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Provenance XXIV

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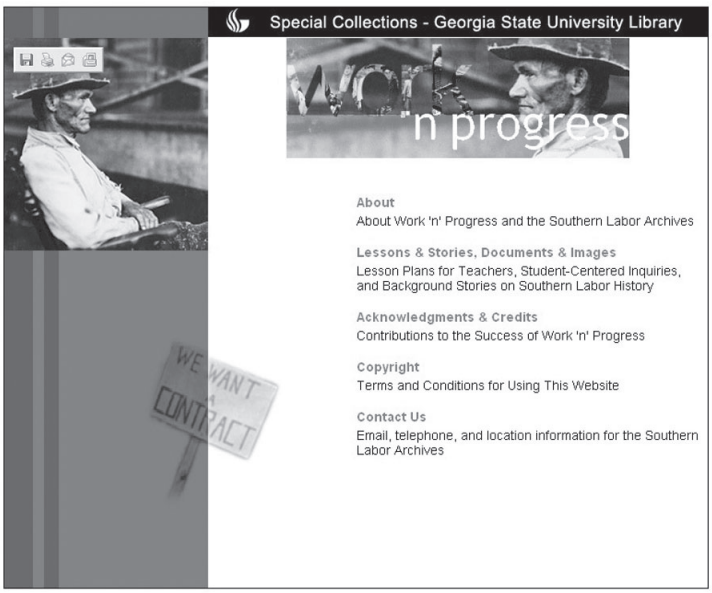
PROVENANCE

volume XXIV, 2006



Are the Digital Natives Restless? Reaching Out to the Ne(x)t Generation

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Cover: Screen shot of "Work 'n' Progress" exhibit, <http://www.library.gsu.edu/spcoll/pages/area.asp?ldID=105&guideID=511>, courtesy of Southern Labor Archives, Special Collections Department & Archives, Georgia State University, Atlanta.

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Are the Digital Natives Restless? Reaching Out to the Ne(x)t Generation

Laura Botts and Lauren Kata

INTRODUCTION

Outreach programs are meant to expand archival audiences beyond "traditional" users. In her 1978 article, "Education Programs: Outreach as an Administrative Function," Elsie Freeman Freivogel argues that the archivist's first job "is to recognize that we have many publics . . . that include, among others, teachers at all levels of the educational system; elementary, secondary school, college and university students; genealogists, avocational historians, government employees, publicists, media professionals, and the merely curious."[1] Because Web-based and

[1] Elsie Freeman [Freivogel], "Education Programs: Outreach as an Administrative Function," in *A Modern Archives Reader: Basic Readings on Archival Theory and Practice*, ed. Maygene F. Daniels and Timothy Walch (Washington, D.C.: National Archives and Records Service, 1984), 282.

To Freivogel's list the authors would add another important user group for consideration: donors. Digital projects are often intriguing to archives benefactors. Donors and outside granting agencies have an interest in funding new and innovative projects. Those who support the collections with material and financial gifts have their own expectations about how their collections will be preserved and promoted as well as how their money is stewarded. In addition to being benefactors, donors may wear the additional hats of faculty members, amateur historians or genealogists, or the "merely curious" when it comes to

digital projects address "many publics" in relevant and familiar ways, they are easily integrated into archival outreach activities. Although user groups have not changed dramatically since Freivogel compiled her list in 1978, many of their assumptions have. Studies of the uses of new technology in special collections and archives illustrate how the Internet and the World Wide Web have dramatically changed user expectations.

The growth of reference e-mail services provides a good illustration of the potential impact of new technologies on archival work.[2] In a survey of the remote reference correspondence received by the Southern Historical Collection at the University of North Carolina at Chapel Hill between 1995 and 1999, Kristin Martin discovered a notable increase in requests received via e-mail. She concluded that archival institutions "should expect increased demands for remote reference" and that new user groups coming to the archives through the Web will have "new expectations . . . for what can be accomplished from remote locations."[3]

In 1995 archivist William Landis provided an important review of both the potential and practicality of the World Wide Web as an emerging tool for others in his profession. Presenting examples of "representative archival repository Web sites" and

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history on the Web. Like commemorative exhibits or special events, digital collections allow donors to appreciate historical materials within particular contexts; as with traditional forms of outreach, archivists are in a position to shape these contexts in the selection, description, and presentation of manuscripts, images, and artifacts.

[2] Selected writings on the subject include Ann Bristow, "Academic Reference Service Over Electronic Mail," *College and Research Library News* 53 (November 1992): 631-637; Ann Bristow and Mary Buechley, "Academic Reference Service Over E-Mail: An Update," *College and Research Library News* 56 (July/August 1995): 459-462; Helen R. Tibbo, "Interviewing Techniques for Remote Reference: Electronic Versus Traditional Environments," *American Archivist* 58, no. 3 (Summer 1995): 294-310; Kristin E. Martin, "Analysis of Remote Reference Correspondence at a Large Academic Manuscripts Collection," *American Archivist* 64, no. 1 (Spring/Summer 2001): 17-42; and Wendy M. Duff and Catherine A. Johnson, "A Virtual Expression of Need: An Analysis of E-mail Reference Questions," *American Archivist* 64, no. 1 (Spring/Summer 2001): 43-60.

[3] Martin, "Analysis of Remote Reference Correspondence," 26, 40-41.

discussing the Web as a "new" medium for consideration, Landis sought to prepare archivists for what he saw as a "potential revolution in access to archival repositories by remote users."[4]

In the decade since his article first appeared, the institutionalization of the Web as a primary means of disseminating information—combined with advances in digitizing technologies—has had a profound impact on repository outreach activities. Archivists have discovered that the online environment inspires new ways to reach current and potential audiences, as well as new ways to present information, which were unachievable in traditional or "offline" formats. Archival collections that were once considered too fragile to share can now be made available to a worldwide audience. Learning has become more participatory as students navigate through Web resources on individual computer workstations during class sessions. Databases have made keyword searches not only user-friendly but also "user-expected." New audiences are visiting library and archives Web sites daily, and repositories are discovering how to give their users what they want.

The 21st Century Literacy Summit held in 2005 found that contemporary researchers seek an immediate, often multi-media response that will fulfill their high expectations for document retrieval and delivery.[5] In the language of the summit, current students are considered "Digital Natives," described by educator and game-based learning advocate Marc Prensky as having "spent their entire lives surrounded by and using computers, videogames, digital music players, video cams, cell phones, and all the other toys and tools of the digital age."[6] Students making up the "Internet generation" or "Net Gen" (those born during or after the 1980s) expect sound bites, graphics, and moving images

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[4] William Landis, "Archival Outreach on the World Wide Web," *Archival Issues* 20, no. 2 (1995): 129.

[5] *The New Media Consortium, A Global Imperative: The Report of the 21st Century Literacy Summit* (San Jose: NMC: The New Media Consortium, 2005) (online resource) <www.adobe.com/education/pdf/globalimperative.pdf> (accessed November 17, 2005).

[6] Marc Prensky, "Digital Natives, Digital Immigrants," *On the Horizon* 9, no. 5 (October 2001): 1 (online resource) <www.marcprensky.com/writing/Prensky%20-%20Digital%20Natives,%20Digital%20Immigrants%20-%20Part1.pdf> (accessed November 17, 2005).

to be delivered on demand with multiple options for experiencing them. As higher education specialists Diana and James Oblinger report in *Educating the Net Generation*:

> It is an almost instinctive assumption to believe that Net Gen students will want to use IT [information technology] heavily in their education; they certainly do in their personal lives. However, if you ask Net Gen learners what technology they use, you will often get a blank stare. They don't think in terms of technology; they think in terms of the activity technology enables. In general, the Net Gen views the Internet as an access tool—a medium for distribution of resources rather than a resource with limitations.[7]

The Natives' predecessors, those who were conducting traditional research long before the Net Gen came along, are classified by Prensky as "Digital Immigrants."[8] Although the Immigrants are capable of adapting to their new environment, they retain an "accent" of their pre-digital past. Archives must be able to serve both groups in order to remain relevant, encouraging the Immigrants with familiar research tools while welcoming the Natives with a fluency in their language.

Users' searching and navigating habits have no doubt been shaped by popular commercial sites such as Google and Amazon, prompting Alastair Smith to pose the question, "What can we [libraries, and by extension archives] learn from the world of e-business?" According to Smith, e-businesses' availability and convenience—that is, the fact that they are open twenty-four hours a day, seven days a week and also offer the potential for one-stop shopping—have implications for the Web presence of libraries. "Users will be expecting models based on e-commerce sites," he suggests, "for instance an interface and responses

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[7] Diana G. Oblinger and James L. Oblinger, *Educating the Net Generation* (online resource) <www.educause.edu/content.asp?PAGE_ID=5989&bhcp=1> (accessed August 5, 2005).

[8] Prensky, "Digital Natives, Digital Immigrants," 2.

customized to the particular user, and 24/7 availability."[9] These expectations pose real challenges to libraries and archives that are not always set up with the resources to follow business models, especially public and non-profit organizations: if archives hope to attract new patrons, then they must consider potential users' Web habits and preferences. Today's researchers—whether they are Digital Immigrants or Digital Natives—are more technologically savvy than researchers even ten years ago. As technology has become more prevalent in everyday society, researchers of all generations expect that Web access will be available 24/7, include multi-media, provide one-stop shopping, and customize responses for individual users. One way that archivists may respond to these expectations is through collaboration with other institutions and "experts."

Archives can offer 24/7 live content but can rarely match (on their own) the reliability or multi-media content of commercial sites. Cooperative endeavors, such as the Digital Library of Georgia (<http://dlg.galileo.usg.edu>), provide greater reliability, more diverse content, and some one-stop shopping. Other "in-house" digital projects may also offer an opportunity for archives both to showcase materials and begin to respond to Net Gen user needs. The Georgia State University projects discussed below were designed in a spirit of internal and external collaboration and constructed in such a way that they may be included in comparable endeavors in the future.

RESPONDING TO THE VIRTUAL NEED

The Georgia State University Library has considered some of these new expectations and demands of Web users as its Special Collections Department has developed various digital

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[9] Alastair G. Smith, "What Can E-Libraries Learn from E-Business?" in *Proceedings of VALA 2002: E-volving Information Futures, Melbourne, February 6-8, 2002*, 169-187, (online resource) <www.vala.org.au/vala2002/2002pdf/12Smith.pdf> (accessed May 10, 2005).

projects designed to reach diverse audiences.[10] Motivated by a desire to respond to traditional user needs as well as by an interest in targeting an untapped potential audience, the department has developed several Web-based projects.

Since its inception in 1971, the GSU Library's Special Collections Department has responded to the public's increasing interest in and use of primary sources in a variety of ways. Traditional outreach has included exhibits, undergraduate- and graduate-level instruction, development of subject-specific research guides, conference presentations (both inside and outside the archival profession), and such community events as public receptions and lectures. The department has promoted its own collecting areas and celebrated its donors as well as participated in larger events such as Georgia Archives Week, Labor Day Week, and Women's History Month.

The digital revolution has led to new forms of virtual outreach for Special Collections, chiefly via the ongoing development and improvement of the department's Web site <www.library.gsu.edu/spcoll>. The site now serves as a primary tool for disseminating information and promoting programs and for administering reference and delivering collection samples. In addition to supplying general information about the department's location, hours, staff, and policies, the site provides electronic access to hundreds of encoded finding aids, topical research guides, digital representations of collections and exhibits, and

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[10] Much has already been written about the impact and use of Web technologies for creating access to archival collections, especially in regard to descriptive standards and Encoded Archival Description. See Lisa R. Coats, "Users of EAD Finding Aids: Who Are They and Are They Satisfied?" *Journal of Archival Organization 2*, no. 3 (2004): 25-39; Christopher J. Prom, "User Interactions with Electronic Finding Aids in a Controlled Setting," *American Archivist* 67 (Fall/Winter 2004): 234-268; Richard Szary, "Encoding Finding Aids as a Transforming Technology in Archival Reference Service," in *Encoded Archival Description on the Internet*. ed. Daniel V. Pitti and Wendy M. Duff (Binghamton, NY: Haworth Information Press, 2001): 187-197; Elizabeth Yakel, "Encoded Archival Description: Are Finding Aids Boundary Spanners or Barriers for Users?" *Journal of Archival Organization 2*, no. 1/2 (2004): 63-77. While these developments are notable and continue to be priorities for the Special Collections Department at Georgia State University Library, the focus of this article is on Web outreach projects that go beyond online finding aid initiatives and OPAC catalog records. Many of these outreach projects take advantage of the online environment in featuring digital photographs, streaming audio, and searchable databases.

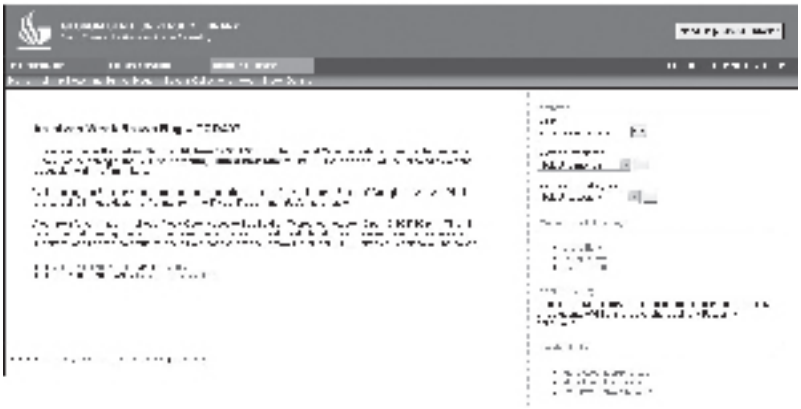
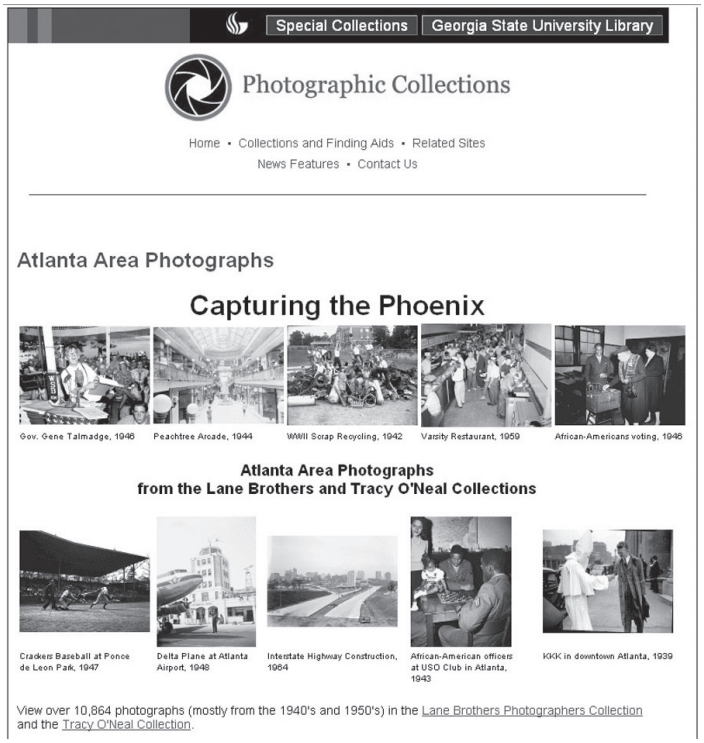


Fig. 1 (above): The Weblog of the Georgia State University Library's Special Collections Department. (Screenshot from <www.library.gsu.edu/news/index.asp?typeID=72>)

Fig. 2 (below): Capturing the Phoenix: photographs from several image collections. (Screenshot from <www.library.gsu.edu/spcoll/pages/pages.asp?ldID=105&guideID=552&ID=3961>)



departmental news updates. Additionally, Special Collections has joined with other departments within the GSU Library in creating a "news and events" Weblog (blog), where information about exhibits, new collections, and special events is disseminated (Fig. 1).[11]

Early digital projects were designed to provide content on demand to remote users. For instance, Capturing the Phoenix (Fig. 2) presents photographs from several image collections, most depicting the Atlanta area. To date, the department has digitized over 10,000 photographic negatives, and the department's photographic collections site is one of the five most accessed portions of the Web site as a whole.

Another early online experiment digitized film footage and audio recordings from former United States Secretary of Labor W. J. Usery, Jr.'s papers. Since 2002, researchers using personal computers have been able to listen to portions of oral history interviews and view streaming video of Usery's 1976 Department of Labor swearing-in ceremony.[12] Although the digital images and audio-visual clips are not linked directly from the relevant finding aids, they are linked from collection portals. The majority of the department's finding aids are available electronically on the Web site.

Though an official survey has not been conducted, positive feedback and anecdotal evidence from a variety of users about GSU's online digital collections suggests that many of their expectations are being met. Often on-site visitors arrive carrying printed copies of finding aids or images from the Web site. E-mail

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[11] Georgia State University Library blogs increasingly have been cited as innovative communication tools for disseminating information, and not just by other librarians. For example, in a May 2006 post on Robert Berkman's business research blog Information Agent, Berkman asserted that GSU Library provides some interesting lessons for the corporate information center (See <www.ia-blog.com/2006/05/subject-specific-rss-feeds.html>). See also GSU blog mention on Lorcan Dempsey's Weblog (<http://orweblog.oclc.org/archives/000841.html>) and Susan Herzog's April 4, 2006, online presentation, "Blogging 101," where she notes: "If there was a prize for the library with the most blogs, Georgia State University Library would win; this is an outstanding example of the value of blogs in an academic library. They were the first that I'm aware of to offer RSS feeds." (See <http://herzogs.wordpress.com>)

[12] <www.library.gsu.edu/spcoll/collections/AV/video/Labor/index.htm> (accessed May 10, 2006)

reference requests frequently begin with "I see on your Web site that you have. . . ." Staff and members of organizations for whom GSU serves as a repository contact the library more frequently than before, utilizing online digital collections for institutional research as well as public relations and communications. Students whose schedules do not coincide with departmental hours have also expressed appreciation for the twenty-four-hour access to digital collections, collection guides, and online databases. Favorable responses from the department's "many publics" have meant that enhancing access with improved digital resources continues to be a priority.

The Johnny Mercer Clearinghouse Project, undertaken in 2003-2004, resulted in the creation of an online database which includes information about the songwriter's recordings, sheet music, movies, and musicals with a Web-searchable interface (Fig. 3). The Mercer project involved collaborating with content experts and programmers to develop a digital template, which eliminated the need to reinvent the wheel on subsequent endeavors. This template was then used to create portals for highlighting projects within the department's other curatorial areas. Financial support from the Johnny Mercer Foundation allowed for a part-time graduate research assistant to help support data and metadata development for this project.

Coinciding with the tenth anniversary of the Georgia Women's Movement Oral History Project (GWMP), an endeavor that included the work of several dedicated volunteer interviewers managed by the department's archivist for the Georgia State University Women's Collection, the corresponding GWMP site was launched in 2005 (Fig. 4). Responding in part to the popularity of sites that feature sound and images as well as text, the GWMP site meets the needs of both the Natives and Immigrants. Traditional users (including donors) are excited about the project and enjoy remote access to multi-media resources such as excerpts of both transcripts and sound recordings accessible at the click of a mouse.

In 2005, the GSU Special Collections and Archives received a grant from the International Association of Machinists and Aerospace Workers (IAM) to digitize and host the full run of journals and newspapers (1889-1994) from their collection (Fig. 5). The project resulted in the IAM "Digital Publications" site where full-text, searchable content is delivered on demand.

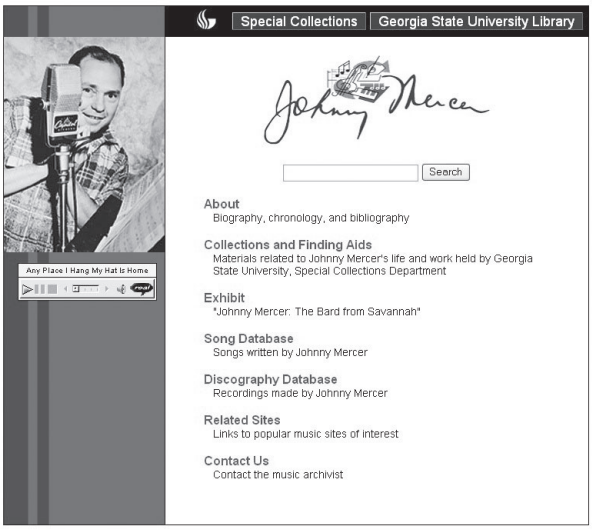


Fig. 3 (above): GSU's holdings of Johnny Mercer materials. (Screenshot from <www.library.gsu.edu/spcoll/mercer>)

Fig. 4 (below): Excerpts of both interview transcripts and sound recordings are available on the Web site of the Georgia Women's Movement Oral History Project. (Screenshot from <www.library.gsu.edu/spcoll/women/oralhistory/interviews.asp>)

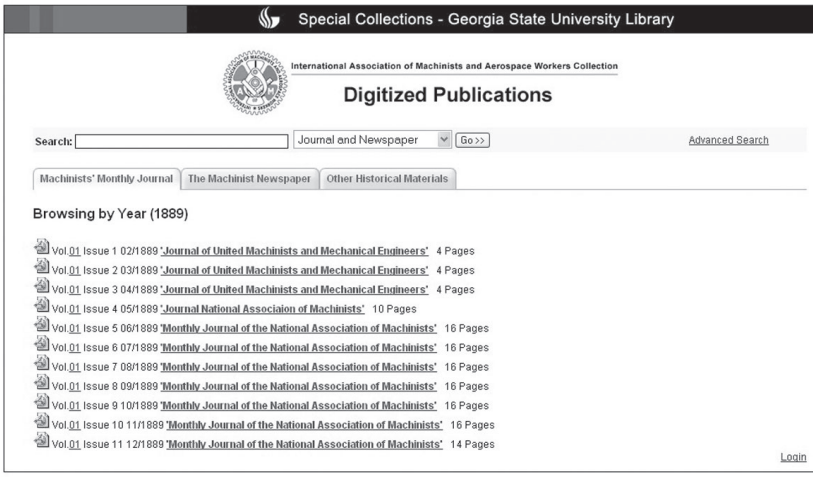
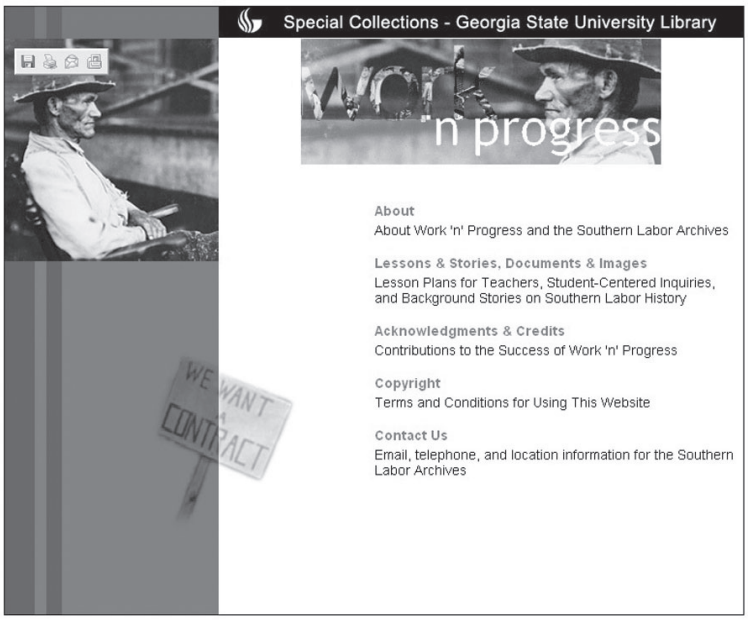


Fig. 5 (above): Full-text, searchable content of labor publications is available at the GSU Library's Web site of the International Association of Machinists and Aerospace Workers Collection. (Screenshot from <http://dlib.gsu.edu/spcoll/iam/list.asp>)

Fig. 6 (below): "Work 'n' Progress" was designed for use by social studies teachers. (Screenshot from <www.library.gsu.edu/spcoll/labor/wnp>)



A project that necessitated outsourcing much of the digitization work, the publications were scanned, microfilmed, and reformatted into Adobe Portable Document Format (PDF) files so that remote users may choose to view text and graphics in their original layouts even as the original documents are preserved.

Each of these projects responds to users' expectations of "one-stop shopping" by providing a central place to locate a multitude of information about one topic. Previously, records related to a particular individual, organization, or subject were scattered.

A prime example of pulling together data into one location is the "Work 'n' Progress: Lessons and Stories in Southern Labor" online curriculum Web site (Fig. 6). Originally conceptualized by a faculty member in the university's College of Education, the project began as an "archives assignment" for graduate social studies education students: scan selected labor history primary sources and create an accompanying lesson plan that requires teachers to utilize the digitized information. "Work 'n' Progress" evolved into a broader effort as faculty in Special Collections and the Digital Library Services Group recognized an innovative opportunity: to create a "one-stop" educational portal populated with resources and stories about southern labor history collected from multiple institutions.

Southern Labor Archives endowment funds allowed additional personnel (graduate and undergraduate student assistants) to be hired who contributed data and metadata content and handled administrative work such as copyright research and securing permissions. The final product is a Web site that includes several topical lesson plans (downloadable in PDF format) as well as newspaper clippings, photographs, oral history interview selections, and other documents delivered in a "documents and images" gallery. Because the resources are presented in this way and not embedded inside the text, teachers may customize their own lesson plans by choosing to display or print only the needed digital resources. This approach supports social studies education

research and development in utilizing digital primary resources for classroom instruction.[13]

Collaborative digital projects can help address Net Gen user expectations by delivering a diversity of resources in a variety of ways. Each of these projects involved collaboration with the GSU Library's Digital Services Group. Experts in Web design and programming developed enhanced digital tools and sites to add to existing static Web pages, helping the department achieve the goal of providing multi-media content and greater functionality, as well as supporting on-campus research. External collaboration, such as the donor support for the IAM digital publications project, also helps archives meet twenty-first-century user expectations. The IAM provided funding and content as well as opportunities for promotion, education, and even usability testing. Selected IAM staff members provided extremely helpful feedback as the product was developed. This eliminated the guesswork of how groups might use particular portions of the digital site. Clearly, it is easier to meet users' needs when they are involved in the design and development of the product. The "Work 'n' Progress" project also benefited from user feedback. During a two-day workshop conducted to instruct teachers on the various ways to use the site, workshop attendees assessed what worked for them. Teachers appreciated having 24/7 access to lesson plans, digitized primary historical resources, background reading, and images on Southern labor history all in one location. No longer must they travel to multiple institutions for primary resources on a subject that fits within the Georgia curriculum requirements.

FURTHER CONSIDERATIONS AND READINGS

While weighing the costs and benefits of undertaking Web-based projects, archivists should be aware of the consequences of not pursuing them. As Ken Osborne observes, the "neglect of the educational potential of archives" is more than

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[13] For example: C. Mason, M. Berson, R. Diem, D. Hicks, J. Lee, & T. Dralle, "Guidelines for Using Technology to Prepare Social Studies Teachers," *Contemporary Issues in Technology and Teacher Education* 1, no. 1 (2000) (online resource) <www.citejournal.org/vol1/iss1/currentissues/socialstudies/article1.htm>. See also: D. Hicks, P. Doolittle, and J. K. Lee, "Social Studies Teachers' Use of Classroom-Based and Web-Based Historical Primary Sources," *Theory and Research and Social Studies Education* 32, no. 2 (Spring 2004): 213-247.

"unfortunate."[14] If archives have a stake in addressing the needs of our many publics, then those who do not take advantage of current technological advances will miss valuable opportunities to develop the public's appreciation for the socio-cultural identity that is housed in archival repositories. Archivists are increasingly aware of this. In her report of the October 2004 "Choices and Challenges" archives and museums conference, Elizabeth Yakel observed that the key question of "how archives and museums can make a more compelling argument for their existence to the public (stakeholders) was never far from mind." She added that "researchers, visitors, non-visitors and the public were never far from any of the discussions."[15]

However, it is important not to lose sight of the fact that researchers still look to tried-and-true sources in addition to surfing for repository holdings. Archivists must recognize that the goal of outreach is connecting users with sources, whether in person or online. Technology will not replace traditional programming, exhibits, and face-to-face interactions; rather, these will be enhanced by readily available tools and collaborations that will allow both Digital Natives and Digital Immigrants to find and use their history.

"OUTREACH 2.0:" THE LANDSCAPE OF WEB-BASED OUTREACH POSSIBILITIES

As users' IT expectations continue to evolve, and as the information profession as a whole continues to explore new ways to respond, archivists should consider the array of tools available to them for outreach. Recognizing that the variety of potential Web-based outreach tools is growing at a fast pace, we offer the following list of selected resources (developed at the time this article was submitted) for more information and as examples for your consideration.

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[14] Ken Osborne, "Archives in the Classroom," *Archivaria* 23 (Winter 1986-87): 17.

[15] Elizabeth Yakel, "Choices and Challenges: Cross-cutting Themes in Archives and Museums," *OCLC Systems & Services* 21, no 1 (2005): 13-17.

Social Software and Web 2.0 – General Information

• <www.openbc.com/net/everything2.0> Enormous list of Web sites related to "Web 2.0" in all its many facets. Categories include everything from "Audio 2.0" and "Images 2.0" to "Multimedia 2.0" and "Search 2.0."

• Michele Tepper, "The Rise of Social Software," *netWorker* 7, no. 3 (2003), 18-23. "Social software" refers to various loosely connected types of applications that enable individuals to communicate with one another and to track discussions across the Web as they happen. Many forms of social software are already old news for experienced technology users: bulletin boards, instant messaging, online role-playing games, and even the collaborative editing tools built into most word-processing software all qualify. But there are also many new tools for discussion and collaboration, many of them in some way tied to the rise of the blog. Soon blogs—perhaps the first Native publishing format for the Web—may become one of the most important prisms through which we understand the online world, since they and their relatives in collaboration and group discussion tools may be our primary way of interacting with one another online.

• Social-media researcher Danah Boyd's observations/commentary: <www.zephoria.org/thoughts/archives/social_software>

• Many 2 Many: A Group Weblog on Social Software: http://many.corante.com/

Social Software in the Library

• The Law Library Research Xchange Web site features an essay by K. Matthew Dames, "Social Software in the Library" <www.llrx.com/features/socialsoftware.htm> K. Matthew Dames' analysis of the implications of social software for education and librarianship. Suggestions for how librarians may use the social-software movement to their advantage, and properly and permanently adopt social software to their "toolkits," may provide some lessons for archivists. Dames highlights different examples of social-software tools, such as blogs, wikis, instant messaging, chat, and handheld devices.

Wikis

• WikiWikiWeb: <http://phpwiki.sourceforge.net/demo/portland/WikiWikiWeb> A WikiWikiWeb is a site where every-

one can collaborate on the content. The best known and used Wiki is the Portland Pattern Repository at <http://c2.com/cgi-bin/wiki?WikiWikiWeb>.

• "What's a Wiki: It's All About Sharing" <http://seattletimes.nwsource.com/html/businesstechnology/2002047031_btwikis27.html> Anick Jesdanun's article reviews wikis and touches on current and potential uses, challenges, and credibility issues.

• Jeremy Frumkin, "The Wiki and the Digital Library," *OCLC Systems & Services* (2005) 21. no 1. Three potential applications of a digital library Wiki are discussed – the Wiki as a knowledge based tool, the Wiki as a content-management tool, and the Wiki as a tool to empower interactive finding aids. Author Jeremy Frumkin suggests: "Imagine if users could leave behind comments or annotations to a finding aid – providing additional information related to the materials located by the finding aid. It would open the door to sharing research experiences, allowing for collaborative research, and making it easier for future researchers to find the materials they need in a particular collection."

• Mason Historiographiki: <http://chnm.gmu.edu/courses/schrag/wiki/index.php?title=Main_Page> Prof. Zachary Schrag and his history graduate students at George Mason University have set up a wiki pertaining to twentieth-century United States history called the "Mason Historiographiki."

Folksonomies

• "Tags & Folksonomies: What are They, and Why Should You Care?" <www.threadwatch.org/node/1206>

• "Folksonomies? How about Metadata Ecologies?" <http://louisrosenfeld.com/home/bloug_archive/000330.html>

• "Folksonomies and Controlled Vocabularies" <http://many.corante.com/archives/2005/01/07/folksonomies_controlled_vocabularies.php>

• "Grassroots Cooperative Categorization Of Digital Content Assets: Folksonomies, What They Are, Why They Work" <www.masternewmedia.org/2005/01/05/grassroots_cooperative_categorization_of_digital.htm> University of Illinois-Urbana/Champaign's Adam Mathes' essay. He writes: "Overall, transforming the creation of explicit metadata for resources from an isolated, professional activity into a shared, communicative

activity by users is an important development that should be explored and considered for future systems development."

Podcasting

• The Podcast Directory: <www.podcast.net>

• Podcast Alley: <www.podcastalley.com> Podcast Alley is the podcast lover's portal. Featuring the best Podcast Directory and the Top 10 podcasts (as voted on by the listeners). Also includes podcast software, the podcast forum, and great podcasting information.

• Yahoo! Podcasts: <http://podcasts.yahoo.com>

Podcasting and Libraries

• Esther Kreider Eash, "Podcasting 101 for K–12 Librarians," *Computers in Libraries* (April 2006). <www.infotoday.com/cilmag/apr06/Eash.shtml> Our twenty-first-century school librarians can lead the way with innovative programming, new resources, and creative instruction. But first, they need to learn what podcasting is all about.

• Podcasting for libraries: Great outreach tool in time? <http://geek.lisnews.org/article.pl?sid=04/10/01/1340215> Podcasts send audio to iPod-style gizmos through desktop computers, with downloads of selected "shows" happening automatically or at least regularly. This post discusses some possible library-related applications.

• Implications of Podcasting in Library Land: <www.tametheweb.com/ttwblog/archives/001132.html> A short post that asks relevant and practical questions about utilizing podcasting technology in libraries

• J. Angelo Racoma, "Beginner's Guide to Podcasts and Podcasting (plus: how to create a basic podcast of your own)." <http://forevergeek.com/geek_articles/beginners_guide_to_podcasts_and_podcasting_plus_how_to_create_a_basic_podcast_of_your_own.php> Revisits some basic concepts on podcasts and podcasting. Also provides a brief summary of how to produce a podcast.

Blogs of Interest

• <www.techsource.ala.org/blog> From the TechSource Web page: "ALA TechSource is a unit of the publishing department of the American Library Association. ALA TechSource

publishes Library Technology Reports and Smart Libraries Newsletter (formerly Library Systems Newsletter)." ALA membership is not necessary to read the blog, which has the goal of highlighting "trends, issues, and opportunities regarding library and information technology." As of May 2006, SAA does not have a blog, and archivists will find relevant information on this ALA blog.

• <www.technorati.com> Not itself a blog, but a site that allows users to search or browse the "Blogosphere" for blogs on various topics.

• <http://hurstassociates.blogspot.com> Blog for "Digitization 101," described as "THE PLACE for staying up-to-date on issues, topics, and lessons learned surrounding the creation, management, marketing and preservation of digital assets."

• <http://il2005-library.blogspot.com> This blog is titled "Select Academic Library Blogs" and is "used for presentations about blogging in academic libraries." Includes links to wikis, library news blogs, associational blogs, librarian blogs, and subject-specific blogs.

• <www.tametheweb.com> Blog by Michael Stephens, librarian and library school faculty member. Stephens comments on topics ranging from the relevance of the Dewey Decimal System to technology tips to understanding patrons. <http://www.tametheweb.com/ttwblog/archives/000568> html features proper blogging protocols.

• <http://herzogs.wordpress.com> An overview of blogging in the academic library. Also a good overall list of concepts for utilizing blogs to disseminate information and more. Created by Susan Herzog, information literacy librarian at Eastern Connecticut State University.

• <http://blog.oup.com/oupblog> Oxford University Press blog. "The talented authors of Oxford University Press provide daily commentary on nearly every subject under the sun, from philosophy to literature to economics. OUPblog is a source like no other on the blogosphere for learning, understanding and reflection."

• <http://hnn.us/blogs/2.html> George Mason University's "History News Network" includes a list of history-related blogs, among other Web-based resources. "Cliopatra's Blog" is a group blog featuring stimulating content and worthwhile links.

• <http://archivemati.ca/2006/05/08/web-20-and-archival-institutions> The site of Peter Van Garderen, Ph.D. student, where he organizes commentary related to his research in enabling technologies and practices that can enhance the access and use of digital archives. This particular link is an archived post that discusses Archives and Web 2.0.

• <http://archives4evah.blogspot.com> Blog from a library school student who hopes to become an archivist. Postings include discussions of relevance of library school for archivists, job hunting, and gaming in libraries.

• <http://neoarch.wordpress.com> Blog from an archivist/special collections librarian. Postings include book reviews, article summaries, and the author's preparation for the Academy of Certified Archivists exam.

• <http://clevhist.blogspot.com> The Cleveland history blog is a good example of a site that uses free blogging software to communicate and share presentation of local history and links.

General Technology Information and Workshops

• <www.asis.org> Web site for the American Society for Information Science and Technology (ASIS&T). ASIS&T is plugged in to current trends in technology; good source for information about conferences and subsequent proceedings.

• <www.infotoday.com> Web site for Information Today, Inc. Includes news, blogs, and conference information as well as links to books, magazines, meetings, etc. Good place to see new trends in the information world.

• <www.archivists.org> Web site for the Society of American Archivists. Check "Education Workshop Calendar" and "Annual Meeting" program descriptions for information on digital topics.

• <www.solinet.net> Web site for the Southeastern Library Network, Inc. Check Educational Services section for information on upcoming classes.

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When Not All Papers Are Paper: A Case Study in Digital Archivy

Catherine Stollar Peters

INTRODUCTION

Hypertext poet Deena Larsen is worried about the potential loss of her digital poetry, but she has a plan to save it. In a 2004 article, "The Uncertain Fate of Scholarly Artifacts in a Digital Age," Larsen revealed her plans for preserving her hypertext work *Marble Springs*.[1] "Ms. Larsen started collecting old Macintosh computers so people will always be able to read *Marble Springs* in its original format. She has 100 computers in her two-bedroom apartment." Although Larsen's two-bedroom mausoleum of circa 1990s technology is one strategy for saving born-digital hypertext works, it is probably not the best. An armada of aging hardware will not protect digital objects from hard drive crashes, hardware failure, inoperable software, operating system malfunctions, unreadability, or natural disasters. Preservation of electronic records requires a commitment to active preservation practices including migration, refreshing, and

[1] Scott Carlson, "The Uncertain Fate of Scholarly Artifacts in a Digital Age," *Chronicle of Higher Education* 50, no. 4 (January 30, 2004) (online resource) <http://chronicle.com/weekly/v50/i21/21aa02501.htm> (accessed April 17 2006).

integrity and authenticity checks of stored digital records. Maintaining the status quo, regardless of the magnitude of hardware and software stockpiles, is not a viable preservation strategy. The Electronic Literature Organization (ELO) notes the inadequacy of just holding onto digital materials and advocates more active digital preservation strategies in their latest publication, *Born-Again Bits*: "The stakes are even higher when we consider that keeping works of electronic literature alive in their original form does not serve all present needs, let alone those of the future."[2]

DIGITAL PRESERVATION AT THE HARRY RANSOM CENTER

Like Larsen and ELO, the Harry Ransom Center is concerned with preserving digital literature. The Ransom Center, a collecting arts and humanities archives located at the University of Texas at Austin, recently acquired the archive of hypertext author and Vassar professor Michael Joyce. In addition to authoring perhaps the most influential hypertext novel, *Afternoon, a Story*, Michael Joyce wrote, along with Jay David Bolter and John B. Smith, the hypertext authoring and reading software Storyspace. The Michael Joyce Papers, composed of both paper-based and digital materials, contain his early linear fiction and other works, correspondence, personal papers, and writings by his contemporaries, including Deena Larsen. In acquiring the Michael Joyce archive, the Ransom Center has the opportunity to preserve rare and unique electronic files documenting the creation and evolution of hypertext fiction.

As hypertext has facilitated new relationships between narrative and technology, digital preservation strategies have forged new connections between traditional archival practice and technology. Technology provides tools that allow for new methods of archival practice, such as a flexible arrangement of electronic files compared to static arrangement of papers-based records and new methods of marking up information in and about files such as Encoded Archival Description (EAD), Qualified Dublin Core (QDC), and other metadata schemas. The innovative natures of hypertext and digital preservation make hypertext an ideal narrative form and Michael Joyce an appropriate author

[2] Electronic Literature Organization, *Born-Again Bits* (August 5, 2005): 1 (online resource) <www.eliterature.org/pad/bab.html> (accessed April 24, 2006).

with which to begin our program of digital preservation at the Ransom Center.

PROJECT DESCRIPTION

In January 2005 I participated in the first phase of a project to preserve the paper and digital records of Michael Joyce at the Ransom Center.[3] Along with fellow project participants Thomas Kiehne and Vivian Spoliansky, I enrolled in a digital preservation course taught by Dr. Patricia Galloway at the School of Information at The University of Texas at Austin. We spent five months preparing, arranging, describing, and ingesting the first accession of 371 3.5-inch floppy disks, totaling 211 megabytes, of Joyce's files into an institutional repository developed by the Massachusetts Institute of Technology and the Hewlett-Packard Company called DSpace, based on the Reference Model for Open Archival Information System (OAIS).[4] Currently, I am processing the second accession of the Joyce Papers, composed of twenty-six linear feet of papers and eight gigabytes of digital files, including the contents of two hard drives saved to two DVDs, three CD-ROMs, and files from one laptop.

There are programs that create and manage institutional repositories, but DSpace software met our needs best. The School of Information created a DSpace institutional repository, and we chose to use it for this project because it is open-source software, which can be modified by a programmer, has a large user community, is frequently updated, and handles files without damaging the original bitstream. DSpace wraps digital objects with a metadata file relative to the object instead of altering the original. DSpace also maintains the integrity of ingested files by creating a copy of the original file when downloaded and automatically creates an MD5 hash value for each file ingested. With our DSpace repository, we are able to preserve the original bitstream and metadata about the original bitstream of digital

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[3] Thomas Kiehne, Vivian Spoliansky, and Catherine Stollar, "From Floppies to Repository: A Transition of Bits" (May 11, 2005) (online resource) <https://pacer.ischool.utexas.edu/handle/2081/941> (accessed April 18, 2006).

[4] Consultative Committee for Space Data Systems, "Reference Model for an Open Archival Information System (OAIS) (online resource) <http://public.ccsds.org/publications/archive/650x0b1.pdf> (accessed October 17, 2006).

objects for refreshing, migration, and emulation of hardware or software components. Additionally, DSpace meets the needs of our scholars who can use file comparison and analytical utilities that reveal information about electronic literature and other digital works solely from comparing bitstreams maintained in a DSpace institutional repository.

DIGITAL ARCHEOLOGY AND BITSTREAM PRESERVATION

The advanced age of the first accession of the 3.5-inch floppy disks caused concern and required additional digital archeology to recover data from the disks. The earliest of Joyce's files were created in the mid-1980s, thereby necessitating the creation of a digital preservation strategy to prevent loss to media failure or software inoperability. Our digital preservation strategy was to remove the contents of the decaying disks to the hard drive of a processing computer, mainly a Macintosh running both OS X and Mac Classic (OS 9), and upload the files into a DSpace repository hosted on a server at the School of Information. These disks were created using "classic" era Macintosh software and hardware. During our exploratory tests using a Macintosh OS X computer with an external USB floppy drive we encountered some difficulty accessing the disks. This was not surprising as many of the floppies arrived at the Ransom Center labeled "unreadable." We knew that Joyce requested that a student assistant survey all of the disks before sending them to the Ransom Center and found most disks unreadable with hardware and software not contemporary with the earliest disks. Fortunately, older Macintosh hardware components with integrated floppy drives were readily available at the Ransom Center and allowed most of the content of the first accession of disks to be migrated from floppy disks to the hard drive. Only files created by Joyce or other electronic works were removed from floppy disks. Disk utilities and other programs on the disks were used to help recover files but were not migrated to a hard drive for preservation due to migration restrictions on the copyrighted third-party disk utilities and use issues of the third-party executable files.[5]

The age of disks in the first accession also caused concern due to potential viruses, disk errors caused by corroded or dirty surfaces on the disk and floppy drive, and unsupported, out-of-

[5] Kiehne, "From Floppies to Repository," 3.

date proprietary software. These concerns were readily addressed using software, usually open-source, and hardware contemporary to the disks. Surprisingly, few files were unrecoverable from even the oldest disks. Some files written in Microsoft Word 1.0 and WriteNow were recovered but were undecipherable when opened in plain text form. Fortunately, Michael Joyce retained copies of outdated software like HyperCard and a file compression/decompression utility called Compressor that allowed us to recover files which were otherwise inaccessible.

Most of the digital archeology tasks performed to recover digital files from the floppy disks were time-consuming due to limited functionality of the programs we used: no utility existed that would perform all the digital archeology tasks we desired at one time. One of the main results from the data-recovery portion of this project is a recommendation to use integrated, open-source utilities that would complete the tasks of virus checking, file recovery, file listing or catalog creation, duplicate recognition, and file integrity checks to automate and streamline digital archeology tasks necessary for preservation. Open-source tools are recommended because they are usually less expensive and can be easily modified to meet institutional needs by a staff member with computer programming skills.

ARRANGEMENT

After recovering most of the bitstreams from the first accession of 371 floppy disks, we began the process of archival arrangement. In the beginning, we asked ourselves some questions. Can and should digital files be arranged like paper-based records? Should we heed traditional archival arrangement practices or follow theories of arrangement based on item-level metadata? Do electronic records have a natural hierarchy that can be expressed in a traditional arrangement? Should physical housing for digital materials be kept? If so, where? Should we retain exact duplicates? Our answers to these questions are not definitive, but we came to a compromise incorporating basic tenets of archival theory with features of on-demand, flexible file arrangement using item-level metadata.

Analyzing the relationship between physical materials and digital materials with similar content within the Michael Joyce archive helped us determine an arrangement strategy. After accessioning the paper-based portion of Joyce's archive,

we noticed that a number of digital materials within the archive had a paper-based counterpart, demonstrating that Joyce created both digital and analog records while performing the same activities. For example, his paper drafts of the linear novel *Going the Distance* were written by hand or (if born digital) were printed. He created similar electronic counterparts to the paper documents as Microsoft Word and Storyspace drafts. Joyce created additional versions of *Going the Distance* in the reading and authoring software called TK3 published by Night Kitchen. One-to-one relationships also exist between some of his e-mail messages that exist as both electronic and printed copies. Both formats of records were created synchronously, and at an institution like the Ransom Center that preserves not only influential works but also maintains the context in which those works were created, an arrangement demonstrating that synchronicity would best describe the creation of Joyce's records. Although his electronic and paper materials would be housed separately, we chose to arrange all of his materials using the same functional series, as opposed to series based on format, to demonstrate the original order in which Michael Joyce created his papers.

Additionally, we mapped the arrangement of the Michael Joyce Papers to the DSpace environment. Institutional repository software like DSpace can facilitate digital object arrangement into functional groups by using the community, sub-community, collection, sub-collection, and item-level hierarchy in DSpace. We mapped DSpace's hierarchies to traditional archival hierarchical levels as follows: communities equate to archival *fonds*, sub-communities to series and sub-series, collections to other layers of granularity within a series, and item-level entries relate to digital objects. In an additional level of granularity, items composed of multiple sub-components (i.e. Web sites with multiple linked HTML files) can be ingested as bundled files.

Another instance of the relationship between physical and digital objects is the housing for digital files. Electronic media, like the original floppy disks and CD-ROMs, as well as jewel cases and paper folders housing published digital works written by Joyce or other hypertext authors, directly correspond to digital files. Previous policies and procedures at the Ransom Center dictated that electronic media should be physically housed in Hollinger boxes separate from the rest of the paper-based materials. This separation policy apparently arose out of concern for potential

damage to other materials caused by degrading electronic media. However, no studies on electronic media degradation have found any examples of off-gassing or other damaging effects of filing electronic media with paper-based materials.[6] Based on our research findings, we chose to interfile housing from digital objects, like jewel cases and magnetic disks, with the paper material we received in the second accession of Joyce's materials. Although we integrated all physical components contained in the second accession of Joyce's archive regardless of physical format, we kept the first accession of 371 floppy disks separate from the rest of the archive to maintain the original order in which we received the disks. We associated digital files ingested into DSpace with the numbers we assigned to each floppy disk and for the sake of convenience chose to maintain the numbered order we created for the first accession floppy disks.

Although we integrated Joyce's digital objects into a functional group arrangement similar to his paper-based records, we also took advantage of the flexible nature of digital object arrangement by enabling on-demand, user-controlled arrangement by item-level metadata. Metadata at the item-level reveals the entire contents of an archive as opposed to traditional series arrangements that only reveal higher levels of description (such as "Correspondence, 1964" or "Works, A-G"). Preservation of digital objects depends on item-level metadata used to document, migrate, emulate, authenticate, and preserve them. Item-level metadata recorded for preservation also enables flexible arrangement of digital objects. At the heart of DSpace, like most repositories based on the Open Archival Information System (OAIS) reference model, is a database populated by individual digital objects supported by content, context, and structure metadata, and the arrangement of those objects depends on the user interface for the database. Digital arrangement allows archivists and users multiple options for organizing objects depending on the parameters set by the user interface, such as file name, title, author, date created, subject, collection, or other metadata element. Arrangement is limited only by the skills of the programmer developing the user interface used to access the database and the precision of metadata recorded for each object.

[6] Fred R. Byers, *Care and Handling of CDs and DVDs--A Guide for Librarians and Archivists,* (Washington, DC: CLIR, 2003) (online resource) <www.clir.org/pubs/reports/pub121/pub121.pdf> (accessed April 15, 2005).

Arrangement was also affected by how we ingested objects into DSpace because the method of ingest affected what metadata fields were included. Although manual metadata assignment of all files within the Joyce archive was laborious, certain metadata fields were impossible to record automatically. Content metadata, such as "subject" and "title of work," had to be entered by hand because no automatic tools were available to extract content accurately. Eventually, the practice of entering subject metadata on an item level was abandoned and replaced by the assumption that arrangement into series and available subject metadata for the whole archive would address the needs of most users. It was difficult to use file names as titles because they were not specific or standardized; however, we found no other solutions for creating titles for files except by manual entry or automatic extraction of file name.

Not all digital fonds require such high levels of description that demand manual manipulation of metadata. Some smaller archives with shallow or no hierarchical organization, or archives with few digital objects or few one-to-one relationships between digital and analog materials could be arranged at a lower level of description. Less robust description equates to limited discovery, but for some archives that may suffice. For such archives, automated ingest and metadata assignment may speed the time spent processing digital objects.

We faced additional limitations for precise metadata due to the metadata standard used by DSpace and by the ingest form provided with the graphical user interface (GUI). Unfortunately, not all metadata recorded for individual digital objects were included in the Qualified Dublin Core (QDC) metadata wrapper supplied in DSpace for each object during ingest and in the item display. We recorded some data, like directory hierarchies and original path names, in a spreadsheet created by the shareware tool, CatFinder 3.0. We then ingested the spreadsheet into a DSpace collection called Project Documentation. We also ingested with records of our arrangement process for the Joyce Papers because there was no metadata field offered for path names during the GUI ingest. Using the bulk ingest method, which occurs at the command line, we added a QDC metadata element "description.uri" to the dublin_core.xml file to record the path name of the ingested object, although slightly different from the original path name after arrangement of the files.

Fortunately, DSpace version 1.4 allows the addition of other metadata elements from defined metadata schemas, but the web interface is designed to accept and record QDC only. Unfortunately, the DSpace version running on the School of Information server is DSpace 1.2. To address the limitations of QDC, we are uploading an additional metadata file for each item from the second accession created using a metadata harvesting tool developed by National Library of New Zealand which uses their metadata schema. Additionally, use of other metadata schemas within DSpace are the subject of ongoing research at the University of Texas at Austin's School of Information.

Duplicate files within the archive raised additional issues for arrangement. Michael Joyce often maintained the same file on all three of his hard drives. He created backups of important files in case of hardware failure on his laptop, home and office computers and made duplicate copies in order to work on the same file from different locations. While using the software zsCompare (a comparison and synchronization utility from Zizasoft) to find duplicate files we noticed a trend: files with the exact same content had creation and modification dates that were exactly twenty-three hours and three minutes apart. We attributed the differences in timestamps to an improperly set internal clock in one of Joyce's computers. After noticing a fair amount of duplicate files we had to make an appraisal decision: were we going to keep every file accessioned with the Michael Joyce Papers, or could some of the copies be discarded? Because we created a file catalog for each disk using the software CatFinder 3.0, we decided to note that duplicates existed, save them to a separate directory on the hard drive of the Macintosh computer used for processing the files, but not to migrate all copies to DSpace. Although weeding through the duplicate files was time consuming, recording the metadata for the additional files would have been even more so considering some of the preservation tasks for each file that needed to be performed by hand.

Although DSpace is best suited to uploading individual items into the repository, a number of file associations within directories needed to be maintained. Some hypertext works within the archive are composed of multiple HTML files linked with hyperlinks and maintained in one directory. Because hypertext is based on internal links and because those links are often demarcated by a local file path, retaining a hierarchical

relationship is key to a functional product for download from DSpace. Maintaining directory relationships requires files to be ingested into DSpace as a bundle of files composing one item or as items ingested within the same collection. Both methods of retaining relationships between files require additional steps in the ingest process but are necessary for retaining relationships between some files.

We adopted methods for traditional archival arrangement and strategies for on-demand item-level arrangement while processing digital objects within the Michael Joyce Papers. Together, both methods allow users to browse records according to functional series and create new arrangements based on item-level metadata available for individual objects.

PRESERVATION BEYOND THE BITSTREAM

Digital preservation of the hypertext works in our case study raised unique preservation concerns beyond the preservation of bitstream copies. In addition to concerns for migration, authenticity, storage, and use similar to those for other born-digital objects, hypertext works require dynamic links and guard fields (words within the text that enable dynamic links), which create new issues for digital preservation. As described by ELO, preservation "solutions (for example, The Text Encoding Initiative's TEI schema or the library METS metadata standard) are often better suited for print, or print-like static works that have been digitized than for born-digital artifacts of electronic literature with dynamic, interactive, or networked behaviors and other experimental features . . . ."[7] ELO's solution for preservation is the X-Literature initiative, which has two parts: creating emulators and interpreters that enable the experience of digital works in a simulation of their native environment and developing a schema for electronic literature that can preserve unique aspects of hypertext, like links and guard fields, otherwise missing from current metadata standards.

Emulators and interpreters would address concerns for the preservation of Storyspace and Hypercard records in our case study by recreating the software and hardware environments in which the hypertext work was written. Currently, Storyspace (partially written by Michael Joyce) only runs on Windows or

[7] ELO, *Born-Again Bits,* 3.

Macintosh operating systems, but the same program does not run on both nor does a file written in Storyspace 1.5 run properly in Storyspace 2.5. The most current version of the software runs on Windows XP and Macintosh OS X. Storyspace is not open-source software, but the Ransom Center holds a copy of the source code. Copyright concerns, continued distribution of Storyspace by Eastgate Systems, and a lack of programming staff and time have prevented any steps towards creating emulating software to run Storyspace documents on the next iteration of operating systems. Hypercard files, created by proprietary Macintosh software and no longer supported, are also present within the archive. We welcome collaboration with other institutions and organizations, like ELO, willing to focus on creating ways to access the files we are preserving in DSpace.

Other preservation issues concern how scholars will want to research hypertext works in the future. Some users may want to experience hypertext in an original format and will need emulators. Other users might be interested more in the content of hypertext works and will be satisfied with XML records of works. Still other users may be interested in the various layers of hypertext as it appeared on original storage media and would need disk images to analyze the works. Scholars interested in hypertext works archived at the Ransom Center will most likely have sophisticated technological skills and may want to employ methods of literary analysis that involve other types of technology. As archivists, it is impossible for us to predict how scholars will want to use digital objects. Instead, we must strive for a utilitarian approach to digital preservation. We must address how most users will want to access our digital objects and preserve as much metadata as possible to facilitate scholarly use.

CONCLUSIONS AND RECOMMENDATIONS

Processing both accessions of the Michael Joyce Papers helped us draw conclusions about digital archivy that can be summed up in the following recommendations.

Automated, open-source tools are essential for future digital preservation projects.

Whether items are ingested manually or automatically, comprehensive open-source disk utilities need to be created to streamline the digital archeology portion of digital preserva-

tion. One integrated tool should check for viruses, recover files, create file catalogs, and preserve item authenticity by creating MD5 hashes. Tools for arrangement and ingest are desperately needed as well. Initiatives for automated record processing and ingest are developing but usable tools are absent.[8] Wherever possible, processes that were performed separately in our case study should be integrated into one tool. Accurate content analysis and comparison tools should be developed and integrated into digital processing tools as well.

Although we recommend more open-source software, we realize a higher level of specialized staff will be needed to find, download, install, manipulate, and use open-source software as compared to off-the-shelf software with built-in help functions, graphical installation interfaces, and technical assistance helplines. With this in mind, we offer a second recommendation.

Digital preservation will require specialized knowledge and specialized staff.

Archives will have to employ specialized staff with experience in information technology. Digital preservation requires knowledge of hardware, software, file formats, systems, servers, programming languages, metadata schemas and standards, Web applications, databases, and other specialized knowledge that most archivists do not have. At a time when archives are suffering from severe budget cutbacks, creative approaches to employing specialized staff will have to be considered. Archives may be able to fill these openings with hybrid positions, as grant-funded employees, or with shared workers between consortiums and/or collective agencies.

Methods of archival processing, arrangement, and description should adapt to handle issues presented by electronic records.

Archival theory and practice will need to change in response to the presence of electronic records archives that individuals are producing right now. Methods for processing electronic records archives will depend on cost, staff time and knowledge required, users' needs, tools available, institutional

[8] Manuscripts and Archives, Yale University Library, and the Digital Collections and Archives, Tufts University, *Fedora and The Preservation of University Records*. (Medford, MA: Tufts University, 2006) (online resource) <http://dca.tufts.edu/features/nhprc/index.html> (accessed October 17, 2006).

repository, hardware availability, and status of collection and may rapidly change as the number and size of digital archives grow. Archivists will need to be even more flexible and creative in their methods of processing materials in the future.

Before starting a digital preservation project, clear policies and procedures must be determined.

The policies and procedures for any digital preservation project require a permanent commitment by the preserving institution to manage, maintain, and migrate digital content. Without an institutional commitment, files can be neglected and eventually lost, which negates the purpose of preservation. Policies and procedures must clearly define how digital objects will be recovered, processed, ingested, and preserved to prevent duplication of work or improperly ingested digital objects.

This case study in digital archivy addresses some procedures for preservation of electronic literary archives at the Ransom Center. Although our methods for preservation will undoubtedly change in the future, we feel time invested now to create policies and procedures for preserving digital objects will decrease the effort spent to resuscitate older electronic objects later when it may be too late.

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Archivists and the USA PATRIOT Act: Are We Prepared?

Michele Christian

THE USA PATRIOT ACT

On October 26, 2001, only six weeks after the September 11, 2001, terrorist attacks on the United States, President George W. Bush signed into law the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT Act). The quick response was prompted by a perceived need to provide government officials with the tools they believed were necessary to fight terrorism. With little debate, the Senate and the House of Representatives resoundingly voted in favor of the Act.[1] The reauthorization of the USA PATRIOT Act would not come as quickly. Several sections of the Act were set to expire on December 31, 2005; however, the deadline was moved to February 3, 2006, and again to March 10, 2006, to allow Congress time to

[1] American Library Association, "Analysis of the USA Patriot Act Related to Libraries" (April 2002) (online resource) <www.ala.org/ala/oif/ifissues/issuesrelatedlinks/usapatriotactanalysis.htm> (accessed April 23, 2005).

reach agreement.[2] The Act was reauthorized on March 9, 2006, but not without changes to the original Act.[3]

The beginning of the USA PATRIOT Act states that it is meant "to deter and punish terrorists in the United States and around the world, to enhance law enforcement investigatory tools and for other purposes."[4] As Peter Hirtle points out, many sections of the USA PATRIOT Act are not objectionable, especially those that limit the financial transactions of terrorists and that allow federal agents to monitor communications by terrorists.[5] However, in addition to providing federal officials with more tools to catch suspected terrorists, the Act makes it easier for law-enforcement officials to invade the lives of private citizens.

The original USA PATRIOT Act modified several existing laws that could influence the way archives interact with their patrons, donors, and collections; these laws include the Family Education Rights and Privacy Act (FERPA) and the Foreign Intelligence Surveillance Act (FISA). These changes have the potential to impact not only freedom of speech and academic freedom, but also records management practices and security in archives.[6]

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[2] "Congress Extends Patriot Act Another Five Weeks," *American Libraries Online* (February 3, 2006) (online resource) <www.ala.org/al_onlineTemplate.cfm?Section=alonline&template=/ContentManagement/ContentDisplay.cfm&ContentID=115290> (accessed February 13, 2006).

[3] American Library Association, "USA PATRIOT Act Reauthorization Analysis," (online resource) <www.ala.org/ala/washoff/WOissues/civilliberties/theusapatriotact/usapatriotact.htm#reauth> (accessed July 27, 2006).

[4] USA PATRIOT Act, (online resource) <http://thomas.loc.gov/cgi-bin/query/C?c107:./temp/~c107PWj3te> (accessed April 22, 2005).

[5] Peter Hirtle, "The USA PATRIOT Act and Archivists" (online resource) <http://dspace.library.cornell.edu/bitstream/1813/172/2/The+USA+PATRIOT+Act+and+Archivists.pdf> (accessed December 12, 2006).

[6] Paul T. Jaeger, et al., "The USA PATRIOT Act, the Foreign Intelligence Surveillance Act, and Information Policy Research in Libraries: Issues, Impacts, and Questions for Librarians and Researchers," *Library Quarterly* 74:2, (2004): 100, 109. Lee Strickland, Mary Minow, and Thomas Lipinski, "Patriot in the Library: Management Approaches When Demands for Information are Received from Law Enforcement and Intelligence Agents," *The Journal of College and University Law* 30:2 (2004): 365. This article offers practical advice to libraries about how to deal with the USA PATRIOT Act.

The recent changes affect the way archives conduct business and keep records, calling into question security measures that archives have long had in place. Archives often require patrons to fill out research forms as well as itemized lists of collections being used. In the event of a search under the provisions of the USA PATRIOT Act, these records could be requested.

One of the most contested aspects of the Act is Section 215, which allowed agents from the Federal Bureau of Investigation (FBI) to access such records as library and archives patron information and other items under the revised Foreign Intelligence Surveillance Act (FISA). Prior to the passage of the USA PATRIOT Act, FISA court orders could only address certain business records, such as those concerning passenger transportation and storage locker and vehicle rentals.[7] Section 215 prohibited the disclosure to anyone, including the person being investigated, that a search had taken place. The only people privy to this information were those who had to comply with the search and legal counsel for the record holder.[8] The revised legislation now states that the person who received the order can consult legal counsel without divulging his or her identity to the FBI. In addition the recipient can now reveal the existence of an order to another person, but only if the director of the FBI or the director's designee grants permission.[9] The original USA PATRIOT Act made it easier for the FBI to conduct surveillance by changing the need for information to be only "significant" rather than "primary" to an investigation.[10] The PATRIOT Act also permitted roving wire taps and surveillance of electronic communications without the knowledge of archives staff.[11]

In short, these sections of the USA PATRIOT Act allowed the FBI to gain access to confidential information without hav-

[7] Charles Doyle, "Libraries and the USA PATRIOT Act," *Congressional Research Service Report for Congress* (February 26, 2003) (online resource) <http://www.fas.org/sgp/crs/intel/RS21441.pdf> (accessed December 12, 2006).

[8] USA PATRIOT Act, sec. 215.

[9] American Library Association, "USA PATRIOT Act Reauthorization Analysis."

[10] USA PATRIOT Act, sec. 218.

[11] Ibid, sec. 206-210, 214, 216.

ing to prove that the information was necessary and without the archives' knowledge. The reauthorized Act now requires that the FBI must provide proof that the information they seek is pertinent to authorized investigations. The information sought must also be described adequately enough to be identified, thus lessening the possibility of the FBI conducting "fishing expeditions." The Act does not allow just anyone with a badge access to this information: the Foreign Intelligence Surveillance Court must approve FISA orders. The reauthorized Act also requires the director of the FBI or the FBI executive assistant director for national security to approve requests.[12]

Although forty-eight states have laws that protect patron privacy, federal law like the USA PATRIOT Act supersedes state law.[13] The federal government does not acknowledge the existence of library-patron confidentiality and requires that libraries, and therefore archives, comply with search warrants and subpoenas.[14] When questioned by the House Judiciary Committee, officials in the Justice Department said that a court order issued under Section 215 could be served to libraries, bookstores, and newspapers; however, they did not believe it likely that these institutions would have the type of records they would seek. They also said that a National Security Letter (NSL) would be the appropriate tool used to obtain these records.[15]

The reauthorization of Section 215 brought about other changes to the original USA PATRIOT Act. The Department of Justice is now required to provide unclassified annual reports to the House and Senate Committees on the Judiciary, the House Permanent Select Committee on Intelligence, and the Senate Select Committee on Intelligence. The reports identify the total number of applications and the number of requests granted, denied, and modified. In addition, the inspector general of the Department of Justice must complete an audit of the use and efficiency of the investigative powers authorized by FISA of 1978, as

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[12] American Library Association, "USA PATRIOT Act Reauthorization Analysis."

[13] Jaeger, "The USA PATRIOT Act," 106.

[14] Doyle, "Libraries and the USA PATRIOT Act."

[15] Ibid.

amended by the USA PATRIOT Act.[16] Had this section of the USA PATRIOT Act been allowed to expire, the law would have reverted to the original FISA, in which businesses such hotels, car rentals, and storage rental facilities would have been affected, and libraries and archives would no longer be subject to these searches.[17] Section 215 is now set to expire on December 31, 2009.[18]

Section 505 of the USA PATRIOT Act could also impact archival repositories. Federal agents are now able to search for certain records without a court order by using the NSL.[19] The type of documents subject to this section, such as financial records, can be found in many archival collections, accessible to anyone including law-enforcement officials; however, some of these records are restricted according to donor agreements or FERPA.[20] The reauthorized Act allows disclosure of the NSL to those necessary to comply with the order, legal counsel, and others permitted by the director of the FBI or the director's designee. The new Act also states that the director of the FBI or his/her designee must certify that disclosure of the NSL would impair the investigation or diplomatic relations, damage national security, or endanger lives. Penalties for violating this order have also changed. Instead of a one-year prison term if one is convicted of "knowingly and willfully" breaching the nondisclosure order, there is now a possibility for a person to be sentenced to up to five years in prison for doing so "knowingly and with intent to

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[16] American Library Association, "USA PATRIOT Act Reauthorization Analysis."

[17] Charles Doyle, "USA PATRIOT Act Sunset: A Sketch," *Congressional Research Service Report for Congress* (June 10, 2004) (online resource) <www.fas.org/irp/crs/RS21704.pdf> (accessed June 7, 2005).

[18] American Library Association, "USA PATRIOT Act Reauthorization Analysis."

[19] USA PATRIOT Act, sec. 505.

[20] Hirtle, "The USA PATRIOT Act and Archivists"; Jackie Esposito, "Restoring Privacy to Student Records: A Proposal to Amend the USA PATRIOT Act," (International Council on Archives, Section on University and Research Institution Archives, East Lansing, Michigan, 2005) (online resource) <http://archives.msu.edu/icasuv/papers/JackieEsposito.pdf> (accessed July 28, 2006).

obstruct an investigation or judicial proceeding."[21]

Many archivists consider patron information as the type of record most at risk under the USA PATRIOT Act. For the most part, the likelihood that archives will be visited by the FBI to obtain patron records with a FISA request is slim, given that archival materials contain historical information that would little interest terrorists (and subsequently the FBI) today.[22] However, many archives contain the papers and records of individuals and groups whose activities and affiliations may interest federal officials. These documents, regardless of donor restriction, are also subject to the auspices of the USA PATRIOT Act and can be searched and/or removed with a FISA order.

Archivists, librarians, and other information professionals agree that the United States government needs tools to protect the nation from future terrorist attacks. However, professionals disagree with the idea of using the new law for invading citizens' privacy and suppressing the exchange of knowledge.

LIBRARIANS AND THE USA PATRIOT ACT

Libraries and other information centers have been affected by the federal government's national security initiatives throughout the twentieth century. In 1918, during World War I, a government order demanded the removal of certain materials from libraries and asked librarians to monitor library patrons.[23] Librarians readily complied with the order, many considering it their civic duty to conform to the wishes of the government. They removed books that could have been viewed as "disloyal," such as German-language texts and anything that opposed war. Libraries also increased efforts to assimilate immigrants into American culture.[24] Again during World War II, the government

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[21] American Library Association, "USA PATRIOT Act Reauthorization Analysis."

[22] Hirtle, "The USA PATRIOT Act and Archivists."

[23] Joan Starr, "Libraries and National Security: An Historical Review," *First Monday* 9:12 (online resource) <http://firstmonday.org/issues/issue9_12/starr/index.html> (accessed January 11, 2005).

[24] Wayne A. Wiegand, *"*An Active Instrument for Propaganda,*" The American Public Library During World War I* (Westport, Conn.: Greenwood Press, Inc, 1989), 6.

asked librarians to censor library materials and report patrons who asked to see the banned materials. And once more librarians voluntarily complied with the government, even abandoning the American Library Association's (ALA) Code of Ethics (1939), which considered library patron information confidential, feeling that it was a peacetime luxury not to be afforded during war. During the Cold War, the ALA moved towards supporting intellectual freedom by condemning censorship, no matter the political climate, with the issuance of the Library Bill of Rights in 1948 and the Freedom to Read statement in 1953.[25] In the 1970s and 1980s the FBI's Library Awareness Program actively recruited librarians to monitor patrons who spoke foreign languages or searched for information on military matters and technological innovations.[26]

With such recent history, many librarians were not surprised that their institutions were targeted after the September 11 attacks. The ALA was one of the first groups to speak out against the USA PATRIOT Act. The ALA brought together a group of librarians and university technology experts, including members of the Association of Research Libraries (ARL) and the American Association of Law Libraries (AALL), to analyze the proposed legislation as soon as the first draft became available. This group identified three areas that would affect libraries and their patrons: (1) using library systems for surveillance of patrons, (2) providing easier access to library records, and (3) the Act's definition of "terrorist" that would include any cyber criminal.[27]

The ALA, the ARL, and the AALL issued a joint statement on October 2, 2001, that supported the United States' right to protect itself; however, it condemned the proposed limitations to

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[25] Starr, "Libraries and National Security."

[26] Ibid. For a detailed account of the Library Awareness Program, see Herbert N. Foerstel's *Surveillance in the Stacks: The FBI's Library Awareness Program* (New York: Greenwood Press, 1991).

[27] American Library Association, "USA PATRIOT Act: A Summary of ALA Activities" (January 19, 2002) (online resource) <www.ala.org/ala/washoff/WOissues/civilliberties/theusapatriotact/background.pdf> (accessed June 8, 2005).

the freedoms cherished by its citizens.[28] Not only did the library groups form a united front, they also worked with non-library groups to oppose the proposed legislation. Representatives of the library organizations talked to members of the United States Congress they felt would be receptive to their concerns.[29]

ALA reaffirmed its stand against the USA PATRIOT Act during the 2003 ALA Midwinter Meeting by issuing a resolution condemning the Act's disregard for civil rights. The resolution encouraged librarians and others to educate themselves about the Act and its possible impacts on libraries and library patrons. The resolution also urged libraries to establish retention policies for patron records and other policies that would ensure patron privacy. In addition, it reasserted ALA's commitment to work with other organizations to protect the freedom of intellectual pursuits and expression.[30]

On September 15, 2003, John Ashcroft, the attorney general of the United States, derided the nation's librarians at a conference of the National Restaurant Association in Washington, D.C. Ashcroft asserted that the ALA and others were inciting "baseless hysteria" with regard to the uses of the USA PATRIOT Act to view library patron records.[31] The Justice Department spokesperson, Mark Corallo, claimed that the attorney general did not mean to attack librarians and that his remarks were aimed at those responsible for convincing librarians to mistrust the

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[28] American Library Association, "Library Community Statement on Proposed Anti-Terrorism Measures" (October 2, 2001) (online resource) <www.ala.org/ala/washoff/WOissues/civilliberties/theusapatriotact/terrorism.pdf> (accessed June 8, 2005).

[29] American Library Association, "USA PATRIOT Act: A Summary of ALA Activities."

[30] American Library Association, "Resolution on the USA Patriot Act and Related Measures That Infringe on the Rights of Library Users" (January 29, 2003) (online resource) <www.ala.org/ala/washoff/WOissues/civilliberties/theusapatriotact/alaresolution.htm> (accessed June 12, 2005).

[31] "Ashcroft Says FBI Hasn't Used Patriot Act Library Provision, Mocks ALA for 'Hysteria,'" *American Libraries Online* (September 22, 2003) (online resource) <www.ala.org/al_onlineTemplate.cfm?Section=september2003&Template=/ContentManagement/ContentDisplay.cfm&ContentID=44344> (accessed July 12, 2005).

government.[32] The following day, ALA President Carla Hayden responded with a synopsis of why the ALA was suspicious of the Act, distinguishing searches based on possible relevance from those generated by probable cause, and citing the federal government's history of using libraries for surveillance. Hayden asserted that she and the ALA were concerned that Ashcroft was "openly contemptuous of those who seek to defend our Constitution" and that he could alleviate these concerns by issuing data regarding the number of libraries visited using the expanded powers of the USA PATRIOT Act.[33] In the wake of this exchange the United States Department of Justice admitted that it had not used the Act to obtain library and bookstore records.[34]

Researchers conducted two national surveys to learn about the impact of the USA PATRIOT Act on libraries. In 2002 Leigh Estabrook of the Library Research Center at the Graduate School of Library and Information Science, University of Illinois, surveyed 1,505 public libraries across the United States and received replies from 906 respondents (60 percent of those surveyed). The study asked about libraries' policies, staff awareness, requests from law-enforcement officials, and the opinions of the librarians answering the questionnaire. Dr. Estabrook found that only 7.2 percent of the respondents had changed any of their policies in response to the Act, though 14.5 percent of the respondents were in the process of doing so. Sixty percent of the libraries had educated their staffs and library boards about the Act and what to do when served with a search warrant or

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[32] Eric Lichtblau, "Ashcroft Mocks Librarians and Others Who Oppose Parts of the Counterterrorism Law," *New York Times*, September 16, 2003, sec. 1A, 23.

[33] Carla Hayden, "American Library Association Responds to Attorney General Remarks on Librarians and USA PATRIOT Act: A Statement by ALA President Carla Hayden" (September 16, 2003) (online resource) <www.ala.org/Template.cfm?Section=news&template=/ContentManagement/ContentDisplay.cfm&ContentID=43916> (accessed July 12, 2005).

[34] Eric Lichtblau, "U.S Says It Has Not Used New Library Records Law," *New York Times*, September 19, 2003, sec. 1A, 20.

subpoena. The study also found that law-enforcement officials had visited 10.7 percent of the survey respondents.[35]

In January 2005 the ALA conducted a survey that focused on the effects of the USA PATRIOT Act on public and academic libraries. The Web-based survey examined the changes in patron attitudes, changes in library policies, and contacts made by law-enforcement officials as a result of the Act.[36] Of the more than 1,500 public libraries asked to participate, 33 percent responded to the survey, and of the 4,008 academic libraries that were sent the questionnaire, 22 percent responded. The early results focused on how often the libraries had been visited by law-enforcement officials. The survey found that public libraries had been visited sixteen times by federal officials and forty-seven times by state and local officials for records requests. Academic libraries had their records requested thirty-three times by federal officials and forty-one times by state and local law enforcement.[37] Critics of the survey contend that the data collected could pertain to various types of law-enforcement inquiries, not only those related to terrorism or intelligence investigations.[38]

ARCHIVISTS AND THE USA PATRIOT ACT

While librarians proactively lobbied government officials, educated themselves, and made their voices heard early on, archivists remained publicly silent about the USA PATRIOT Act. Over a year after the passage of the law, the Archives and Archivists

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[35] Leigh Estabrook, "Public Libraries and Civil Liberties—Questionnaire" (January 2003) (online resource) <http://lrc.lis.uiuc.edu/web/PLCLnum.pdf> (accessed December 12, 2006).

[36] "ALA Begins PATRIOT Study to Measure Law Enforcement Activity in Libraries," *Washington Office Newsline* 14:1 (2005) (online resource) <www.ala.org/ala/washoff/washnews/2005ab/001jan05.htm> (accessed June 22, 2005).

[37] American Library Association, "American Library Association (ALA) Announces Preliminary Findings of Study Measuring Law Enforcement Activity in Libraries" (June 20, 2005) (online resource) <www.ala.org/ala/washoff/oitp/pressreleasefinal.pdf> (accessed June 22, 2005).

[38] Eric Lichtblau, "Libraries Say Yes, Officials Do Quiz Them About Users," *New York Times* (June 20, 2005) (online resource) <www.nytimes.com/2005/06/20/politics/20patriot.html?ex=1155182400&en=68230141843fe7af&ei=5070> (accessed July 26, 2006).

Listserv saw its first discussion on the possible implications of the Act on member repositories. The exchange consisted of a few archivists discussing possible changes to the patron record retention schedules.[39] However, once archivists became more aware of the impact the Act had on archives, more discussions took place on the listserv focusing on the possible implications of the Act on civil liberties, the possibility of the expansion of the Act's powers, and evaluating patron information that archives collect. [40]

Since these early discussions, several Society of American Archivists (SAA) sections and roundtables have focused attention on the USA PATRIOT Act. In 2003 the Manuscript Repositories Section; Reference, Access, and Outreach Section; and the Privacy and Confidentiality Roundtable drafted a joint letter to the SAA Council with language for a proposed resolution from SAA regarding the Act. The language highlighted archivists' reservations about the USA PATRIOT Act, including the protection of patron and donor privacy and confidentiality. These groups urged the SAA Council to respond to the concerns of the profession as they pertained to the USA PATRIOT Act.[41]

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[39] Amy Cooper, "Privacy Rights vs. Collection Security" (December 2, 2002) (online resource) <http://listserv.muohio.edu/scripts/wa.exe?A2=ind0212A&L=ARCHIVES&P=R5839&I=-3> (accessed June 8, 2005). Arthur Dostie, "Re: Privacy Tights [sic]" (December 4,2002) (online resource) <http://listserv.muohio.edu/scripts/wa.exe?A2=ind0212A&L=ARCHIVES&P=R8044&D=0&I=-3> (accessed June 8, 2005). Dean DeBolt, "Re: Privacy Rights" (December 4, 2002) (online resource) <http://listserv.muohio.edu/scripts/wa.exe?A2=ind0212A&L=ARCHIVES&T=0&F=&I=-3&S=&P=7867> (accessed June 8, 2005). Barbara Austen, "Re: Privacy Rights" (December 4, 2002) (online resource) <http://listserv.muohio.edu/scripts/wa.exe?A2=ind0212A&L=ARCHIVES&T=0&F=&I=-3&S=&P=8509> (accessed June 8, 2005).

[40] To see all discussions regarding the USA PATRIOT Act on the Archives and Archivists Listserv, search the following Web page: <http://listserv.muohio.edu/scripts/wa.exe?S1=archives&I=-3>.

[41] Society of American Archivists, "Letter to SAA Council with Proposed Resolution Language concerning the USA PATRIOT Act from the Manuscript Repositories Section, RAO Section, and Privacy and Confidentiality Roundtable" (October 7, 2003) (online resource) <http://archivists.org/saagroups/rao/04winpatact.asp> (accessed April 23, 2005). Society of American Archivists, "Council Minutes" (August 23, 2003) (online resource) <www.archivists.org/governance/minutes/min081903.asp> (accessed July 27, 2006)

The SAA Council had been working on a resolution denouncing the Act until members realized that they would add nothing new to the statements already provided by ALA and others. At the June 6, 2004, SAA Council meeting, Tim Ericson, president of SAA, said that he would begin drafting a resolution against the renewal of the Act.[42] Released on July 15, 2004, the resolution affirmed the necessity for the United States government to protect the nation from terrorism but did not condone the loss of civil liberties as a byproduct of these actions. It urged lawmakers to reevaluate sections of the Act that threatened privacy and confidentiality of archival patrons and donors.[43] When asked if he believed SAA's response to the Act was effective, Tim Ericson responded with the following statement:

> I guess the best answer is "it depends." When considering what kind of response to make, I wanted to do more than simply to have the SAA say "me, too" in the wake of the very strong statement that the ALA had made in the fall. So we were kind of waiting for the issue of the USA PATRIOT Act to rear its head in the news again and that didn't happen for some months. So I do not think our statement was useful in the sense of shaping public policy. Unlike with the SAA's statement regarding the Archivist of the United States where there were many inquiries from the press and from other organizations, I can't remember receiving one call regarding the SAA's USA PATRIOT Act statement. The first time I heard it mentioned was at the opening plenary of the 2004 annual meeting in Boston when Nadine Strossen from the ACLU complimented the SAA on the statement.
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> I think the statement was effective only internally because (a) it satisfied the desire of the SAA membership for the organization to take a stand, and (b) it conveyed our position in a way that individual archivists could use

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[42] Society of American Archivists, "SAA Council Minutes" (June 5, 2004) (online resource) <http://archivists.org/governance/minutes/min060504.asp> (accessed April 23, 2005).

[43] Society of American Archivists, "Statement on the Renewal of the USA PATRIOT Act" (July 15, 2004) (online resource) <www.archivists.org/statements/patriotact.asp> (accessed April 23, 2005).

if they needed to cite a source in offering a position or an opinion at their own institution.[44]

At the SAA annual meeting in August 2004, keynote speaker Nadine Strossen, president of the American Civil Liberties Union (ACLU), and Tim Ericson spoke about the effects of the USA PATRIOT Act on libraries and archives. Ericson focused on the increased levels of secrecy in the government, including an historical perspective of past government initiatives to modern-day measures. He characterized the USA PATRIOT Act as "only one of the latest 'quick fix' responses to problems, enacted without close examination or debate about the long-term cost to our civil liberties."[45] Strossen talked about the ACLU's efforts to combat the USA PATRIOT Act. She urged archivists to work with the ACLU and other organizations to limit the "unnecessarily broad powers the government now has under the PATRIOT Act."[46] The 2004 meeting also featured a session entitled "The Impact of the USA PATRIOT Act on Archives and Archivists," with speakers Gregor Trinkaus-Randall, Harvey Silverglate, and James Neal.[47]

The Act seems to have increased the profession's awareness of patron and donor privacy and confidentiality. The latest "Code of Ethics for Archivists," which the SAA Council approved on February 5, 2005, includes sections that focus on these issues. Article VI states, "Archivists may place restrictions on access for the protection of privacy and confidentiality of information in

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[44] Tim Ericson, "RE: Question," September 2, 2006, personal email (September 2, 2006).

[45] Tim Ericson, "Building Our Own 'Iron Curtain': The Emergence of Secrecy in American Government" (August 5, 2005) (online resource) <http://archivists.org/governance/presidential/ericson.asp> (accessed April 23, 2005).

[46] Nadine Strossen, "Keynote Address" (August 5, 2004) (online resource) <http://archivists.org/conference/boston2004/strossen.asp> (accessed April 23, 2005).

[47] Society of American Archivists, "02. The Impact of the USA PATRIOT Act on Archives and Archivists," *Boston 2004 Program Session* (online resource) <www.archivists.org/conference/boston2004/boston2004prog-Session.asp?event=962> (accessed June 7, 2005).

the records."[48] Another section, Article VII, asserts the duty of archivists to protect the privacy and confidentiality of patrons and donors by protecting personal information collected in accordance with the repositories' security measures.[49] The previous "Code of Ethics for Archivists," passed in 1992, did not mention privacy or confidentiality, except Article IX which stated that if patrons agreed, archivists could supply their names to other researchers using the same materials.[50]

This subject also has been discussed by other archival organizations, some of which have made formal statements regarding the Act. On September 30, 2004, in Pittsburgh, Pennsylvania, the Mid-Atlantic Regional Archives Conference (MARAC) steering committee passed a resolution supporting the oppositional SAA, ALA, and other archival and historical organizations to the USA PATRIOT Act's potential to infringe upon the citizenry's civil rights and privacy.[51] The Committee on Institutional Cooperation University Archivists Group (CICUAG) discussed the USA Patriot Act and its effect on archives in their April 23, 2003, meeting in Kansas City, Missouri. The members of the group shared their concerns and the possible effect the Act could have on their own repositories.[52]

The first mention of the USA PATRIOT Act in archival literature was Gregor Trinkaus-Randall's article in the November/December 2003 issue of *Archival Outlook*. Trinkaus-Randall discussed how the Act could affect archives and how archivists

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[48] Society of American Archivists, "Code of Ethics for Archivists" (February 5, 2005) (online resource) <www.archivists.org/governance/handbook/app_ethics.asp> (accessed June 8, 2005).

[49] Ibid.

[50] Gregor Trinkaus-Randall, "The USA PATRIOT Act: Archival Implications," *Archival Outlook* (November/December 2003): 14.

[51] Mid-Atlantic Regional Archives Conference, "The Mid-Atlantic Regional Archives Conference (MARAC) Statement on the Renewal of the USA PATRIOT Act" (September 30, 2004) (online resource) <http://www.lib.umd.edu/MARAC/advocacy/1999-2004.html> (accessed December 12, 2006).

[52] Committee on Institutional Cooperation University Archivists Group, "CICUAG Meeting" (April 24, 2003) (online resource) <www.cic.uiuc.edu/groups/UniversityArchivistsGroup/archive/MeetingNotes/CICUAG%20Meeting%20-%204-24-03.pdf> (accessed April 23, 2005).

could respond to the Act. He stated that the impact of the Act on archives comes down to privacy and confidentiality. Trinkaus-Randall encouraged archival repositories to work with their legal counsels and administrators to create policies and procedures to protect the privacy and confidentiality of patrons and donors. These measures should also address the kinds of patron information that should be collected and how long it would be necessary to keep this information. He urged archivists to create and follow retention policies and procedures for maintaining user information. In addition, Trinkaus-Randall suggested that archives create policies and procedures that describe how to handle requests for information by law-enforcement officials. He stressed the importance of all archival staff members' awareness of these policies and procedures. Additionally, archivists should review their repositories' collections and become aware of those that could interest law-enforcement officials in order to prepare for the possibility of a visit.[53] At the end of the article Trinkaus-Randall again emphasized the necessity of creating comprehensive policies and procedures, stating that:

> The crux of an archival security program is its policies and procedures. Therefore, revisiting or creating strong and comprehensive policies and procedures that encompass the requirements necessitated by the USA PATRIOT Act will enhance archival security and prepare archivists for the eventuality that we will be the target of a subpoena or warrant by the FBI.[54]

SURVEY OF ARCHIVAL AND MANUSCRIPT REPOSITORIES

In order to gain more specific information about the impact of the USA PATRIOT Act on archives, the author conducted a survey of archives and manuscript repositories in March 2005 to see if these institutions had made changes to their policies and procedures in response to the passage of the Act. The author chose to survey archives located in the United States associated with the Association of Research Libraries (ARL), as these types of institutions are more likely to have the kind of collections that

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[53] Trinkaus-Randall, 13-16.

[54] Ibid., 16.

would encourage a visit by the FBI.[55] Since several of the ARL institutions had more than one archival repository, the author limited the number of archives to be surveyed to no more than two per institution. One hundred ten surveys were sent via e-mail, and forty-two repositories (38 percent of the participants) responded. Of the archivists who returned the survey, 29 percent answered only one or two of the questions; 50 percent answered all of the questions.

The survey focused on the changes that archives were encouraged to make by the Trinkaus-Randall article in *Archival Outlook*.[56] The following are answers to select questions answered for this survey; for a list of these questions, please see the appendix.

The first question asked if the archives had made any changes to their policies or procedures as a result of the USA PATRIOT Act. Surprisingly, only 24 percent of the respondents had done so. For this group, there were several additional questions that explored the types of changes they made. The first of these was whether they consulted legal counsel in making these changes; 60 percent of the respondents replied that they had. The survey also asked if the repositories had created a policy to inform patrons of the possibility that law-enforcement officials might wish to see their patron information; 30 percent had created such a policy. When asked if the archives had created or adjusted retention policies or schedules for patron-related records, 50 percent said that they had made these changes. Only 20 percent had eliminated some or all patron records. No one said that they had created new patron records. Seventy percent of those who made changes to their policies created procedures for their archives to follow in the event of a law-enforcement enquiry. Sixty percent have made sure their staff members were aware of their policies and procedures.

The survey also asked if the archivists knew if they had any collections that would be of any interest to law enforcement. Thirty-nine percent of the survey respondents declined to answer this question. Of those who answered, 32 percent did not know

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[55] For a list of ARL member libraries, please visit <www.arl.org/members.html>.

[56] Trinkaus-Randall, 16.

of any such collections, 7 percent were unsure, and 22 percent said they did. One respondent claimed that most collections in his archives could have something that would interest law-enforcement agents. Those who said they had collections that might be of interest were asked to list three of these collections. The respondents suggested two types: 60 percent claimed that building and personnel records for the repository's parent institution would be of interest; 20 percent said that collections pertaining to labor unions, civil libertarians, and those considered radicals would be of interest; and 20 percent mentioned both types of collections.

The survey inquired whether these archivists felt that they were prepared to handle inquiries by law-enforcement agents. Forty-eight percent of the survey respondents did not answer this question. Forty-five percent said that they believe they are prepared to deal with any request from law enforcement officials. Seven percent said that they were not prepared. One of these respondents replied that more staff training would be necessary to prepare that repository. Another explained that to prepare the archives for possible inquiries would be detrimental to his repository's security. He said that after a theft at his institution, they made the conscious decision to maintain all patron records into perpetuity.

The final question asked whether the respondent could think of any other ways the USA PATRIOT Act had affected his/her repository. Thirty-seven percent declined to answer this question. Fifty-one percent could think of no other ways the Act had affected their programs. Of the 12 percent who felt the Act affected their programs, two said that the USA PATRTIOT Act had made them more aware of patron privacy and the legal issues involved. One said that the Act had encouraged his repository to make changes to its policies.

CONCLUSION

While the USA PATRIOT Act has been a source of controversy for libraries and archives, it has also fostered the debate and reexamination of libraries' and archives' policies and procedures. The passage of the Act has brought to the forefront the issue of patron privacy vs. collection security. Some repositories believe that it is in the best interests of their institution to maintain all patron-related records permanently, while others feel that it is

necessary to keep these records for only a few years. It is important for each archivist to consider all of the issues and weigh the pros and cons of each measure to ensure that his or her repository is doing what is best for both its collections and patrons.

In addition, the USA PATRIOT Act serves as a reminder that the confidential information in archives has always had the potential of being subjected to court orders. As Gregor Trinkaus-Randall advocates, in order to protect the archives, archivists must have policies and procedures in place to handle any law-enforcement request. By taking these steps, the archives will more quickly be able to resume operations if files need to be located and computers are confiscated. Ensuring that staff members are aware of the policies and procedures is essential to protecting the archives. Whether the USA PATRIOT Act remains or expires, archival repositories must be prepared for possible visits by law-enforcement personnel. Such policies and procedures are as necessary to an archives as having a disaster plan to prepare for acts of nature.

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APPENDIX

Survey of ARL archives and manuscript repositories

1. Has your archives made changes to its policies and procedures regarding patron records in response to the USA PATRIOT Act?

Yes 24% (Please continue with question 2)
No 76% (Please go to question 3)

2. Please check all of the following that apply regarding the changes made to your policies and procedures:

- o Consulted legal counsel for advice: 60%
- o Created a policy to inform patrons of the possibility that law-enforcement officials might want to see their patron information: 30%
- o Created or adjusted retention policies or schedules for patron-related records: 50%
- o Eliminated some or all patron related records: 20%
- o Created new patron related records: 0%
- o Created procedures in the event of law-enforcement inquiries:

70%

- Made staff aware of the policies and procedures: 60%

Please attach any written policies and procedures.

3. Are there collections in your archives that may be of interest to the FBI or other law-enforcement agencies?
   Yes: 22%
   No: 32%
   Unsure: 7%
   Did not answer: 39%
   If yes, please list up to three collections.

4. Do you feel that your archives is well prepared to handle inquiries by law-enforcement agencies?
   Yes: 45%
   No: 7%
   Did not answer: 48%
   If no, what do you think could be done to make your archives better prepared?

5. Can you think of any other ways that the USA PATRIOT Act has affected your program?
   Yes: 51%
   No: 12%
   Did not answer: 37%
   If yes, please explain.

Book Reviews

Archival Theory, Records, and the Public. By Trevor Livelton. Lanham, Md.: Society of American Archivists and Scarecrow Press, 1996; first paperback edition 2003. Index. 179 pp. Softcover, $24.95.

National Public Radio broadcasts a show entitled "Says You" which explores the intricacies of the English language. Every week, a host presents everyday words to panelists who debate word usage: what is the difference between a "recital" and a "concert?" Are "sculpture" and "statue" synonyms or is one term a subset of the other? The program challenges participants and audience to examine their existing knowledge through reflection and discussion, a process that often brings surprises.

One can imagine the book *Archival Theory, Records, and the Public* as a series of "Says You"-style debates generated by the author, Trevor Livelton. What exactly is "theory"? In the context of archives, is it sufficient to define information as "intelligence given?" What do archivists mean when they use terms such as "agency," "authority," "interdisciplinary," "methodology," "public," "private," "record," and "value?" Just as the "Says You" participants examine common words, Livelton examines com-

mon archival terms. Livelton's "discussion panel" consists of scholars who have contributed to the professional literature for many years. Whereas the radio program spends a few minutes on each word and tends to settle on a basic definition before moving on, one of the strengths of Livelton's work is that he explores and values the contradictions he uncovers rather than insisting on definitive answers. Livelton wades into the epistemological, etymological, and sometimes even legal aspects of each word as it relates to archives. *Archival Theory, Records, and the Public* creates a valuable platform for archives professionals attempting to focus on the terminology that peppers their everyday thoughts, activities, and communications. The results are greater appreciation and expanded knowledge for the reader and perhaps even changes in archival practice and policy.

Although the heart of Livelton's work is an exploration of terminology, the structure of the book ensures that the terms are examined within the context of archival theory. The first four chapters concentrate on a definition-driven description of archival science beginning with a close look at theorizing as a practice and an endeavor. As Livelton progresses, the difference between private and public records is a primary concern. (It is important to note that "public" in the context of Livelton's book refers primarily to the provenance or creator of documents rather than to an external collection of individuals who utilize archives.) In the fifth and final chapter, theory is augmented by hypothetical examples.

The act of defining key terms is one of the primary occupations of scholars and professionals new to a field; therefore, Livelton's book would seem to be a natural fit for this audience. Livelton, however, refers to the authors in his literature review with familiarity, assuming that the reader already holds substantial knowledge of each writer's work. This makes deep comprehension of the book more difficult for beginning students and less experienced scholars. Similarly, professional archivists whose attentions are more focused on the daily details of running an archives may be disappointed to find that concrete examples are few and primarily relegated to the last chapter.

At first glance, Livelton's work seems esoteric, most properly suited for professors and those writing dissertations. There are two tools, however, that serve to make this book more universal: the selected bibliography and the index. The twelve-page

bibliography alone is a valuable resource. Livelton's expansive review of the literature reaches as far back as the eighteenth and nineteenth centuries while also covering each decade of the twentieth century. By comparison, the five-page index seems brief, though sub-entries allow the reader to locate specific terms and concepts. It is easy to imagine that a student or working archivist will find this book valuable as a reference tool for grasping a specific concept and then will read further to appreciate that concept in the context of archival theory.

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Arranging and Describing Archives and Manuscripts. By Kathleen D. Roe. Chicago: Society of American Archivists, 2005. Glossary, bibliography, appendices, index. 180 pp. Softcover, $49.00 (SAA member price $35.00).

Published in 1977 by the Society of American Archivists, David B. Gracy's *Archives and Manuscripts: Arrangement and Description* was the first manual on the topic. It was not until 1990 that *Arranging and Describing Archives and Manuscripts* by Frederic M. Miller was published. These two books have been used extensively through the years. Kathleen Roe's volume is the second edition of the Miller book and is part of SAA's Archival Fundamentals Series II. The new edition reflects the fifteen years of significant developments in American, Canadian, and international standardization practices, as well as the impact of rapidly changing technology on archival processes.

Roe's intent for the updated edition is to "provide an overview of the fundamental theory and practice relating to archival arrangement and description, drawing particularly on the substantive codification and standardization of practice over the past quarter of a century." Her specific goals include providing a context for the principles behind arrangement and description, outlining common practices and professional standards, and examining current and emerging developments and approaches. Roe helps the reader understand the theoretical and practical framework that is necessary to make materials "accessible in a

standardized manner that allows for integration with national/ international access tools. . . ."

The book is divided into four chapters, followed by the end materials, which make up almost half of the volume. Chapter one, "Overview," details the functions of arrangement and description and how these activities relate to other archival processes. Chapter two, "Core Concepts and Principles," includes basic terms, guiding principles, a discussion of how archival descriptive practice relates to library and museum practice, and the relationships of arrangement and description to the holding institution and collection users. "The Context of Arrangement and Description," chapter three, describes the development of archival practice and the ongoing international movement toward standardization.

Chapter four, "The Practice of Arrangement and Description," is the heart of the volume. Here, Roe discusses step-by-step the activities of accessioning, arranging, processing, and describing materials as well as developing access tools and professional standards for arrangement and description. The text wraps up with "Conclusions, Future Directions, and Issues" and is followed by a short but helpful glossary, a bibliography of mandatory reading for all archivists, an index, and five substantial appendices.

The appendices constitute a third of the book and are well worth the space. The first appendix reprints the Statement of Principles from *Describing Archives: A Content Standard*. These eight principles, which form the core of descriptive theory and practice, address the nature of archival holdings, the relationship between arrangement and description, the nature of archival description, and the creators of archival material. Roe thoughtfully includes these vital principles for easy access and to remind us that *DACS* is the new content standard for description.

The second appendix takes the reader through several arrangement scenarios, detailing why certain decisions are made, and outlining the theory behind them. Even though the examples are hypothetical, they include many of the common problems archivists find when arranging materials.

The next appendix provides examples of common arrangement patterns for seven real collections. Each collection's arrangement pattern is paralleled by commentary outlining logic behind the groupings ("These papers are organized into two

subgroups based on the individual's public and personal work." "The series are arranged by form of material.")

The fourth appendix contains finding aids for the three hypothetical collections used to represent three major types of manuscripts and archival collections.

The last appendix gives seventeen examples of bibliographic description from various repositories, allowing the reader to see the variety in local conventions. The descriptions contain biographical or historical notes, scope and content notes, and subject lists. Roe directs the reader to repositories' Web sites to view their finding aids. Side comments point out differences in terminology, note order, and purposes of the various notes. ("The summary note provides information on limitations of the contents to assist potential users." "The biographical note here only addresses the part of his life relating to these letters.")

Considerable thought has gone into the design and layout of the book resulting in an attractive and clear presentation of text, figures, and examples. Numbered figures, lists, tables, and other examples are highlighted and separated from the running text. The color contrast allows the reader to focus easily on the figures or to continue reading the text without interference. Short, bold-faced, illustrative sidebar quotes emphasize major points in unobtrusive but helpful manner. The information in notes is readily available at the bottom of pages. Several of the appendices also use sidebars and pull quotes effectively to comment on particular elements in finding aids and other tools.

Roe wrote this volume from the perspective that the arrangement and description of collections and materials in our care represent fundamental duties for archivists. This writer certainly agrees, for until a set of materials is physically and intellectually ordered and made accessible, it is, for all intents and purposes, useless to researchers. Until a collection is properly arranged, processed, and made accessible, regardless of its historic or monetary worth, or the amount of time and money spent to preserve it, it is only potentially—and not actually—useful. Further, if a collection is poorly arranged and processed, the information inherent in the original ordering of the materials can be destroyed. As Roe points out, everything else we do as archivists, including reference, outreach, and preservation, is dependent on collections that have been properly arranged and described.

This volume has much to offer the beginning archivist who will find Roe's practical advice gathered from years of experience of considerable value. She clearly and logically explains the reasons for particular processes, treatments, and choices, and roots them in current national and international theory and practice. Throughout, Roe draws her examples from a variety of real and hypothetical collections, representing personal papers, corporate and institutional records, and artificial collections, as well as collections large and small, simple and complex. The beginner could not ask for a better introduction.

The book also offers much to the experienced archivist who has been arranging and describing all along, but has perhaps not had time to keep up with the numerous changes in the field or the means to implement them. For these archivists, Roe brings them up-to-date in the areas of new standards (for example, DACS and RAD) and technology (for example, EAD, XML, digital collections). She addresses the blurring of lines between archives and records, and emphasizes the need to follow standards, regardless of format. Roe also reminds experienced archivists that parts of her volume will soon be obsolete and that a major challenge ahead for the profession will be to develop sound description practices for records that are born and used solely in a digital environment.

Roe has written a highly practical, user-friendly guide to what every archivist needs to know about arrangement and description. Her own formidable expertise in the area of arranging and describing enables her to guide the reader seamlessly through the highly complex nexus of theories, practices, processes, and procedures that form the core of archival management. Every archivist, regardless of experience level or institutional mission, needs to take this book to heart since it is essential to understanding the core of our profession as stewards of our cultural history.

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Creating EAD-Compatible Finding Guides on Paper. By Elizabeth H. Dow. Lanham, Md.: Scarecrow Press, Inc., 2005. Index, bibliography. 153 pp. Softcover. $40.00

In this helpful, concise volume, Elizabeth Dow takes on the subject of Encoded Archival Description (EAD)-compatible collection description. Intended for librarians and archivists whose institutions currently lack the wherewithal to initiate this, Dow helps readers create finding aids that will easily convert to well-formed, valid EAD documents. In her easy-to-read, approachable style, Dow explains often complicated and detailed concepts clearly and succinctly. While existing EAD reference materials such as those published by the Society of American Archivists (including the online "EAD Help Pages" and published books) and the Research Library Group Best Practice Guidelines (RLG BPG) may seem daunting to EAD beginners, this volume serves as a gentle introduction that can be of enormous assistance to both novices and more experienced practitioners.

In the introduction, Dow defines her audience. She primarily wishes to reach small repositories that are currently utilizing traditional word-processing programs to create finding aids. In doing so, she acknowledges her bias, or "tilt" as she puts it, to manuscript repositories and paper-based materials rather than corporate archives and electronic records. Nevertheless, although her discussions and examples center on manuscript collections, most of the information can be applied equally well to other situations, such as small college and university archives. She also raises a second important subject in the introduction: many in charge of small repositories are still wary of taking on EAD. Dow senses this wariness and makes a strong argument for EAD by offering five reasons why it is important to the future of archives and why small archives should ensure that their paper-based finding aids are EAD-compliant. First, she argues, archival users want Web finding aids; second, EAD complies with established international descriptive standards; third, the use of EAD is growing nationally (and, one might add, internationally); fourth, EAD-compliant inventories will not require major changes from older descriptive practices; and fifth, EAD-ready finding aids will save money when the decision is made to convert to EAD. Anyone skeptical of proceeding with EAD, or working

towards proceeding with it, should feel encouraged to continue after reading these few pages.

Chapters one and two trace the recent history of archival description, from the finding aids produced prior to the computer age to the recognition of the growing need for standards and the development of MARC records, to the advent of EAD in 1997 to the development of international standards and the emergence of a new standard for the United States, *Describing Archives: A Content Standard (DACS)* in 2004. Chapter three, a basic introduction to markup languages and EAD, provides a good grounding for readers who are new to encoding and introduces the most frequently used tags in EAD. Throughout these chapters an alarming number of acronyms appear; fortunately, a glossary defines these terms as well as many others commonly used in archival description.

For those reading this book for the stated purpose of creating EAD-compliant finding aids on paper, chapter four is the key. In it, Dow includes the key elements that should be included in a finding aid, according to DACS, version 2 of the General International Standard Archival Description (IsaD(G)v2), and the RLG BPG. An excellent summary of required data elements is combined with pithy descriptions of what information needs to be included. The next chapter discusses formatting issues in word processing, especially items such as ditto marks and abbreviations that do not translate easily to EAD.

Certainly readers could stop here having gained sufficient knowledge to proceed with producing EAD-ready finding aids. But if readers proceed, they will be rewarded in the final two chapters with discussions of intellectual access, information retrieval, and the factors to consider in beginning an EAD program. Dow demonstrates that the detailed tagging supplied by EAD encoding, together with the use of controlled vocabulary, can greatly enhance the search process for archivists and researchers. Her concluding chapter on starting an EAD program thoroughly examines the issues archivists must address as they begin the implementation of EAD.

In just a few chapters, Dow reaches all who are considering the adoption of EAD, those who are wary of the pitfalls and problems of adopting EAD, and those who simply want a better understanding of EAD. This volume should be required reading for all these archivists and library professionals.

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A Glossary of Archival & Records Terminology. By Richard Pearce-Moses. Chicago: Society of American Archivists, 2005. Index. 433 pp. Softcover, $49.00 (SAA member price $35.00).

During the 1990s, the Society of American Archivists published its Archival Fundamentals Series, which addressed such basic topics as selection, appraisal, arrangement, preservation, description, reference services, and repository management. One of these seven pubications is *A Glossary for Archivists, Manuscript Curators, and Records Managers* by Lewis J. and Lynn Lady Bellardo. First published in 1992, this volume offers an introductory user's guide, thirty-eight pages of alphabetized entries, a two-page appendix of useful abbreviations, and a five-page bibliographic section entitled "Additional Reading" with citations for relevant works spanning 1948 to 1991.

A Glossary became one of the primary texts assigned to participants of the Modern Archives Institute and was recommended to new professionals by the Society of American Archivists. In size and scope, it surpassed earlier information sources such as NARA's 1989 booklet entitled *A Federal Records Management Glossary* and SAA's booklet, *A Basic Glossary for Archivists, Manuscripts Curators, and Records Managers*. Additionally, two of the most popular basic monographs, *A Modern Archives Reader: Basic Readings on Archival Theory and Practice* (1984) and *Keeping Archives* (1993), offered internal glossaries, but contained far fewer entries than the Bellardo glossary. The Bellardo glossary not only functioned as the descriptive vocabulary list for the Archival Fundamentals Series, but also as one of the foremost glossaries of the profession.

Beginning in 2004, SAA introduced Archival Fundamentals Series II. Five of the seven volumes in this new series are currently available, including the 2005 publication, *A Glossary of Archival & Records Terminology* by Richard Pearce-Moses. How does this new glossary compare with its predecessor? The Bellardo glossary contains thirty-eight pages of entries while the

Pearce-Moses glossary contains 413 pages. The Bellardo glossary offers seven pages of supplementary writing while the Pearce-Moses glossary offers forty-eight including "The Archival Lexicon" (a thoughtful essay on language and terminology), "Introduction" (a description of the entry structure and user's guide), "Corrections and Revisions" (an invitation for users to help expand the current work including a request for illustrations to be used in a future update), the glossary (which includes abbreviations), and the eighteen-page "Bibliography" with sources spanning 1917 to 2004. During his research process, Pearce-Moses compiled a database containing more than 6,300 citations from more than 500 sources.

The Series II glossary certainly builds upon and surpasses the previous volume in sheer coverage. The scope of Pearce-Moses' work and the fact that it is much more up-to-date ensure that this updated glossary will be embraced by the profession. "The archival world has changed considerably," SAA Publications Editor Richard J. Cox notes in the Series II preface. Pearce-Moses responds to these changes by including terms that reflect a profession-wide shift towards Internet use, digital records, multimedia works, cross-disciplinary studies, an ever-expanding body of professional literature, and increased communication across languages and cultures. The inclusive nature of Pearce-Moses' work creates a reference source that will serve professionals with a wide array of experiences and job descriptions. Broader terms, narrower terms, related terms, and note sections for the entries allow the user to grasp nuances, effectively codifying the terminology that, in Pearce-Moses' own words, "defines and distinguishes a profession." Whether learning a new term or clarifying the meaning of a familiar one, those involved in archives and records management will find Pearce-Moses' glossary an invaluable tool. For those wishing to explore the glossary before purchasing it, or simply desiring an online version, *A Glossary of Archival & Records Terminology* is currently available through the Society of American Archivists' Web site (<www.archivists.org/glossary/index.asp>).

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Privacy and Confidentiality Perspectives: Archivists & Archival Records. Edited by Menzi L. Behrnd-Klodt and Peter J. Wosh. Chicago: Society of American Archivists, 2005. Index. 391 pp. Softcover. $56.00 (SAA member price $40.00).

Librarians began discussing issues of privacy and confidentiality after passage of the 1966 Freedom of Information Act and the 1974 Privacy Act. Archivists, in particular, worried about the inherent conflict of making collections accessible to the public while still preserving the privacy of individuals. Noticing the standing-room-only crowds at professional sessions on the topic, Menzi L. Behrnd-Klodt and Peter J. Wosh commissioned essays for this anthology. The editors are quite clear that the volume is neither a "reference work" nor a "manual." Instead, their goal is to advance the current debate with articles that offer historical background, philosophical frameworks, and case studies of individual administrative approaches to privacy and confidentiality.

The editors have arranged these essays into four categories based upon each author's orientation toward the issue: legal, ethical, administrative, or institutional. Two of the articles in the first section are historical reprints of seminal legal articles from 1890 and 1960. Behrnd-Klodt, an archivist and attorney, wrote the third piece to bring the reader up to date on relevant law. She concludes with three pages specifically directed at archival risk. Although intending to reassure, Behrnd-Klodt's discussion is purely abstract and offers no practical guidelines. She states that courts have seen only a few cases concerning archival liability, but she provides no case details or decisions; she mentions time limitations set by individual state legislatures, but not even a footnote or appendix appears to display the potentially useful information.

The section on ethical considerations begins with an article by Heather MacNeil that extends arguments from her 1992 book, *Without Consent: The Ethics of Disclosing Personal Information in Public Archives*. The second work reprints Judith Schwartz's 1992 article from the *Journal of American History,* recounting her efforts to balance privacy with accessibility first as records manager of the General Board of Global Ministries of the United Methodist Church and later as a founder of the Lesbian Herstory Archives in New York City. Two other case studies

round out this section: one on the fate of the East German State Security Service (Stasi) records and the other on the development of an educational Web site documenting the history of the eugenics movement. The experience of the latter will prove useful for any archives digitizing potentially controversial material.

The administrative portion includes a broad discussion of the heavy restrictions typically placed upon the papers of authors and celebrities followed by a more specific history of the University of North Carolina's experience with the literary papers of Walker Percy and Shelby Foote. The article recounting the saga of the segregation-era Mississippi State Sovereignty Commission files offers helpful guidelines for the development of a proactive, systematic approach towards privacy concerns that includes the creation of a "privacy officer." Two separate essays offer general examinations of the protection of attorney-client privilege in legal collections and the implications for educational institutions of the Family Educational Rights and Privacy Act of 1974.

The final section on institutional perspectives explores the idiosyncratic nature of archival programs in religious organizations, corporations, and medical facilities. It concludes with a more specific examination of the United Methodist Church and its Open Records Policy. Appendices reprint privacy-related constitutional amendments and summarize administrative directives and judicial interpretations restricting access to medical and educational records.

Together, the volume's essays emphasize the ambiguity of current law and the inevitable confusion with regard to its practical application by archives. The authors themselves demonstrate a spectrum of opinions on the issue, ranging from advocates of few if any restrictions to conservative appraisals that question whether archivists should even accept collections where privacy concerns will likely require permanent closure. Consequently, *Privacy and Confidentiality Perspectives* provides only limited usefulness to any archivist seeking the panacea of accepted professional standards. One can only hope, as the authors do, that this collection of essays will spur more fruitful discussion within the field.

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Providing Reference Services for Archives & Manuscripts. By Mary Jo Pugh. Chicago: Society of American Archivists, 2005. Illustrated, endnotes, bibliographic essay, index, appendices. 384 pp. Softcover, $49.00 (SAA member price $35.00).

Providing Reference Services for Archives & Manuscripts by Mary Jo Pugh is, in many regards, the archival equivalent of *Winning Friends and Influencing People* by Dale Carnegie. Pugh's book is an impressively written professional work that benefits those new to the profession as well as established archivists. First published in 1992, *Providing Reference Services* was revised for the Society of American Archivists Archival Fundamentals Series II. According to Pugh, this revised publication "seeks to create a model for understanding the legacy from the archival institutions we inherit and for assessing how new developments extend and change it." Its purpose, she continues, "seeks to assist reference archivists in managing accelerating change, keeping the best of past practice, while becoming integral to the knowledge organization of which archives are a part." These purposes are certainly attained. The text is a model for professional services and should be required reading for anyone entering the archival profession.

One of the categories on which this work focuses is the dynamics of interpersonal relationships in archives. In Pugh's chapter "Managing Reference Services and Evaluating the Use of Archives," she states that "Patience, empathy, humor, and good temper are qualities especially important in staff members dealing with the public." The importance of public relations may be touched upon in an archival program, but is usually not emphasized. Pugh covers this vital part of reference services with the acumen of the late Dale Carnegie himself.

It is difficult to read the work all the way through without pause. This is not because it is challenging reading, because Pugh finds a wonderful middle ground to keep both the nascent archivist and the more seasoned professional glued to the work. However, she introduces so many options on excelling in reference that it is tempting for one to stop to implement changes or to check a particularly helpful Internet site. Highlighters are anathema in archives, but, in this case, having one handy while reading is necessary. Readers will likely find and highlight much

information of use to their institutions. The beauty of Pugh's work is that it is beneficial to a broad audience ranging from the small institution staffed by a single person to the largest university archives with many specialized professionals. This book provides a model of reference work and is replete with explanations, ideas, charts, and other sources to investigate.

The book's ten chapters are broken into instructive subsections. Chapter one, "Looking Backward, Looking Forward," addresses technology and archives, as well as professional changes. Other chapters address a range of issues including reference services, identifying uses and users of archives, intellectual and physical access (and access policies), copy and loan policies, evaluating the use of archives; and the bibliographic essay.

In addition to focusing on the necessity of "forms, forms, forms," Pugh examines reference services on the Internet. In addition to addressing the repository Web site, Pugh also covers virtual reference services, institutional intranets, outreach, developing personnel and outside networks in the parent organization, and public programs. The bibliographic essay offers helpful online sources for reference services. This chapter provides so much useful information that the reader will refer to repeatedly.

One particularly helpful section is on copyright, the focus of so many classes and workshops in the archival profession. Here, Pugh untangles the challenging issue of copyright law with useful charts for additional clarification and references to copyright Web sites.

Upon reading this work, any archivist who interacts with the public will at times find him- or herself nodding knowingly at some observation, or logging onto a new Web site and saving it to "My Favorites." The work lacks for nothing. From how to develop forms, to ethics and history, to keen observations on public relations, Pugh has created a must-read book for all involved or interested in the archival profession.

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INFORMATION FOR CONTRIBUTORS

David B. Gracy II Award

A two-hundred dollar prize will be presented annually to the author of the best article in *Provenance*. Named after David B. Gracy II, founder and first editor of *Georgia Archive* (the precursor of *Provenance*), the award began in 1990 with volume VIII. It is judged by members of *Provenance*'s editorial board.

The *Provenance* editorial board selected Patricia A. Nugent's article, "Battlefields, Tools, and Targets: Archives and Armed Conflict," as the best article in volume XXIII (2005). Ms. Nugent is the special collections librarian/archivist at the J. Edger and Louise S. Monroe Library, Loyola University New Orleans. She received a BA in English Literature from Clark University and a MSIS from the School of Information at the University of Texas at Austin. Her research interests include the fate of archives in both the war on terror and in post-Katrina New Orleans.

Editorial Policy

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 *Provenance*.

Manuscripts and related correspondence should be addressed to Editor Reagan L. Grimsley, Simon Schwob Memorial Library, Columbus State University, 4225 University Avenue, Columbus, GA 31907. Telephone: 706-568-2247. E-mail: grimsley_reagan@colstate.edu.

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