what exemptions are claimed and the portion(s) of the building affected. Owners must also file a form with the Department of Energy. Forms are available from DOE, Director, Office of Building and Community Systems, Office of Conservation and Solar Applications, 20 Massachusetts Avenue, N.W., Washington, D.C. 20585. Information about the regulations should be requested from Henry G. Bartholomew at the same address, or call Thermostat Hotline, 1-(800)-424-9122.

The state of Iowa has become one of an increasing number of states to adopt an archives security law. Providing criminal penalties for theft of books and other materials from libraries and museums, the bill was presented to the legislature by the Iowa Historical Materials Preservation Society President Toby Fishbein. Unless vetoed by the governor, the bill becomes law January 1, 1980. The penalty for conviction would be the same as that for shoplifters -- a fine of up to $100, or thirty days in jail, or both.

CAN, Conservation Administration News, is a new newsletter published by the University of Wyoming Libraries, Robert H. Patterson, Editor. The first issue was published in June 1979. The idea for the newsletter was conceived at Columbia University's Preservation Institute and has an editorial advisory board of several respected conservators. The quarterly publication will include a calendar of workshops and educational opportunities, editorials, descriptions of conservation programs in diverse settings, news from conservation organizations, and notices and reviews of publications. Subscriptions can be obtained by remitting $12.00 to Robert Patterson, University of Wyoming Library, Box 3334, University Station, Laramie, Wyoming 82071.
The Genealogical Society of Utah has begun publication of a series of Finding Aids to the Microfilmed Manuscript Collection of the Society, under the editorship of Roger M. Haigh. The Finding Aids will consist of "preliminary inventories" of parish and civil registers in large national collections; "descriptive inventories" of particular types of records, holdings for a given time period, and holdings of types of records within particular geographic regions; and "bibliographic guides" focused on small collections previously uncatalogued. The first three numbers are now available: Number 1, Preliminary Survey of the Mexican Collection; Number 2, Preliminary Survey of the German Collection; and Number 3, Descriptive Inventory of the English Collection. Individual titles may be ordered or a standing order may be placed for the entire series. Ordering information can be obtained from the University of Utah Press, Salt Lake City, Utah 84112.

The Archives of Appalachia at East Tennessee State University has begun publishing a newsletter. Those wishing to receive the newsletter should address inquiries to Richard Keener, Archives of Appalachia, Sherrod Library, East Tennessee State University, Johnson City, Tennessee 37601.

A new newsletter, "Photographic Conservation," began publication in May 1979. Published by the Graphic Arts Research Center, Rochester Institute of Technology, the subscription rate is $5.00 for four issues. Send payment to Subscriptions, Photographic Conservation, Rochester Institute of Technology, One Lomb Memorial Drive, Rochester, New York 14623.

The Memphis State University Press has initiated a program to publish book-length histories of Tennessee's 95 counties. Each volume will be illustrated. The histories will be published one volume per month beginning in August 1979. The price for individual volumes will be $10.00, and the subscription price for those who wish to purchase the entire set will be $9.00 per volume. Orders for individual volumes or the entire series should be sent to Tennessee County History Series, Memphis State University Press, Memphis, Tennessee 38152.
Disposition of Federal Records has been published by the Office of Federal Records Centers, National Archives and Records Service. Although its main focus is federal records, much in the volume is applicable to any government records. The handbook explains how to establish, operate, and evaluate a records disposition program. Copies may be ordered from the Superintendent of Documents, U. S. Government Printing Office, Washington, D.C. 20402. When ordering, you must give the title of the book and the GPO Stock Number (0-2-001-00073-6). The price of the handbook is $9.00.

The National Archives and Records Services' Modern Archives Institute began this year to offer advanced courses on archival topics. Courses will be offered each spring and fall. The first course, on access to and appraisal of case files, was held October 16th - 18th. The next course, scheduled for April 21st - 25th, 1980, will examine problems of conservation of photographs. The course is especially designed for those archivists responsible for photographs but with no technical background in photography. For further information on the advanced course, or on the regular introductory courses, write to Modern Archives Institute (ND), National Archives and Records Service, Washington, D.C. 20408.

A seminar on Preservation and Restoration of Photographic Images will be given by the College of Graphic Arts and Photography of the Rochester Institute of Technology March 3rd - 5th, 1980. Instruction in the preparation, processing, storage, and restoration of photographs will be provided. A tour of the International Museum of Photography is also included. The registration fee for the seminar is $195.00. Additional information on the program or registration can be obtained from College of Graphic Arts and Photography, Rochester Institute of Technology, One Lomb Memorial Drive, Rochester, New York 14623.

The records of the Office of Governor of Alaska, 1884 - 1958, have been returned to the State Archives, after having been held for safekeeping for 20 years in the Seattle Federal Records Center. The records were returned under the authorization of Public Law 93-542, signed by President Gerald Ford in 1974.
The Louisiana State Archives and Records Service urgently requests any advice or information which could be incorporated into plans for the new State Archives building. In particular, data is needed with regard to essential facilities, layout, work-flow procedures, safety measures, etc., for a records conservation and preservation laboratory section. Advice and experiences in other areas would also be welcomed. Please send all suggestions to the following address: Donald J. Lemieux, Director, Post Office Box 44125, Baton Rouge, Louisiana 70804.

The 1980 Annual meeting of the National Association of State Archivists and Records Administrators (NASARA) will be held the third week in July in Louisville, Kentucky. Dr. Larry Tise, Director of the North Carolina Division of Archives and History, is the chairman of the 1980 NASARA program committee. Anyone with suggestions for the program is asked to send them to Larry at 109 East Jones Street, Raleigh, North Carolina 27611. Please try to send in your suggestions as soon as possible.

The Research Collections Program of the National Endowment for the Humanities (NEH) has recommended two Southeastern regional projects for funding. The first is Birmingham Public Library's Documentation of Gee's Bend, Alabama, an unique pocket of black culture; the project ($30,072 outright) is directed by Marvin Whiting. The second project is that of continuing the Carolina Charter Corporation's microfilming of records relating to the colonial history of North Carolina in British repositories ($48,000 grants and matching). Congratulations all.

The Old Clinton Historical Society, the Macon Heritage Foundation, the Middle Georgia Historical Society, and the Georgia Trust for Historic Preservation are jointly sponsoring a full weekend devoted to historic preservation interests to be held May 3 and 4, 1980, in and around Macon, Georgia. The major event will be the Southeastern Preservation and Restoration Exposition, or SPARE as it will be known, a two-day trade show featuring exhibits by manufacturers, wholesalers, suppliers, and consultants of all types of materials and services needed by citizens restoring older structures. SPARE will headquarter at the Macon Coliseum. Companion events include house and historic tours of Macon, and the Cedar Springs Artists and Craftsmen's Fair at Clinton on Highway 129. Persons interested in exhibiting or participating in the SPARE weekend should contact: SPARE Coordinator, Post Office Box 6092, Macon, Georgia 31208, (912)-746-1721.

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A Guide to Current Catholic Diocesan Newspapers in Microform has been compiled by Harry M. Culkin, Archivist, Diocese of Brooklyn, New York. The project was commissioned by the Catholic Committee of the American Theological Library Association. The Guide contains data on the micrographic status of all the one hundred and forty Catholic diocesan newspapers currently being published in the United States. It also has a directory of the availability of these microforms: in-house, names and addresses of other locations, for purchase and/or loan. Limitation of access is noted; indexes of titles and dioceses are included. The Guide is available at a cost of $3.00 a copy prepaid, or $3.50 if billing is necessary. Orders should be directed to: Harry M. Culkin, 7205 Douglaston Parkway, Douglaston, New York 11362. (Please make checks payable to Harry M. Culkin.)

From Montee King, the Records Management Officer for Fulton County, Georgia, comes an idea for storing rolled blueprints and drawings. Flat filing or suspension filing of blueprints and drawings is an archival necessity, but when they must be stored rolled up, a near perfect solution is to place them in a plastic bag much like the bags in which bread and bakery goods are sold.

These polyethylene bags cost less than most other containers and form a nearly airtight package, thereby protecting and preserving the rolls. Since the material is flexible and one size fits all, greater utilization of storage space is possible than with rigid containers. This method of packaging also allows identifying information to be placed on otherwise difficult-to-identify rolls using a label suspended from the plastic tie or an oversized plastic closer.

These plastic bags are known in the trade as "poly tubing," and are available from packaging suppliers or manufacturers of extruded plastics. A three-mil. clear poly tubing is usually suitable and will hold 30 - 40 pound rolls of blueprints or drawings. A minimum order from a manufacturer may be willing to run a sample which is adequate for most needs. Thickness, color and dimensions (diameter and length) must be specified. Delivered in continuous, seamless rolls, the poly tubing needs only to be cut the proper length and tied to form a fine container for rolled blueprints and drawings.

Mr. King is using them extensively for county building plans and blueprints. When questioned about the archival stability of the material, Mr. King reported that he understood the plastic to be low density polyethylene with no additives except those used in processing. He had not been furnished with any specifications or test results on the product that might be submitted for review by an archival research lab, but had been told that such information might be available from Dupont or Union Carbide, two major manufacturers of the polyethylene. He was advised that the material, used under archival storage conditions, would be serviceable for from fifty to one hundred years.
The November, 1979 issue of History News carries an especially good new technical leaflet (no. 121) entitled "Local Historical Records: Programs for Historical Agencies." Written by Bruce Dearstyne of the New York State Archives, the leaflet gives very comprehensive advice in compact form on all types of records of local interest. Don't miss it.

David B. Gracy II, State Archivist of Texas and founder and first Editor of Georgia Archive, and Mattie U. Russell, Curator of Manuscripts at Duke University, were named Fellows of the Society of American Archivists at the Society's annual meeting in October 1979. Well deserved congratulations to these good friends.

A number of archivists have expressed concern about some of the "paperless" microform systems being sold for the microfilming of local government records. The systems in question microfilm loose documents for citizens on a "while you wait" basis. This method of recording legal transactions allows the paper document to be returned to the individual citizen in a matter of minutes and produces self-processed microfilm in aperture cards as the official record copy.

The microfilm product in this system has been tested by the vendor to meet archival standards if the equipment is operated according to instructions. However, archivists have concern about not having a security copy of the film in separate storage. Such a copy could be used to reconstitute individual cards or the entire file should wear, damage, misfile, theft, or some disaster befall the active records storage area. An alternative plan would call for double shooting of documents to produce two aperture cards, one for working reference, the other for security backup in a safe, separate location. Many archivists prefer that silver-based roll film be used to produce negatives for the record and the security. A duplicate negative could be made of this for the working or active reference file. This second copy could be cut and mounted as aperture cards, if local officials found them to be a more convenient form than the roll format. While this second filming approach lacks immediacy, in that it involves sending film out for processing, quality testing, and production of aperture cards, it is generally easier to reconstitute lost cards or files from the roll film.
Beginning in the fall term of 1980, the George Washington University will offer an M.A. degree in History with a concentration in Documentary Editing. The program will be directed by Linda Grant De Fauw, Professor of History and Editor of the Documentary History of the First Federal Congress. The program will include a graduate seminar, "Issues in Documentary Editing," a semester of internship with a documentary history project in the Washington, D. C., area, and preparation of a piece of documentary editing as an M.A. thesis. Applications for admission to the program may be obtained from the Office of the Dean, Graduate School of Arts and Sciences, George Washington University, Washington, D. C. 20052.

William K. Hollinger and Virginia L. Garwig, long-time representatives of the Hollinger Corporation of Arlington, Virginia, have joined John Oelze, the former plant manager for Hollinger Corporation, to form a new firm, Conservation Resources International, Inc. (CRI). Frazier Poole, recent retiree from the Library of Congress, will join the staff of CRI to direct new product development. Tom Mahoney is currently in charge of the archival products division of the original Hollinger Corporation, assisted by Michael Hollinger. The addresses for the two companies are:

The Hollinger Corporation
Post Office Box 6185
Arlington, Virginia 22206
(703) 671-6600

Conservation Resources International, Inc.
1111 North Royal Street
Alexandria, Virginia 22314
(703) 549-6610

Beginning summer quarter 1980, the History Department at Georgia State University will offer a Master of Arts degree concentration in "Archives and Historical Documentation." The degree program will include introductory and advanced courses in the administration and use of archives and an archival internship, as well as academic historical training. Theses of students in the program may involve the preparation of a complete finding aid to a major archival collection. For undergraduates an introductory course in archives administration and use with an archival internship will be offered. Contact Dr. Les Hough at the Southern Labor Archives (Georgia State University, Atlanta, Georgia 30303, 404-658-2476) for more information. Applications and catalogs may be obtained from the University's Admissions Office (Atlanta 30303).

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INFORMATION FOR CONTRIBUTORS

Editorial Policy

1. Members of the Society of Georgia Archivists, and others with professional interest in the aims of the Society, are invited to submit manuscripts for consideration and to suggest areas of concern or subjects which they feel should be included in forthcoming issues of GEORGIA ARCHIVE.

2. Manuscripts received from contributors are submitted to an editorial board. Editors are asked to appraise manuscripts in terms of appropriateness, pertinence, innovativeness, scholarly worth, and clarity of writing.

3. Only manuscripts not previously published will be accepted, and authors must agree not to publish elsewhere, without explicit written permission, a paper submitted to and accepted by GEORGIA ARCHIVE.

4. Three copies of GEORGIA ARCHIVE will be provided to the author without charge.

5. Letters to the Editor which include pertinent and constructive comments or criticism of articles or reviews recently published in GEORGIA ARCHIVE are welcome. Ordinarily, such letters should not exceed 300 words.

6. Brief contributions for the special sections of GEORGIA ARCHIVE - News Notes and Accessions - may be addressed to the editors of those sections or to Box 261, Georgia State University, Atlanta, Ga. 30303.

Manuscript Requirements

1. Manuscripts should be submitted in double-spaced typescripts throughout - including footnotes at the end of the text - on white bond paper 8½ x 11 inches in size. Margins should be about 1½ inches all around. All pages should be numbered, including the title page. The author's name and address should appear only on the title page, which should be separate from the main text of the manuscript.

2. Each manuscript should be submitted in two copies, the original typescript and one carbon copy or durable photocopy.

3. The title of the paper should be concise, accurate, and distinctive rather than merely descriptive.

4. References and footnotes should conform to accepted scholarly standards. Ordinarily, GEORGIA ARCHIVE uses footnote format illustrated in the University of Chicago Manual of Style, 12th edition.


6. Usage of terms which have special meanings for archivists, manuscripts curators, and records managers should conform to the definitions in "A Basic Glossary for Archivists, Manuscript Curators, and Records Managers," American Archivists 37, no. 3 (July 1974). Copies of this glossary are available for $2.00 each from the Executive Director, SAA, Suite 310, 330 S. Wels Street, Chicago, Illinois 60606.
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The Society of Georgia Archivists invites all persons interested in the field of archives to join. Annual memberships effective with the 1980 membership year (beginning January 1) are:

- Student .................. $ 7.00
- Individual .............. 10.00
- Institutional .......... 10.00
- Foreign ................. 11.00
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- Sustaining ............ 30.00
- Patron ................... More than $30.00

Memberships include GEORGIA ARCHIVE, the SGA Newsletter and notice of the quarterly meetings. ALL MEMBERSHIPS ARE TAX DEDUCTIBLE.

To join and receive GEORGIA ARCHIVE, contact The Society of Georgia Archivists. Box 261, Ga. State University, Atlanta, Ga. 30303.

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