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Introduction

Karen M. Benedict

On first reading this group of articles on the international archival scene, I was struck by the degree to which advances in technology and changes in attitudes about professionalism have affected our profession over the past twenty years. Back in 1968, at my first archives job, my institution felt fortunate to have acquired IBM Selectric typewriters for the staff. Connections to the international archival community were limited to the privileged few, primarily at the National Archives, with travel budgets large enough to allow them to participate in international conferences or to visit institutions abroad.

For today's archivists, the proliferation of computer technology has changed the approach to description of collections; provided them with enormous appraisal challenges due to the geometrically growing volume of email and other computer-generated documentation; and given them both impetus and means to develop new tools to increase access to collections through the Internet. Where once archivists created programs to reach out to specified groups of poten-
tial onsite users, now archivists reach out to an unlimited worldwide community of potential users via the Web, and many of these users conduct their basic research online.

The effect of this revolution in communication transcends national borders. It has brought the entire international community of archivists together. In the past, interaction with our colleagues was limited to attendance at conferences or information exchange through books and journal articles. Now, through the Internet, an archivist in the United States can as quickly and inexpensively communicate with a colleague in Australia or New Zealand as with one living in the same city.

This issue of Provenance illustrates the wide-ranging interests of archivists and scholars in the international archival world. These articles offer us both comparisons and contrasts of the North American professional scene with that of Europe and Asia, often focusing on the impact on archives of the rapidly changing world of technology. We learn about collaborative training efforts to provide archivists with the skills needed to operate in this new environment, and cooperative efforts to develop databases and other technological tools that are needed to share information about our holdings on a worldwide basis.

Because governmental archives dominate on the world scene, and in some countries are the only archival institutions, we have analyses of the impact of political changes on national archives. We are told how events like the dissolution of the Soviet Union and the resulting development of new governments, the reunification of Germany, and the efforts of China to make major economic changes and improve relations with the West have all had a substantial effect on archives in these countries.

Dr. Ioan Drăgan, the director of the Arhivele Nationale-Directia Judetana of Cluj, Romania, provides us an overview of the development of archives in Romania from antiquity to the present. Drăgan discusses how Romanian archivists were influenced by the development of modern ar-
chival theory in Germany and France. It is a dramatic narrative of the impact of war and changes of regime on the archives of a country. The Communist takeover in 1951 led to a change in administration of archives from the Ministry of Culture to the Ministry of Home Affairs. The educational and cultural functions of the archives were subsumed by the administrative role taken by the state to control all public, governmental, and private documentation. Public access to information was restricted and all contact by Romanian archival professionals to the international community was cut off. The fall of the Soviet Union and subsequent resumption of contact with the rest of the world has made clear the problems faced by Romanian archivists. They have to find a way to address overcrowded and disintegrating facilities, limited resources, and the shortage of hardware, software, and trained technological personnel. These serious problems must be addressed in the near future in order to insure the preservation of the valuable historical resources held by Romanian archives.

Morris Bian and Robert Jakeman, associate professors of history at Auburn University, help us to understand better the structure of the regional archival community in China and its central administration by the State Archives Bureau. The authors give us an in-depth description of the holdings of the Chongqing Municipal Archives and the Yunnan Provincial Archives and analyze the operations of these institutions from the researcher's perspective. They point out that there is no free access in Chinese archives for either Chinese or foreign researchers and describe the myriad fees imposed on all researchers, although the rates are highest for foreigners. It is a glimpse of the non-Western archival traditions. The discussion by Bian and Jakeman clearly illustrates that while the Chinese archival community has made enormous strides toward adoption of more liberal policies of access to information since the end of the Cultural Revolution there are still many changes in policy that need to be made to bring them into accor-
dance with the standards of the international archival community.

Kristine Wirts, a doctoral student in early modern French history at Auburn University, contributes a guide to using the resources of the Departmental Archives in France from the perspective of an American researcher. She discusses how changes in research interests have had an impact on archival institutions and the types of collections receiving heavy use. The current research emphasis on social and cultural history has led to greater use of provincial and municipal archives in France. Wirts ably describes the French finding aid system of subject-based indexes used by the provincial archives, none of which are currently available in electronic format. She informs the reader that municipal libraries in France still rely on separate card catalogs for the description of their holdings of rare books and manuscripts. The challenge for French archivists and librarians today is to devise a national descriptive database that will integrate the bibliographic information in the current finding aids and provide all users with broader access to these valuable research materials.

Russel Lemmons, associate professor of history at Jacksonville State University, Alabama, discusses his research experience in Germany during the time that the Federal Archives of East and West Germany were being united. Lemmons describes the problems encountered by archivists trying to establish ethical and reasonable access policies to extremely sensitive records from East Germany’s State Security Service or Stasi. We learn how the Reunification Committee created a commission headed by Joachim Gauck, the former chairman of East Germany’s Parliamentary Committee on the Stasi, to manage this collection of records. The article raises the problems faced by German archivists in reconciling the desire and need to provide public access to previously restricted information with the very strict privacy laws that prevail in Germany. As in the case of other former eastern bloc countries, the archives of the
former East Germany illustrate how the paucity of resources allocated for archives that were closed to research has left a legacy of poorly maintained facilities and important collections of records imperiled by environmental shortcomings. German archivists, along with colleagues around the world, face the need to create priorities for solving these problems and to determine how best to allocate the resources that are available.

Peter Carini and Kara Drake, respectively the director of Archives and Special Collections at Mount Holyoke College and former foreign policy archivist at the John F. Kennedy Library, provide an engagingly written description of the former Soviet Republic of Georgia and the problems faced by Georgian archivists as they struggle to improve the situation at the Georgian National Archives after it has suffered from decades of neglect. The authors put the current situation into perspective by providing historical background along with a vivid description of current conditions. This is a fascinating and sobering account of a committed group of North American archivists and scholars attempting to provide technological assistance to create a descriptive database of holdings that will increase access to the valuable documentary resources of the Georgian National Archives and to improve the technical skills of the professional staff that is essential to maintenance and to ongoing development of such a database.

Alfred Lemmon, director of the Williams Research Center of The Historic New Orleans Collection, describes the institution’s longstanding program for the acquisition of microfilm resources from France, Spain, and Cuba to document New Orleans and the region’s European heritage. The inception of the program was in the 1950s, when General L. Kemper Williams and his wife, founders of the collection, began acquiring microfilm copies of foreign documents pertaining to the region’s history and development. Lemmon puts the research value of these materials into perspective and focuses on the marketing and outreach pro-
grams that the Williams Research Center has developed to promote their use. While he offers us insight into what constitutes a successful outreach program to inform the public about an institution's holdings on microfilm, we realize the international components to his institution's marketing brings its patrons and staff members into the global community as well.

David B. Gracy II, Rebecca E. Kyle, Erin R. Lawrimore, Rebecca E. Romanchuk, and Stephen A. Naron of the Graduate School of Library and Information Science at the University of Texas at Austin provide the reader with an illustrated tour of archives around the world in "Where Function Meets Form: Observations and Thoughts on Housing for the Archival Enterprise." Professor Gracy, who in addition to his American accomplishments, is a well-known figure in the international archival community, utilizes twenty-two years of experience visiting archival facilities in Asia, Europe, South America, and the Pacific Rim to provide us with an analysis of ten archival structures in Brazil, China, England, Italy, Spain and Russia. There are only a handful of articles that feature the planning of buildings and facilities for archives, so the authors provide a valuable introduction to the variety of structures that comprise archival architecture in the world.

Gracy et al. begin their analysis of these buildings from the basic architectural principle that form should follow function; in other words, the design of a building should facilitate the activities of its inhabitants. The authors discuss how optimal design of archival facilities must take into account the appropriate allocation of space for various functions including processing and storage, the need for environmental controls and security, as well as providing adequate space for public service activities. To assist the reader in assessing the design features of different structures, the article establishes three categories of buildings: (1) Purpose-built for single use, (2) Purpose-built for multiple use, and (3) Buildings constructed for another pur-
pose and adapted or renovated for archival use. The specific archives described have been selected because they exemplify the oldest, best, or first example of the categories defined by Gracy.

The article concludes with a brief description of what the authors refer to as “notable facilities in the United States” which include both purpose-built archives and adaptations of buildings or space within buildings. The short list of purpose-built facilities includes: The Public Record Office in Williamsburg, Virginia; Archives I in Washington, D.C.; Archives II in College Park, Maryland; The Lyndon Baines Johnson Library and Museum in Austin, Texas; and The Massachusetts State Archives in Boston in the purpose-built category. Numerous examples also are given of renovated facilities and multipurpose buildings with archives as part of the original design.

In conclusion I would like to address briefly the question of why this issue of Provenance is significant. Articles often appear in American Archivist dealing with international archival matters and to a lesser extent in the regional journals. The SAA newsletter has a regular column, now edited by Tom Connors, devoted to timely discussion of international information and issues. In 1992 SAA published an issue (vol. 55, no.1) of American Archivist dedicated to European Archives in an Era of Change, edited by Marjorie Rabe Barritt and Nancy Bartlett with an introduction by Jean Favier, then president of the International Council on Archives. That issue marked the longstanding traditions and standards that European archivists had set forth for their North American counterparts and the sweeping administrative and technological transformations revolutionizing the profession in Europe toward the end of the twentieth century. Having an entire issue of a journal on international archival matters gives the reader a valuable opportunity to read in greater depth and provides a comparative framework for analyses of the issues that transcend national borders.
Nearly ten years later, the appearance of the regional journal *Provenance* fully dedicated to an international issue symbolizes the growing interest in international archival cooperation and a decline in provincialism in the North American archival profession. American archivists are increasingly aware that we are regarded as important leaders in the world of archival theory and practice and as such we have an obligation to play a more active role in the international arena. We both have much to teach and much to learn. I hope that discussion of some of the cooperative projects that individuals and institutions have engaged in will spark an interest in more such projects in the future. It is good for all of us to step back and realize that we are a part of a much larger professional community than simply our own institution and its daily problems. It also is important to realize that many of the challenges we face are universal challenges for the profession. We are not alone. Every professional archivist is a part of the worldwide community of archives. I hope that you will read, enjoy, and learn from this compilation of articles.

Karen M. Benedict is a consultant in archives and records management with experience in the United States, Europe, and Japan. She is a member of the Steering Committee of the Section on Professional Associations of the International Council on Archives as Representative for the Society of American Archivists.
The Romanian Archives and Their Documentary Libraries

Ioan Drăgan

Romania, the only nation founded by a Latin people of Greek religion, has an ancient and very interesting history as well as a unique archival experience. It is situated at the collision of three well-defined and distinguished regions—Central Europe, Eastern Europe, and the Northeastern Balkans. Here, the civilizations of West and East and of Catholicism and Orthodoxy meet. The history of the Romanian archives mirrors in the best way the specifics of this intersection of cultures and civilizations.

This article offers only a synthetic introduction to the history and the present circumstances of the Romanian archives. It comprises two distinct parts. The first, the larger one, traces the archives through the epochs of Romanian history: antiquity, Middle Ages, modern times, the Greater Romania and the Communist periods. Further, there is information about the documentary libraries of the state archives. The second part is an examination of the condition of the archives in Romania nowadays.
Historical View of Romanian Archives

Antiquity. The oldest traces of writing found within the territory of modern Romania are clay boards from Tartaria in Alba County, 150 kilometers south of Cluj. They date from the Neolithic era (ca. 3,000 B.C.) and exhibit a cuneiform writing similar to that of Mesopotamia.

Beginning in the seventh century B.C. and continuing to A.D. 602, important parts of the present territory of Romania fell within the boundaries of the Greco-Roman and Byzantine civilizations. This period left an “archive” of some thousands of epigraphs and some waxed boards in Greek and Latin. Even Dacian ancestors, creators of several barbarian kingdoms that opposed the Roman Empire up to A.D. 106, adopted Greek and then Latin writing for their own communication. When successive waves of migratory peoples of Germanic, Slavonic, and Asian origin destroyed the urban centers of Dacia, Inferior Moesia, and Minor Scythia at the end of the ancient era, the concern for writing did not disappear. The Romanian phrase “to write” (a scrie, scriere) derives from Latin (scribo, scribere) and expresses a whole civilization.

The Middle Ages. In the Middle Ages, two dominant cultural strains in Europe influenced the lands that would become Romania. The Romanian Orthodox Church promoted the Slavonic Byzantine culture. The neighboring Catholic kingdoms of Hungary and Poland and the Habsburg Empire promoted the Latin tradition of the Roman Catholic Church. Hungary and Austria exerted a centuries-long domination on the northwestern Romanian provinces and settled a foreign Catholic population there.

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1 The most complete synthesis continues to be Aurelian Sacerdoteanu, “Istoria arhivelor romanesti” (History of the Romanian Archives), chap. V in Arhivistica (Bucharest, 1971), 57–91. See also Ioan Drăgan and Ioan Dordea, eds., Din istoria arhivelor ardelene (From the History of the Transylvanian Archives) (Cluj-Napoca, 1995).
The Romanian Archives

The first scriptoria, chancellery offices, and organized archives appeared between the twelfth and fourteenth centuries. They evolved through the formation of the feudal states of Transylvania, Wallachia, and Moldavia; the organization of ecclesiastical life in these states through bishoprics, metropolitan bishoprics, and monasteries; and the development of urban life.

Legally invested with the status of public notary (loca credibilia), the oldest institutional archives developed near the Catholic chapters and convents and the town magistrates in Transylvania. The basic principles of professional discipline first appeared in these institutions: an archival storehouse (sacristia, conservatorium), the archivist (registrator, requisitor archivi), systems of putting records in order, the inventory of the archives (index privilegiorum), archival regulations, and so forth. Step by step, the great noble families also created their own important archives and, from the eighteenth century, employed specialists for the organization and administration of their documents. Numerous military invasions by neighboring powers, beginning with the Turkish and Tartar plunders, caused irreparable damage to the Romanian medieval archives, especially in Wallachia and Moldavia.

Modern Archives. In the eighteenth century, the Austrian administration, set up in Transylvania (1691), Banat\(^2\) (1718), and Bucovina\(^3\) (1775), introduced the modern system of registration (German: Registratur) in all the public institutions. The same era of Enlightenment promoted the use of archives as auxiliary resources for historiography and brought together the first collections of documents

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\(^2\) Today, Banat is a province in southwestern Romania bordered by the Carpathian Mountains and the Danube, Tisa, and Mures rivers. Part of its territory has belonged to Serbia since 1919.

\(^3\) Bucovina is the northern portion of the principality of Moldavia. It unified with Romania in 1918. Northern Bucovina, occupied by the Soviet Union in 1940 and 1944, currently belongs to the Ukraine.
for scientific purposes. Cultural institutions—like schools, libraries, and scholarly societies as well as individual intellectuals and nonprofessional aristocrats—became creators and possessors of important collections. The national struggle for independence from Russian, Turkish and Austrian control drew on both ideology and the records of the historical past. The cultural interrelations in Transylvania among Romanians, Hungarians, and Germans further stimulated evolution in archives keeping. The main political and administrative state offices (e.g., the Gubernium, the Mining Treasure Office), courts, the military, the religious centers as metropolitan churches and bishoprics, the town halls of the main cities, and the independent communities kept the most important archives from Transylvania until its unification with Romania in 1918. The two secularized confirmation places (loca credibilia) from Alba Iulia and the convent Cluj-Manastur preserved the most important medieval archives. The biggest libraries from Blaj, Alba Iulia, Targu Mures, Cluj and Oradea also kept their own important archival fonds. The cultural and academic societies such as the Romanian ASTRA (Transylvanian Association for Romanian Literature and the Culture of the Romanian People), the German Verein für siebenbürgische Landeskunde (Association for Transylvanian Studies), and the Hungarian Erdélyi Muzeum (Transylvanian Museum) established the maintenance of archives among their main programmatic undertakings. In Sibiu, in both the town archives and the archives of the “Saxon (German) nation,” Franz Zimmermann, who had been trained at the schools in Vienna, inaugurated the first public archives in Transylvania in 1876 where he instituted some European
archival practices. Unfortunately, the province's loss of its medieval fonds cast a shadow on these developments when they were taken to the Hungarian National Archives in 1875 where they still remain.

In an unexpected way, despite a backwardness imposed by the long Turkish domination, the modern institution of archives (i.e., the state archives following the French model) appeared in the principalities of Moldavia and Wallachia through the Organic Regulation of 1831. The promulgation of this constitutional act in Wallachia on the first of May 1831 established the birthday of the Romanian State Archives in the Ministry of Home Affairs. The first state archivist, the well-known scholar Gheorghe Asachi, who came from Jassy in Moldavia, designed a program for this institution. In his opinion, the archives became the keeper

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4 For instance, in 1878 he introduced regulations for the reading room. He also improved the archival operations and developed his collections with acquisitions from different owners. He organized courses of paleography and diplomatics and set up a documentary library. He also initiated publication of a medieval Diplomatarium adhering to the highest standards of the day. His initiatives contributed to the development of archival science in Transylvania and then in Romania. See Monica Vlaicu, *120 de ani de arhiva publica in Transilvania* (Public Archives in Transylvania – 120 Years, bilingual Romanian and German) (Sibiu, 1996); Harald Zimmermann, “Aus den Lebenserinnerungen de Hermannstadter Archivars Franz Zimmermann 1850–1935” (From the Memories of the Archivist of Sibiu F. Z.), *Revista Arhivelor*, ser. III, tom. II, 1996, no. 1–2: 67–85; W. Leesch, *Die deutschen Archivare 1500–1945* (German Archivists), Bd. 2, p. 692.

5 It is mainly about the two medieval archives already mentioned, those in Alba Iulia and Cluj-Manastur, as well as the archives of the regional administration in Transylvania and Banat during the Austrian occupation (1691–1867). According to the treaty of Trianon (1920), these archives were to belong to Romania, as they had been created in and regarded as the territory of Transylvania. This has never happened.
of the country’s most important documents to ensure national rights and to assist historical scholarship.\(^6\)

In 1862, after the union of Wallachia and Moldavia, the archives of the two principalities united under the supervision of a new administration in Bucharest. At the same time, the Ministry of Culture and Public Instruction included the institution in the same department with the universities. For a long time B. P. Hasdeu and D. Onciul, who were members of the Romanian Academy and two of the most outstanding historians of the time, led the institution. This period witnessed many initiatives and achievements in the editing of documentary publications, archival operations, staff training, and the organization of county archives. The archives of state institutions reflected the rapid modernization of Romania in the nineteenth and the start of the twentieth centuries. For example, the Romanian Academy Library created a very important collection.\(^7\)

**Romanian Archives between 1918 and 1950.** As a result of the national unification in 1918, the Romanian archival system extended to the provinces recently joined with Romania. The system founded new regional archives at Cluj

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\(^6\) In 1832, he initiated a special project of collecting documents of public interest from public institutions, monasteries, and particular persons, as well as from foreign archives. In his opinion, these “would make up an important collection of the old rights and privileges of Moldavia and would enlighten its history.” Arhivele Statului – 125 ani de activitate 1831–1956 (State Archives – 125 years of activity) (Bucharest, 1957), 162–63.

in Transylvania, Chisinau in Basarabia and Cernauti in Bucovina. The principle of regional centralization of the archives continued to 1950 with new regional branches being constituted in important centers such as Timisoara, Craiova, Nasaud, Brasov, and Suceava. In Sibiu, the National Saxon Archives, a historically autonomous archives of the Germans in Transylvania, existed until 1945. The regional branches from Chisinau and Cernauti were lost in 1940 and 1944, after the Russian occupations of Basarabia and northern Bucovina.

The 1925 law for the organization of the State Archives, modified and completed in 1932, took into consideration European and Romanian traditions. It required the specific obligations that all the state agencies and institutions had to deliver all the archival materials older than thirty years to State [National] Archives. They also had to hand in a yearly inventory of the files in the current archives created the previous year. The state agencies and institutions with storehouses and specialized personnel and the institutions belonging to ethnic minorities organized their own archives. State [National] Archives published an official magazine, inventories, and other instruments of information and organized libraries and permanent exhibitions. The State Archives administration was able to organize the archivists' training for its own personnel and for the personnel of other institutions. A scientific council elaborated the trends of the whole activity specific to the institution. The personnel belonged to the category of civil servants.9

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8 Basarabia is the eastern part of the principality of Moldavia that Russia occupied between 1812 and 1918, then the Soviet Union, in 1940–1941 and 1944–1991. Today, it is the independent Republic of Moldova.

9 The two laws in Monitorul Oficial, no. 153, I, 15 July 1925, respectively no. 81, I, 5 April 1932 and in the volume Arhivele Statului – 125 ani de activitate, p. 205–13.
During this time, the practice of archival enterprise advanced as well. In 1924 the Practical School of Archivists and Paleographers (since 1931 Superior School of Archival Science and Paleography, since 1936 School of Archival Science) was founded in Bucharest, and Revista Arhivelor (Archives Review), the first journal in the field, was created. The Museum of Archives was founded two years later. The Romanian State Archives, as the national archives institution also was known, published its first general inventory in 1939. During the war, Professor Aurelian Sacerdoteanu, general director between 1938 and 1953, added an Institute of Archival Research (1941–1942) and Hrisovul (The Charter), an archival yearbook (1941–1947). These achievements of high standing in Europe gave a considerable impulse to archival practice, establishing the theoretical and methodological fundamentals of the Romanian archives-keeping system, which lasted until the beginning of the Communist regime.

Archives in the Communist Period from 1951 to 1989. In 1947 the two specialized archival magazines interrupted their activity. The School of Archival Science was set up in 1948 in an Institute of Archival Science, Bibliography and Museology, which in its turn was abolished two years later. A Department of Archival Science, which continued to function within the Faculty of History of the University in Bucharest, was gradually abolished before 1970. The Communist regime effectively started for the Romanian archives in 1951 when, following the Soviet example, the State Archives administration transferred from the Ministry of Edu-

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cation to the Ministry of Home Affairs. This moment marked an important change in its orientation from an administrative-cultural profile toward a clearly administrative one. Home Affairs supervised and carried out the later orientation of the institution to serve the propaganda purposes of the regime.\textsuperscript{11}

Military officials, installed at the head of the General Direction [office of the director] of the State Archives, imposed absurd excesses of secrecy and a military manner of thinking. They restricted public access, destroying the natural relationship of the archives with society. Contact with the international archival community diminished. All these impositions deeply affected the existence of the Romanian archives with their consequences evident even today.\textsuperscript{12}

Reflecting the character of this regime, an “archival totalitarianism” extended over society. The State Archives—both the National Archives and the regional branches—obtained full control over all public, community, and private documents with an almost exclusive right to seize and possess them. Modification in legislation during 1971–1974 brought into the State Archives collections of documents of libraries, of research institutes, partially of museums, even if sometimes this brought about the division of some collections of documents, manuscripts, and books. At the same time, however, the archival repositories of the State Ar-

\textsuperscript{11} For example, archivists were obliged to participate in the actions organized by the propaganda services of the Communist Party.

\textsuperscript{12} Although the last military head of the State Archives was replaced in November 1991, the institution has not successfully improved (as of February 2002) its position within the Ministry of Home Affairs. External relationships have been slightly encouraged. Some archivists and heads of archives who had trained in the old regime documented difficulties in adapting to the requirements of an open democratic society. Although during the last decade certain progress has occurred, real reform of the Romanian Archives has not been produced.
archives administration had no control over the archives of the Communist government (the Communist Party, Home Affairs Minister, Secret Services, Ministry of National Defense, Foreign Office). This article will not thoroughly judge the epoch now, although archival scholars should investigate it without delay, but rather emphasize only those positive accomplishments that made this period unique in the history of Romanian archives. These are the development of archival theory and practice, the increased efficiency gained by setting up the State Archives in the administrative structure of the country, the construction and endowment of archival buildings, the development of the document repositories of the archives, and the quantity and quality of archives preserved and processed from the organizations under the direct, efficient check of the State Archives. 13

The concept of State Archival Fonds—later redefined and developed as the National Archival Fonds—began in 1957. It included all the documents with historical value without taking into consideration the owner. Protected by the state, it was administered by the State Archives. At the same time, the centralized structure of the State Archives introduced and facilitated new instructions for the organization and functioning of the archival establishment in the whole country that were based on the administrative organization of the country. The central administration elaborated technical rules for the processing and administration of the holdings in regional archival repositories, all of which were organized under and responsible to the central admin-

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13 See the volume by Aurelian Sacerdoteanu, Arhivistica (Bucharest, 1971); the new series of Revista Arhivei Române since 1958; the series of Guiding book in State Archives; tens of volumes of catalogues, editions of documents and other publications in the field. During 1966–1989, twenty-four storerooms of archives were set up in the capitals of counties. Archival legislation, the organization and selection of the archives according to the Nomenclator (i.e., the list of files generated following the organization chart and having mention of the period of time records were to be kept) have been generalized quite successfully.
The Romanian Archives

During this period, the Romanian archives projected the appearance and strength of a functional system in society.

**Documentary Libraries of the Archives.** The problem of documentary libraries is quite additional to the archives themselves. The library of the archives has been and still is an important auxiliary, but an auxiliary nonetheless. Documentary libraries were not accorded their proper place because of the perpetually poor material condition of the archives. The General Direction of the State Archives in Bucharest hired its first librarian only at the beginning of the twentieth century, although the need for one was clear a half century earlier.\(^{14}\)

A law adopted in 1925 stipulated the existence of a library, including books and magazines in archival administration and its auxiliary areas, both in the General Direction in Bucharest and in the regional directions [archives]. In the interwar period, between 1932 and 1937, the State Archives profited as a legal repository; thereafter, its authority was lost and its status returned to that of a documentary library with the duty of processing and turning the archival material to account. The General Direction provided the necessary book fund for the regional directions when the archives belonged to the same department as the university libraries.

The centralized character of the State Archives before the Communist period permitted the implementation of a system for redistributing books among the regional branches. An important source of enriching the archival library was the seizure of books together with documentary fonds from institutions and especially from private persons. Thus, the library acquired old books and other literature in various subject specialties. Completing the

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\(^{14}\) The first mention of the library was in the Regulation for the organization of the State Archives from 27 September 1862. A conservator, deputy of the general secretary, who also dealt with the public and who also had other duties, was in charge of the library.
collections of documentary-historic and judicial literature was the main purpose of acquisition.

Today, many branches of the State Archives have more than twenty thousand volumes in their documentary libraries while others have important and valuable book funds. Projects to introduce computers in libraries and to integrate with other libraries also exist. For the time being, though, the position of librarian exists only in the central archives, as it did at the beginning of the last century.

General Remarks. At the end of this quick historical journey through the evolution of Romanian archives, some observations are in order:

a) The Romanian archives has a long and rich history similar to that of the other countries in the area. In the modern and contemporary periods the archives of Romania have been influenced by the German-Austrian experience in the provinces of the former Austrian empire, by the French tradition through the administrative model taken over by the modern Romanian state, and more recently by the Soviet system imposed during the years of the postwar occupation. A unique, original experience evolved in Romania, and it should be studied and revealed in its depth and complexity and made known to archivists and scholars all over the world.

b) There is a great discrepancy between the value of Romanian archival practice and the amount of theoretical research on it in specialized studies and books. While the profession has a century-long institutionalized experience, there has been a professional journal for only seventy-five years. It has appeared regularly for forty years. Until very recently, this journal was almost the only specialized periodical. During these years, articles of a strictly historical and ideological character appeared in a disproportionate quantity. During some periods, historical publications such as documentary ones surpassed those of strictly occupational interests, such as inventories, methodological studies, and so on. Only one archival handbook, Aurelian
Sacerdoteanu’s text of 1971, has been published, although a rich literature of normative and methodological character exists for internal use.\textsuperscript{15}

c) Constants of the Romanian archives are the endemic scarcity of resources and a permanent lack of material means. All these privations led one colleague to quip regarding the anniversary of 165 years of austerity in the National Archives. To be sure, the archives cannot surpass the country’s general level of resources and must accept the means that society can provide for this societal function; but, seemingly, archivists all over the world share the same feelings toward the administrations which assure their budgets. Anyway, the situation in Romania must be understood further in terms of the general level of culture and the respect accorded to the act of writing.

"The praising of the past, of its vestiges is a problem of a high degree of civilization. Nothing expresses better this degree than the way in which you treat the ‘useless things’ which helped you: the archives and the retired people,” the great Romanian archivist and historian David Prodan said with bitterness.\textsuperscript{16}

From this perspective one must acknowledge that, since 1862, archives permanently occupied a minor place in the structure of the state scheme. Until 1951 the archives direction belonged to the Department of University Educa-

\textsuperscript{15} The Technical Norms regarding the development of the activity in the State Archives, the basic methodological instrument, appeared in several editions: 1974, 1986, 1996. The Bulletin for Archival Documentation, for internal use too, has been published regularly since 1951. It includes articles of methodology, translations from international archival publications on archival methodology, as well as other information in the field.

\textsuperscript{16} Memorii (Memories) (Bucharest, 1993), 46. Prodan (1902–1992) was an archivist in the State Archives in Cluj, then part of the university library, professor in the history faculty, member of the Romanian Academy (1948), and member of the American Historical Association (1986).
tion in the Ministry of Education. Since then, it is one of more than twenty directions of the Ministry of Home Affairs. Many troubles derived from this official status.\textsuperscript{17}

\textbf{The Romanian Archives Today}

Today, the National Archives (formerly known as the State Archives) is the most important institution in the archival field in the country. According to the law renewed in 1996, the National Archives administers, controls, and gives archival direction to all the creators and owners of archives in the country.\textsuperscript{18} It stores over 280,000 meters of records, organized in more than 34,000 archival fonds and collections, in about sixty buildings, but according to the law, it practically administers and controls all the archives in the country. The other institutions that keep important archives are the Ministry of Foreign Affairs, the Ministry of National Defense, the Romanian Intelligence Service, the large libraries and museums, the bishoprics, private companies, and so on. After 1989 the National Archives became of considerably greater importance for the Romanian society, by allowing research in documents which had been forbidden

\textsuperscript{17} Also the archives represents about 1 percent both of the personnel and of the budget of the Home Affairs Ministry; and in spite of the fact that general director of the State Archives was subordinate to one of the deputy secretaries, the National Archives did not succeed in being a priority for the minister after 1989 except for the Law of National Archives adopted in 1996. The institution does not have budgetary autonomy, and the sums allocated for modern facilities and preserving documents in the last decade have been, in effect, only symbolic.

\textsuperscript{18} The National Archives supervises how the law is applied in public and private organizations, according to a plan and the importance of the archives. The National Archives also provides assistance required by any creator or owner of archives. Essentially, each organization has to announce to the National Archives that it is setting up or closing down, and obtain approval of opening a new storehouse, approval of the Nomenclator, approval of any elimination of archives and the delivery of the documents of historical value to the National Archives.
previously and by contributing information for the restitution of the property confiscated by the Communist regime.

The National Archives is comprised of the Direction of the Central Historical Archives [the repository that manages the historical records of the Romanian nation—the equivalent of the National Archives (as distinguished from the National Archives and Records Administration) of the United States] as well as forty-one regional directions, including the one in the capital. Together, with the controlling board, these institutions employ about nine hundred people. The National Archives has a training system for personnel through the National School of Training in Archival Science and supports the Faculty of Archival Science, founded in 1992. The institution conducts permanent editorial activities for journals in the field, documentary editing, inventories, and similar publications. More than twenty years ago, National Archives staff established a microfilm project for the most important fonds and archival collections.

Among the difficulties the National Archives faces, unfortunately, is an already existing gap that grows deeper with every year of economic recession and budget austerity. For more than three years, vacant positions have gone unfilled, and the degree of occupation of jobs on the staff list in the system has decreased approximately at 90 percent. The larger regional archives of the country in Bucharest, Jassy, Cluj, Brasov, Sibiu, and Timisoara have practically ceased any acquisition of archives because of lack of space.19

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19 These archival centers hold the majority of the historical archives in Romania. That is why they could not store important contemporary archives. Since 1980 the construction of new storehouses has almost ceased. For a discussion of the current situation in the Romanian archives, see the conclusions of the meeting of 25–26 September 1998, organized in Bucharest by the International Council on Archives and the Council of Europe, reported in Gérard Ermisse, ed., Memoire et histoire: Les États européens face aux droits des citoyens du XXI eme siecle (Bucharest, 1998).
In the last ten years, major investments have been accomplished in only three of the regional headquarters—Bacău, Braila, and Sfântu Gheorghe. During the past years, each regional direction obtained a car and a computer. Although intended, not all the regional directions have book repair workshops. There are only six restoration laboratories and approximately the same number of microfilm cameras to serve all. The quality and efficiency of the equipment is not very high. The crisis of the centralized system of financing and provisioning obliges the regional branches of the National Archives more and more to find local solutions.

The circumstances in the Cluj branch, the second largest in the country, illustrates the situation well. In 2002, the Cluj repository has 17,000 meters of documents, the available space being entirely occupied. In the county served by the repository there are an additional 32,000 meters of archives having a permanent character. About 40 percent of the storage space does not meet minimum preservation standards. Based on average annual work, and according to present technical standards, it will take twenty-five to thirty years to process the documents in the storehouses satisfactorily. Thirteen specialized archivists oversee the 17,000 meters of archives. Comparatively, ten archivists managed 2,500 meters in 1951. Regarding the control of the units producing records in Cluj County, there are about 31,000 organizational entities, out of which about 1,500 are of real importance. Ideally, archivists can check each unit once in five to seven years.

Under these conditions, there is the paradoxical situation in which the National Archives—the guarantor of the Archives Law—is also the main institution that does not follow the law. This is the most important and serious con-

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20 As an example, the microfilming equipment was made in East Germany more than thirty years ago.

21 See note no. 18.
tradiction facing Romanian archives today. At the end of his tenure in the National Archives in 1996, the former director, Professor Ioan Scurtu, found four principal problem areas in the field: material problems; the limits of the civil culture of the citizens generally, and of the clerks particularly; the improper behavior of some political personalities; and the internal weakness of the National Archives, especially its inability to modernize (e.g., the failure to acquire computers). Five years later the problems are, unfortunately, the same. Another very important problem to add to those difficulties is the necessity of overcoming the managerial crisis. The Romanian archives can be saved only by trained managers ready to confront the two challenges of the moment: the chronic lack of means and the impacts of social reform and modernization.

The leaders of the Romanian archives have to find the best solutions for the salvation of the national treasure they have in custody. They must exert themselves to persuade the political establishment of the necessity of an urgent and deep reform of the current archival system. They must convince the Romanian leadership that archives guarantee not only the national identity but also the efficiency of the social management and the democracy. No price is too high to pay for that assurance.

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23 A new general director was named at the beginning of 2002, and the guiding ministry seems to be involved in solving the difficulties the National Archives faces daily. For example, the Cluj branch of the National Archives recently obtained an old building, in which to store about ten thousand meters of records.
Regional Archives in the People’s Republic of China: A Case Study of the Chongqing Municipal Archives and the Yunnan Provincial Archives

Morris L. Bian and Robert J. Jakeman

The emergence of China as an active member of the international community and the growing number of exchange programs between archival institutions in China and the United States have fostered broader professional contacts between American archivists and their counterparts in China. Consequently, American archivists have become increasingly curious about the professional practices of their Chinese colleagues. The following description and analysis offers a case study of the structure, function, and use of Chinese regional archives.

General Background of Chinese Archives

Archival agencies are relatively new institutions in China, dating from the early twentieth century. For example, the First Historical Archives of China (Beijing), which was established in 1925, contains records from the Ming and the Qing dynasties (1368–1911). More recently, the Second Historical Archives of China in Nanjing, estab-
lished in 1957, holds mainly records of the Republican period (1912–49).

In addition to their recent origins, Chinese archival agencies are, without exception, an integral part of the central state bureaucracy at various levels of government. These archival agencies fall under the jurisdiction of the State Archives Bureau (SAB), a centralized agency of national archival administration created in 1954. The SAB supervises and directs the central archives at the national capital, the provincial archives at provincial capitals, municipal archives in major cities, and more than two thousand county archives at county seats throughout China.¹ This centralized system of archival administration contrasts sharply with the fragmented archival arrangements found in the United States, where the National Archives and Records Administration (NARA) has responsibility for federal records but has no formal jurisdiction over the records of state and local governments. Moreover, the activities of American archival agencies are not coordinated by a central archival authority as in China but through national and regional archives and records management associations, such as the Society of American Archivists and the National Association of Government Archives and Records Administrators.²

¹ According to one Chinese source, in 1992 there were more than thirty-four hundred archival management bureaus and more than thirty-five hundred archival repositories in China. See William W. Moss, “Dang’an: Contemporary Chinese Archives,” The China Quarterly 145 (March 1996): 113–129. According to a more recent Chinese source, in 1995 there were three comprehensive archival repositories at the central level; thirty repositories at the level of province, autonomous region, or municipality directly subordinate to the central government; and 2,554 repositories nationwide at the county level. See the pamphlet on China’s archival repositories prepared by the Organizing Committee and the State Archives Bureau of China for the Thirteenth International Congress held in 1996 in Beijing, China. A copy of the pamphlet is in the possession of the authors.

For most of the post-1949 period, archives at the various levels of government have served the records administration needs of state agencies or the Communist Party rather than the needs of the general public or scholarly research. Because materials in the archives have traditionally been regarded as “classified” or “documents for internal use only,” one of the chief responsibilities of archival staff has been to “safeguard” or “protect” materials in their custody to insure that “state secrets” are not leaked. Of course, personnel who work in the archives (really government functionaries rather than professional archivists until the late 1970s) must be party members and politically reliable.

The movements toward reform and opening to the outside world in the early 1980s, however, have brought many important and positive changes to archival management in China. Unfortunately, these changes have proceeded at an uneven pace across China’s archival system despite the nation’s centralized form of archival administration. The following description and analysis of two major regional archives in the southwest region of China—the Chongqing Municipal Archives and the Provincial Archives of Yunnan—serve to illustrate the uneven progress toward more open and accessible Chinese archival repositories over the last two decades.

**CHONGQING MUNICIPAL ARCHIVES (CHONGQINGSHI DANGANGUAN)**

Until recently the city of Chongqing was an administrative unit of Sichuan province, and the Chongqing Municipal Archives (CMA) was under the direct jurisdiction of

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3 For a comprehensive treatment of Chinese archives and recent changes, see Moss, “Dang’an: Contemporary Chinese Archives.”

4 The term *regional archives* used here designates archives at the level of province, autonomous region, or municipality directly subordinate to the central government.
the Provincial Bureau of Archives of Sichuan province. A major reform of national administration in 1997 elevated the city of Chongqing to the status of a province under the direct jurisdiction of the central government, placing it on the same administrative level as the cities of Beijing, Tianjin, and Shanghai. As a result of this change, the CMA acquired the status of a regional archives.

Established in 1959, the CMA became operational the following year, but with the onset of the Cultural Revolution in 1966, archival work came to a standstill. From 1966 until 1974 all the holdings of the CMA were under the control of the Office of Archival Investigation, an agency established under the auspices of the Cultural Revolution and charged with ferreting out “counterrevolutionaries.” Consequently, positive and significant development began only after the late 1970s.5

The CMA’s holdings include records from areas in and around Chongqing, with a total of more than 660,000 files,6 ranging from the last Qing dynasty (1644–1911) to the 1980s. Qing dynasty holdings are quite limited: there are only about thirty files, all dating from 1775. Holdings for the post-revolutionary period are more significant; as of 1990, when the Guide to Chongqing Municipal Archives was published, there were a total of 160,000 files for the period 1949–66,7 approximately 24 percent of all the holdings of the CMA. Records from the Republican period

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5 See Lu Dayue and others, eds., Chongqingshi danganguanjianming zhinan (Guide to the Chongqing Municipal Archives) (Kexue jishu wenxian chubanshe, Chongqing, 1990), preface, 1–6.

6 The Chinese term for file is juan. Typically each juan includes a collection of archival documents contained in a file folder. The Chinese use of juan in describing the extent of their holdings is clearly different from the prevailing practice of American archival agencies, where linear feet or cubic feet are used for the same purpose.

7 Lu Dayue and others, eds., Chongqingshi danganguanjianming zhinan, preface, 1–6.
(1912–49), totaling more than five hundred thousand files, make up more than 75 percent of CMA’s holdings. Most of the Republican-era records are from the period between 1935 and 1949, an absolutely first-rate collection that covers virtually every aspect of the economic, social, and political activities of Chinese government in the Chongqing area, as well as economic and financial institutions, and the work of various social organizations. 8

The rich Republican-era holdings of the CMA are not surprising, for the city of Chongqing was not only China’s capital during the Sino-Japanese War (1937–45) but also the center for economic, social, and cultural developments during the war. For example, over eighty thousand files relate to industrial enterprises and financial institutions, many of which were relocated to Chongqing from coastal provinces during the early years of the Sino-Japanese War. 9 There is little doubt that these archives are rich sources for scholars studying the economic and business history of the Republican decades. 10

Other CMA holdings include extensive published reference materials (ziliao), especially for the Republican period. For example, the CMA retains 36,910 volumes (ce) of historical books and journals, including contemporary publications, government reports, and statistical surveys. 11 The

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8 Ibid., preface, 1–6, and description of holdings.


CMA also publishes documentary editions of historically significant archival materials in its holdings. Two recent volumes are *Historical Materials on the Metallurgical Industry during the Sino-Japanese War* and *Historical Materials on the Chongqing National Government*.\(^{12}\) Since 1989 the CMA, like several other major regional archives in China, has published its own quarterly journal, *Archival Materials and Research*. A typical issue includes excerpts of selected archival materials and scholarly articles that focus on the pre-1949 period.

**Yunnan Provincial Archives in Kunming (Yunnansheng Danganguan)**

In many respects the development of the Yunnan Provincial Archives (YP A) in Kunming parallels that of the CMA. Like the CMA, the YPA was established in 1959. During the early 1960s the YPA staff made progress in constructing repositories, creating an organizational structure, and transferring records into its custody. The onset of the Cultural Revolution in 1966 also took its toll on the YPA: its name was changed several times, and by 1968 its archival work had come to a complete standstill. Not until 1975 did the provincial authorities restore the name of the YPA and allow archival work to resume.\(^{13}\)

Since the late 1970s the YPA gradually has recovered from the chaos and disorder of the Cultural Revolution. The Provincial Archives Bureau was restored in 1980 with the

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\(^{13}\) See Zhang Yuan and others, eds., *Yunnansheng danganguan zhinan* (Guide to Yunnan Provincial Archives) (Beijing: Zhongguo dangan chubanshe, 1997), 1–25.
YP placed under its jurisdiction. Structural changes and adjustments continued throughout the 1980s and the early 1990s. As part of the reform of provincial administration, the Provincial Archives Bureau and the YPA merged into one organization in 1995, although these two names continued to be used in official correspondence.\textsuperscript{14}

Like the CMA, the YPA holds material from several different periods in the history of the region it serves. A total of 408,187 files span the late Qing dynasty to the 1980s. Holdings from the late Qing period total 1,518 files dating from 1793. YPA holdings from the post-1949 period total 108,829 files, some 26 percent of total holdings, and relate to the political, economic, social, military, and cultural activities of the province after the Revolution. As with the CMA, most YPA holdings date from the Republican period. The repository has custody of 297,594 Republican-era files (73 percent of total holdings), which document the activities of various government agencies, public and private enterprises, financial institutions, and institutions of higher education.\textsuperscript{15} Unfortunately, judging from the scholarly literature and anecdotal evidence, the YPA’s rich Republican-era records have not received the attention they deserve from scholars or the general public.

The YPA shares with the CMA two other features: a reference collection and a publication program. The YPA’s reference volumes total 81,247 with 24,884 relating to the earlier and Republican periods and 56,363 relating to the post-1949 period.\textsuperscript{16} The YPA also publishes documentary editions from its collections and has published its own quarterly journal, \textit{Archival Materials of Yunnan Province}, since 1983.

\textsuperscript{14} Ibid.

\textsuperscript{15} Ibid.

\textsuperscript{16} Ibid.
THE CMA AND YPA: THE PERSPECTIVE OF USERS

Based on the experience of the authors and other scholars, the CMA and YPA exemplify two principal types of archival repositories in contemporary China in terms of their accessibility, their finding aids (open or closed), their restrictions on photo reproduction of holdings, and their fees.\footnote{There is a Chinese history research site on the world wide web maintained by the Modern Chinese History Program at the University of California in San Diego. It has a section on archives, which contains valuable information on Chinese archives at various levels. See \texttt{<http://orpheus.ucsd.edu/chinesehistory/chinese_archives.htm>}.} The CMA is clearly one of the most open regional archives in China. For Chinese citizens, a simple letter of introduction from the individual’s employer and a personal identification card are the only documents required for gaining access to the CMA’s holdings. For foreign scholars, the archives also requires a letter of introduction from the scholar’s affiliated institution in China, such as a university or a research institute. Once a foreign scholar establishes a working relationship with the CMA, a simple letter from the scholar to the CMA prior to departure is generally sufficient for gaining access to archives for his or her subsequent research trips.\footnote{The number of visitors, including their geographical distribution, is one important factor in evaluating the performance or achievement of archives.}

In contrast to the CMA, the YPA is less open. For Chinese citizens the YPA has requirements similar to that of the CMA, and it is perhaps as open to Chinese citizens as the CMA. Between 1983 and 1995 the archives received 103,306 visitors and supplied these visitors with a total of 411,590 files of archives and reference materials.\footnote{Zhang Yuan and others, eds., \textit{Yunnansheng danganguan zhinan}, 1–25.} For foreign scholars, however, the situation is entirely different. Although connection helps, any foreign scholar must have a formal letter of introduction from the scholar’s affiliated
Chinese institution. In other words, a foreign scholar must first find a host Chinese institution, which in turn must provide a letter of introduction in order for this scholar to gain access to the archives. Moreover, because the YPA is located within the compound of the provincial party committee, foreign scholars are generally denied on-site access to the archives. For example, a scholar from Israel’s Tel Aviv University visited the YPA between 1993 and 1994. Despite this scholar’s connections within the provincial leadership, he was denied on-site access to the repository’s catalogues (mulu). Instead, the catalogues were brought out to the guard booth, where the scholar selected the documents he wanted to examine. The materials were then photocopied and delivered to his hotel room. Because of the inconvenience he only spent a week at the YPA.

In the CMA virtually all archives for the Republican period (roughly 75 percent of the repository’s holdings) are open to users, and cabinets of all catalogues are available for browsing in the reading room. Users typically refer to a guidebook provided by the archives to find the type of records needed, and the staff directs the user to look in relevant catalogues for specific records. Once a user completes a request form (diaojuandan), the requested files typically are handed over to him or her within five minutes. The CMA staff handles users’ requests politely and with extreme efficiency. Furthermore, there are no restrictions on the kind of catalogue a user may browse or the number of files a user may request.

The YPA also has a reading room with cabinets of catalogues for open records. By 1995 a total of 321,942 files

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20 The YPA should relocate to a newly constructed building in a different area of the city of Kunming in the year 2000, which presumably will help remove this obstacle for access to the archives.

21 See this scholar’s description at <http://orpheus.ucsd.edu/chinesehistory/archive_users.htm>.
had been classified as open,²² which constitutes more than 65 percent of all YPA files and reference materials. In contrast to the CMA practice, YPA staff always lock these catalogues in the cabinets. Upon arrival at the repository, users must state the purpose for which they seek access to the archives along with a brief description of their research topics. If the staff determines that the topic falls within the category of open archives, they provide relevant catalogues to the user. Users who obtain access to the catalogues must still, however, overcome a number of other obstacles. YPA policy limits file retrieval to certain hours of certain days and the number of files that may be requested. Staff encourage researchers to hand copy archival materials and to minimize requests for photocopies. Moreover, they do not honor all requests for photocopies. Indeed, the YPA imposes many restrictions on its users.

When it comes to photographic reproduction of archives, the CMA staff is cooperative and efficient. Both the CMA and YPA have procedures for requesting photocopies, and both repositories have specialized personnel for making photocopies. The CMA typically approves photocopy requests, and the turnaround time is very quick, usually within twenty-four hours.

Both the CMA and YPA charge fees for using their archives. In general, these fees include a service fee (chadangfeiz), a retrieval fee (diaojuanfei), a xeroxing fee (fuyinfeiz), and an archival protection fee (dangan baohufez) designed, among other things, to defray the cost for repairing damage to the archives in the course of use by researchers. The service fee applies each day a user works in the archives, and each time a user requests the retrieval of files, he must pay a retrieval fee for each file served to him. Of course, a user also has to pay fees for photocopying of archival materials. Both Chinese citizens and foreign scholars are subject to these fees, but as a rule foreign research-

²² Zhang Yuan and others, eds., Yunnansheng danganguan zhinan, 1–25.
ers pay three times more than their Chinese counterparts, a practice stipulated by the State Archives Bureau. Fees vary from repository to repository. Although the fees are higher for foreign scholars in absolute terms, they are prohibitively high for most Chinese citizens given the low wages in China. Consequently, few Chinese scholars can afford to conduct substantial and sustained archival research.

Major changes and improvements have taken place in the archival institutions of China since the end of the Cultural Revolution. That catastrophic decade between 1966 and 1976 took its toll on Chinese society, and archival institutions suffered catastrophic consequences along with the rest of the nation. Today, China’s archives are an integral part and reflection of Chinese society and are more open and more accessible than ever before. Nevertheless, the reform and opening of archival repositories have not proceeded at the same rate across the nation. Indeed, very uneven development characterizes the process of reform and opening. The cases of the CMA and YPA reveal that while the CMA is clearly a model of reform and opening, that process at YPA proceeds much more slowly. On the other hand, as the policy of reform and opening continues, all Chinese archives in the new millennium will no doubt adopt more liberal access policies.

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Regional Archives in France and Challenges for the American Researcher

Kristine M Wirts*

Before the fifties Americans working on French history generally preferred to conduct research at the national level. Their research underscored intellectual trends of the late nineteenth and early twentieth centuries in that a great number of their monographs centered on national politics, intellectual developments, institutional history, and military and political profiles. Their research interests also reflected their social origins. Many were from prosperous families, perhaps, not far removed from the most influen-

*I was welcomed everywhere I went in France and found the French helpful, informative, and most courteous. I thank the staff at the Bibliothèque municipale de Grenoble and the Archives Départementales d’Isere especially. Greatest thanks is extended to Marie-Francoise Bois-Delatte, Yves Jocteur-Montrozier, Catherine Collomb, Monique Samé, Magguy Pénicaut, Marie-Christine Hébré, Marie Thérèse Imbert, Yvonne Coindre, Luis Bustos, Elizabeth Marce, Krystyna Mossan, and Olivier Cogne.

tial centers of American political and educational life.\textsuperscript{1} Undoubtedly, they interpreted historical events, the making of history, as the business of powerful white men—which was, in the United States, certainly the reality of the time. Their orientation and conceptual framework, of course, contrasted sharply with that of the Annales, the school of French historians who saw the power brokers on top less as movers and shakers, and more as a function of the greater historical forces of climate, geography, economics and culture—all reverberating from below.\textsuperscript{2}

What is important to note is that the American approach to French history changed radically with the dawn of the Civil Rights and other social movements of the fifties and sixties. After World War II American historians were less inclined to interpret French history in terms of just political profiles and power relations emanating from the capital. Rather, as the gains of the Civil Rights and other social movements became more apparent, so Americans began to recognize the contributions of popular movements and mentalities in the shaping of French history. After World War II, new studies focusing on the people—their religion, customs, habits of life, and political culture—became more common.

The postwar trend in social history precipitated the growth of new monographs less inclined towards Paris and more regional in focus. As American historians began to appreciate the gains of popular social reform movements at mid-century, many looked to the French provinces, as opposed to Paris, with the hope of gaining new insight into certain segments of the French population, previously unexamined. For the first time, American historians be-

\textsuperscript{1} Joyce Appleby, Lynn Hunt, and Margaret Jacob, \textit{Telling The Truth About History} (New York, 1994), 146–51.

gan to work outside of Paris, some choosing to center their studies on a specific city or province. For some, the answer to new historiographical questions concerning the nature of religious worship or popular culture, for example, rested with documents preserved in municipal repositories. Others, by contrast, looked to the provincial holdings of the *Archives Départementales*. For them, cultural variation among provinces warranted greater examination of French history at the regional level. While their studies demonstrated the regional uniqueness of French culture, certain institutional historians, for separate reason, found the provincial holdings of the *Archives Départementales* equally essential to the study of France's provincial institutions. Their work on the provincial estates, municipal government, and vertical ties (bastard feudalism), in particular, significantly altered traditional perceptions concerning the absolutist system. Likewise, those working on political and/or religious culture also have turned to local repositories, in an effort to assess the transmission, communication, and reception of new political or philosophical belief. By pursuing such topics regionally, historians have helped explain how and why certain movements, such as the Protestant Reformation and the French Revolution, gained momen-

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tum and spread in some areas of France but failed in others.⁶

Although American historians still produce national monographs, the trend towards regionally constructed histories has continued unabated. It is important, therefore, for those contemplating research outside Paris, to consider the full range of provincial archives and libraries at their disposal. Of central importance is the Archives Départementales, the official state repository for all record-producing public agencies at the local level.⁷ The Archives Départementales came into existence during the late eighteenth century, when French revolutionaries, wishing to preserve their place in history, founded the Archives Nationales—the National Archives of France. In creating the National Archives, France’s revolutionaries centralized all state records under a single system of administration. All national records, of distinctly separate provenance and institutional ancestry, became physically absorbed into the central repository of the new National Archives. Simultaneously, the French transferred all local records residing outside Paris to the Archives Départementales, a central

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archival agency that emerged within each respective department of France. Like the National Archives, each Archives Départementales combined all public records and documents, existing within its corresponding domain, into a central administrative unit. Each of these administrative units became located within each department’s respective capital.

The primary finding aid to the Archives Départementales remains the Inventaire sommaire des archives départementales, a multivolume set of published indexes that exists for each department unit. While the Inventaire sommaire des archives départementales can be found in the Archives Départementales, where all corresponding collections are kept, published indexes for the same are also located in municipal libraries in France and in some major university libraries in the United States. Many departmental archives carry indexes of neighboring departmental archives as well. Unfortunately, none of the departmental indexes have been made available in electronic format. In addition, many of the indexes, though invaluable, are incomplete. More often than not an “etc.” appears at the end of a collection’s description. The “etc.” means that more documents reside within a particular collection than are mentioned in the collection’s description.

8 The French département is the central administrative unit that was created during the French Revolution. Each province in France consists of several departments.


10 Each departmental archives possesses its own published Inventaire sommaire des archives départementales antérieures a 1790.

11 The Archives Départementales d'Isere, for example, carries indexes to their archives and the departmental archives in Gap. The municipal library in Grenoble, Bibliothèque municipale de Grenoble, also carries separate sets of indexes for neighboring departments.
The Inventaire sommaire des archives départementales is organized according to institutional subject headings, a feature most helpful for those exploring social or institutional research from a regional perspective. The decision to categorize departmental materials by institutional subject headings is understandable given that the Archives Départementales served, and still serves, as the official repository for all locally generated state records. It is in the Archives Départementales, for example, where one encounters old tax rolls, court documents, inventories, notary records, and many other official documents relating to the local functions of state institutions. Additionally important, the French compiled and published the departmental indexes during the nineteenth century, a time when French nationalism sought new expression through public works and national building projects. No doubt the nineteenth-century trend towards public building projects greatly inspired the institutional categories one finds today in the published indexes to the Archives Départementales.

The preference for institutional categories makes even greater sense, if examined in the context of French archival history. Before the creation of the Archives Départementales, state records remained located in the institution where they originated. This practice finally changed in the nineteenth century when French law called

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12 Daniel Hickey’s use of parlement records, for example, has led him and others to reconsider conventional perceptions about seventeenth-century absolutism. See Daniel Hickey, The Coming of French Absolutism (Toronto, 1986). Likewise, Donna Bohanan has found the notary records in departmental holdings helpful for reconstructing social relations among French elites. See Donna Bohanan, Old and New Nobility in Aix-en-Provence, 1600–1695 (Baton Rouge, 1992).

for the consolidation and centralization of all state records at the local level. Consolidation and centralization of local collections coincided almost simultaneously with the production and publication of departmental indexes—both events occurring side-by-side during the nineteenth century. Incoming batches of documents, ongoing and sporadic throughout the nineteenth century, necessitated the centralization and organization of local documents into institutional categories. Put simply, the organization of documents into institutional subject headings was the easiest and most efficient way to deal with the mammoth amount of materials that required immediate identification and management.

Besides the Archives Départementales, the French house manuscript and rare book collections in other regional libraries and archives as well, though most of these holding institutions generally do not carry published indexes to their materials. The majority of France's municipal libraries prefer to rely on an independent card cataloging system that is retained within the library itself, separate from the library's general collection, and designated solely for rare manuscripts or old books, or both. Some university libraries follow this pattern by retaining a separate, internal card catalog for their rare books. Unlike the municipal libraries, the Archives municipales consists primarily of old documents relating directly to the city's his-

14 The Bibliothèque municipale de Grenoble is an exception in that it does possess published indexes to its Fonds précieux collections.

15 This was the case for me at the Bibliothèque municipale de Lyon, Bibliothèque municipale de Grenoble, and the Bibliothèque municipale de Montpellier.

16 The Bibliothèque de la Faculté de théologie protestante in Montpellier keeps an in-house card catalog of all its rare books.
Such holdings typically include local government records and records left behind by municipal corporations or other groups doing business with city officials.¹⁷ For this reason, municipal archives will often house two separate sets of indexes: one set of finding aids for the primary documents and a separate card catalog for secondary materials relating specifically to the city’s history.¹⁸

In contrast, larger municipal libraries may designate two or more separate card catalogs outside the main catalog for their rare manuscripts and books (Fonds précieux). The Bibliothèque municipale de Grenoble, for example, possesses one catalog for old books and another for rare manuscripts; both catalogs exist independent of the library’s main card catalog.¹⁹ In most cases, the Fonds précieux catalog resides in a specific location within the municipal library and usually cannot be accessed via an on-line database within or outside the library itself.²⁰ By contrast, smaller municipal libraries may make no distinction between their Fonds précieux and general holdings whatsoever. Neither the Bibliothèque municipale de Valence nor the Bibliothèque municipale de Vienne, for example, possesses an individual catalog for special collections. In both libraries, rare books and original manuscripts remain in-

¹⁷ Many of the sources of the Municipal Archives of Lyon, for example, revolve around the records left behind by Lyon’s municipal corporations. See Natalie Davis, “Strikes and Salvation in Lyon,” in Society and Culture in Early Modern France (Stanford, 1975), 1–16.

¹⁸ This was at least the case for me when I visited the Archives municipales de Lyon.

¹⁹ Bibliothèque municipale de Grenoble.

²⁰ Old books residing in the Bibliothèque municipale de Montpellier do appear in their on-line system within the library. Some rare books can now be accessed at the Bibliothèque municipale de Grenoble via the local collections segment of their on-line catalog. Visit the web site of the Bibliothèque municipale de Grenoble at <http://www.bm-grenoble.fr>.
dexed and fully integrated within the libraries' general collections.

Other challenges one may encounter in trying to locate relevant materials may stem from the indexes and card catalogs themselves. As with the published indexes to the Archives Départementales, important subject headings for certain topics may not exist in the card catalogs to the Fonds précieux of France's municipal libraries. In the catalog to the rare manuscripts at the Bibliothèque municipale de Grenoble, for example, few sources are listed under the subject heading of Protestant Sermons—even though the library is replete with them. In fact, nowhere in any of the indexes or card catalogs of most municipal libraries in the province of Dauphiné are Protestant sermons listed under the subject heading, Protestant Sermons or just Sermons.21 To locate primary materials, like Protestant sermons, it is necessary to consult several secondary sources that provide exact biographical information.22 Precise knowledge of the author's name or the book title is essential because the French organize their Fonds précieux catalogs more rigorously by author and title, than by subject. That is not to say that French libraries do not employ subject headings in their indexes because they most certainly do. Scholars are advised, nevertheless, to compile a list of specific names and

21 A great deal of my research has centered on early modern Protestant sermons. Nowhere in any of the indexes or card catalogs of the municipal libraries of Dauphiné did I find sources listed under the topic heading of sermons—even though the municipal libraries where I had been working possessed such items.

22 In order to locate Protestant sermons, I consulted several secondary sources published during the nineteenth century. Most were biographical and statistical compilations of Protestant ministers who lived or resided at one time during the seventeenth century in the province of Dauphiné. Because I could identify ministers by name, I had no trouble locating their sermons and other devotional pieces within the library's Fonds précieux catalog.
old-book titles to be used when consulting the municipal catalogs of the *Fonds précieux*. French secondary works published during the nineteenth century seem to be the most helpful for providing such information.²³

When searching for old documents, scholars must also remember that not all municipal libraries in France maintain a special collections department. Because the extent of manuscript and rare book collections in holding institutions other than the *Archives Départementales* varies, scholars may want to refer to the *Adresses des bibliothèques publiques* for locating libraries that do maintain special collections departments.²⁴ Most important, the *Adresses des bibliothèques publiques* specifically names those municipal libraries the French have charged with maintaining rare manuscripts and old books, or *Fonds précieux*. The catalog additionally provides other details concerning the age of collections, library hours, and phone and address information. The hours listed in the catalog may not be accurate. Library hours in France vary from library to library and fluctuate with the summer and holiday seasons.²⁵ Since variable library hours hold true for most departmental and municipal archives as well, it may be best to contact the library or archives before departing the United States.

For the most part, foreigners are free to consult French documents and books, as any French citizen, although they may be required to provide certain credentials that verify

²³ I had greater difficulty locating Protestant sermons in Montpellier and Lyon, than in Grenoble, because fewer biographical sources for the seventeenth century exist in either of these cities and their surrounding regions.


²⁵ Many French libraries and archives close or have restricted hours during the summer months to accommodate seasonal work schedules.
their professional status and place of residence while in France. 26 Most French archives and libraries do require doctoral students, upon arrival, to present a formal letter from their major professor that explains the scope and nature of their work. This letter should attest to their doctoral status and should be in French. 27 Most French institutions, including the foreign office, or prefecture, additionally require foreign students, if applying for a student visa (Carte de Séjour) to present a Lettre de domicile. 28 The Archives Départementales and Bibliothèques municipales are no exception and will demand proof of this letter before issuing any access privileges. Once access privileges are obtained, there are usually no limitations to the number of book and manuscript requests one can make at any given time or day in most archives and municipal libraries. 29

Any questions regarding access may be directed to the conservateur directeur. Most provincial archives and municipal libraries, depending on the size of their holdings,

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26 French master's or doctoral theses are available for viewing at the Archives Départementales d'Isere. It is important to note, however, that French law requires the author's permission for access to theses that are less than thirty years old.

27 While most conservateurs are either fluent in or familiar with English, it is best to make formal presentation in French. Only the staff at the Bibliothèque municipale de Valence insisted that my papers be in French, which they were.

28 Usually provided by one's landlord, this handwritten letter confirms arrival date and place of residence while living in France. The Lettre de domicile serves in the same capacity as a driver's license by providing proof of residence and identity.

29 Some restrictions apply at the Bibliothèque municipale de Montpellier. There are no request limitations at either the Bibliothèque municipale de Lyon or Bibliothèque municipale de Grenoble. At the Archives Départementales d'Isere, the total number of daily requests remains unlimited, although patrons are restricted from placing more than two orders at any one given time.
CONSIDERATIONS FOR AMERICAN STUDENTS IN FRANCE

Other questions concerning the French archives, for American students especially, may encompass economic considerations. For the most part, preliminary and/or extended research in France is possible for American students who have limited financial resources. Indeed, the French outlook regarding student poverty stands in stark contrast to the American. French sensitivity is most evident in the number of services the French provide at a reduced rate to both French and international students. Almost all institutions that provide microfilm or photocopy services, for example, do so at a reduced rate for students. At the same time, accommodations in France are also affordable. Students conducting preliminary research in France can stay at youth hostels for a relatively inexpensive fee ($8–$15/per night). Usually (though not always!), the hostel is clean and provides breakfast and may come equipped with a kitchenette. The hostel is also a center for social activity, where the researcher may want to interact with others after spending all day working solitarily in the archives. Hostels may be within walking distance to the archives (as was my case in Lyon) and if they are not, can usually be reached via public transportation, which also offers reduced rates for students. For extended stays, one may be able to arrange to live with a family or stay in a student dormitory for a minimal monthly fee. American students may also qualify for rent subsidy. Inquiries concerning rent subsidy should be made at one's local (in France) Allocations Familiales office. One should refrain from making formal application for rent subsidy until receiving the Carte de Séjour, which may take a few months. Other documents, such as the Lettre de domicile, are also necessary when applying for rent subsidy. Students with an International Student I.D., which should be obtained before departing the United States, may also qualify for student tickets at campus cafeterias. Most cities that have universities will probably have one or more student cafeterias where both French and foreign students, upon demonstrating student status, can obtain healthy meals at a reduced student rate. Along with student cafeterias, many hair salons, museums, and some movie houses also honor the International Student I.D. Foreign students may be surprised additionally to learn that checkout privileges are obtainable from most municipal libraries for a small fee. Checkout privileges may be secured from university libraries as well, but only if one is registered as a student at the French university where such privileges are sought. Registration is not a difficult task and tuition is incredibly low in comparison to most private (and many public) universities in the United States.
retain a conservateur directeur, who, trained in the arts of archival management, is qualified to answer specific questions concerning special collections and other holdings. Foreign researchers will be pleased to know that the French are as patient, attentive, and professional in dealing with foreign requests as they are sensitive to the economic woes that currently plague American students in the United States.

This aside, foreigners conducting research in France should recognize that regional research may pose certain unforeseen challenges. Foremost, the French house their primary sources, at least in the provinces, in a variety of places—not just the Archives Départementales. Besides the departmental archives, one may encounter rare provincial documents in the municipal libraries, municipal archives, and university libraries.\(^{30}\) Like the National Archives, each departmental archives abides by a central indexing system, while municipal and other regional libraries, in contrast, entertain their own indexing procedures. Some municipal libraries are better organized and have significantly greater holdings than others. Most municipal libraries just hold old books, but any one may possess an important manuscript or other document that is not housed at either the departmental or municipal archives.

Many of the various finding aids that do exist for official records and manuscripts both, may or may not be organized in a manner that reflects current historiographical trends in the United States. The finding aids of the Archives Départementales, for example, are invaluable, but arranged according to topics more consistent with the institutional focus of the nineteenth century. In addition, no central index, or electronic database, exists for all primary materi-

\(^{30}\)While the Archives Départementales d’Isère theoretically holds all official state records, one can find at the Bibliothèque municipale de Grenoble official royal edicts and arrêts applicable to Dauphiné during the seventeenth century.
als residing within a given region of France. Only recently, of course, have European governments endeavored to create an electronic index that is accessible via the World Wide Web.

Like other European governments, it will be the challenge of the French, in the coming century, to devise a central database that includes all primary documents existing within a specified geographic area—no small feat indeed. Until then, American historians should construct a plan for pursuing research within the current constraints of French indexing. Those who do will encounter greater success in locating remote, yet important, provincial documents that might otherwise remain undetected.

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Archives in the New Germany: Research Reflections on a System in Transition

Russel Lemmons

The sudden collapse of the German Democratic Republic (East Germany or the GDR) and the resulting reunification of Germany—what the Germans call die Wende (the turning)—changed many German institutions forever. The German economy, for example, experienced a downturn, the result of which was double-digit unemployment for the first time since the Weimar Republic. Governmental institutions, most notably in education, experienced a dramatic metamorphosis in the neue Länder (new states). Among the most important but largely unnoticed changes taking place, however, are those in the federal archives system.1 These modifications have had a significant effect on scholars.


In keeping with their often well-deserved reputation for efficiency, the Germans are carrying out a massive reorganization and rationalization of their much-lauded federal archives system. Just as two Germanies became one, when the west effectively annexed the east, two systems of national archives are being united—and not without a certain amount of friction.² Nowhere are history and its artifacts more controversial than in Germany, and the process of changing the location and guardianship of modern Germany’s historical record has been fraught with potential for conflict. Fortunately, the archives’ reunification has followed the pattern of the nation’s—a few problems here and there but overall a tremendous success.

The fate of one collection, possibly the largest in the GDR, became the focus of tremendous tension during the reunification process. With the collapse of East Germany’s governing Socialist Unity Party (Sozialistische Einheitspartei Deutschland, or SED) in 1990, citizens of the GDR became increasingly concerned about the fate of the repository of the State Security Service, or Stasi. The Stasi had around one hundred thousand full-time agents as well as hundreds of thousands of inoffizielle Mitarbeiter (IMs or “unofficial collaborators”). This secretive police agency amassed files on approximately four million East Germans as well as two million westerners, many of whom had resided in the country at one time. Housed in the Stasi headquarters in East Berlin, the files occupied around 180 kilometers of shelf space. Laid end to end the records would extend from the earth to the moon.³ In response to rumors

² Regarding the law (the Bundesarchivgesetz) putting these changes into effect, see “Bundesarchiv—Novelle in Kraft,” German Studies Association Newsletter 17 (winter 1992): 47–49.

that the *Stasi* planned to destroy these archives to cover up the crimes of the SED, Berliners took action.

On 15 January 1990, a mob stormed *Stasi* headquarters on Normannenstrasse and seized control of these politically sensitive documents.⁴ Although many West Germans wanted to destroy or seal the records, the reunification treaty created a commission under the leadership of Joachim Gauck to oversee the files. Gauck previously had served as chairman of the East German parliament’s committee on the *Stasi*. The Federal Authority for the Records of the State Security Service of the Former GDR, known as the Gauck Authority, employed over three thousand people in 1997 and manages the collection. Under the *Stasi* Records Law, citizens of the neue Länder are permitted access to their individual files. Opening the previously secret files has led to numerous embarrassing revelations, among them the fact that the GDR’s most influential literary figure, Christa Wolf, was a longtime informant for the secret police.⁵ Many marriages have ended in divorce after disclosures that spouses were spying on each other. Hundreds if not thousands of German families have been torn apart by the contents of these archives, and long-term friendships have ended.⁶ Because of Germany’s very strict privacy laws,

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⁶ Quint, *Imperfect Union*, 234–35. Several written accounts by non-Germans about the content of their dossiers have appeared. The most interesting is Timothy Garton Ash’s *The File: A Personal History* (New York: Random House, 1997). Ash was an English graduate student doing research in the GDR in the late 1970s and early 1980s. When he confronted some of those who had informed on him, their response was typically, “I am not responsible. I was only following orders.”
however, access to the Stasi archives remains challenging for scholars.

Another set of records opened in the wake of die Wende has been a boon to researchers. This is the Stiftung Archiv der Parteien und Massenorganisationen der ehemaligen DDR im Bundesarchiv (Institution Archive of the Parties and Mass Organizations of the former GDR in the Federal Archives). Called simply SAPMO-BA by scholars, for obvious reasons, it contains the records of the SED and its numerous puppet political organizations. Located in a massive military installation in Berlin Lichterfelde that once belonged to the German and then American armies, it combines the holdings of the SED’s Central Party Archives, previously located on Berlin’s Wilhelm Pieck Straße, with other holdings on German communism. The SAPMO-BA is a veritable treasure trove for scholars interested in the history of the German far left. It holds not only documents from the GDR but also many from the pre-war and inter-war years. Because the records relate to official matters, privacy laws do not apply to the vast majority of them, and most are easily accessible to researchers. One can read the minutes of Politbüro and Central Committee meetings, not to mention the personal papers of many GDR leaders and bureaucrats. In addition, the SAPMO-BA has a library of thousands of books and periodicals published by and about the German left. These holdings contain the primary source materials for thousands of dissertations and scholarly articles and books. Historians have only begun to tap the wealth of sources in this truly important archives.

Repositories that were already part of the federal system have been dramatically affected by the reorganization process as well. The Federal Archives at Koblenz, the repository of the Federal Republic of Germany (FRG, or West Germany), is receiving materials on the Weimar and Federal Republics that were previously held by the former East German Central Archives in Potsdam. Other Potsdam holdings on the GDR period are going to the SAPMO-BA. The
GDR's military records will move to the charming university town of Freiburg, where the central military archives of the Federal Republic is located. The Bundesarchiv-Filmarchiv at Fehrbelinner Platz 3 in Berlin will house the combined film collections of the federal archives system.  

The United States State Department transferred control of the Berlin Document Center (BDC), a repository housing the largest collection anywhere of documents from the National Socialist period, to the control of the German Federal Archives in 1994. Anyone who did research there will remember the disorganized piles of papers strewn haphazardly on shelves, tables, and floors. The State Department had in mind the prosecution of war criminals, not academic study by scholars, when assembling the collection for use in the Nuremburg trials. It is no small wonder that an unknown number of documents was stolen in the mid-1980s and sold to collectors of Nazi memorabilia. In response, Dr. David Marwell, the BDC's last American director, began the process of upgrading the technology available in the reading room. The Germans will undoubtedly continue with security improvements and begin indexing the collection, which was never a high priority under American administration. This would make the BDC a more pleasant and efficient place to work, but the new custody arrangement does have its drawbacks.

As historians Henry Friedlander, Gerhard Weinberg, and Geoffrey Giles pointed out in 1993, handing over the

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7 Erwin K. Welsch, Jürgen Danyel, and Thomas D. Kilton, Archives and Libraries in a New Germany (New York: Council for European Studies, 1994), 1-26. The repository in Potsdam was subsequently closed. A word of advice for scholars hoping to use the Film Archives: Plan well in advance because it can take weeks to schedule the showing of a film.
archives to the Germans would make it subject to Germany’s very strict privacy laws. The prospect of decreased access for scholars prompted an outcry by specialists in German history. The Germans promised microfilm copies of the documents, but scholars considered continued access to the original documents essential. Pressure placed on the U.S. government led to a House Foreign Affairs Subcommittee hearing in April 1994 at which both Giles and Friedlander testified. The result was an oral promise from Chancellor Helmut Kohl assuring that access would not be restricted.

Despite this massive transition in custody and organization of repositories, many archives in the former East Germany will remain largely unchanged. These include the archives of the GDR’s Academy of Arts as well as the vast majority of regional and local collections.

By 1996, when I visited German archives in the former GDR for the first time, the reorganization process was well underway, and it did cause some inconvenience. The Bundesarchiv-Potsdam, for example, did not have adequate facilities to accommodate all of the scholars who had flocked there since die Wende. Because very few people were granted access to the archives during the GDR years, its reading room was extremely small. Seats were difficult to find. The repository was understaffed, but its overworked personnel did a remarkable job of keeping up with requests.

It was at Potsdam, however, that I encountered my single significant problem gaining access to needed records. I wanted to look at some papers pertaining to the construc-

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Archives in the New Germany

These are held in the records of the GDR’s Ministry of the Interior, which were being transferred to the SAPMO-BA. According to the archivist, the collection was no longer in Potsdam. Then I discovered, through contact with an archivist at the SAPMO-BA, that the records were there but not yet available to researchers.

This incident was atypical, however. Visiting archives in the neue Länder was an overwhelmingly positive experience. Americans remained something of a novelty to eastern Germans, and they still liked us—the same often cannot be said about western Germans. The vast majority of archivists were courteous, friendly, and forthcoming. For example, when I visited the Buchenwald Archives outside Weimar, the chief archivist, Frau Sabine Stein, took me on a personal tour of the camp and even permitted me to visit a national memorial from the GDR period that had been closed for several years. She also related some of her fascinating experiences growing up in East Germany. At that time, I was the only researcher working at the East German Academy of Arts, and I had four archivists at my service, each of whom made an effort to save me money on photocopying whenever possible. When I visited the Thuringian State Archives in Weimar, several other scholars were working there, all Germans, but the chief archivist lavished me with attention, regaling me with stories about growing up in Weimar. He was extremely pleased to discover that an American took GDR culture seriously, and he identified collections that I might otherwise have overlooked. All of the archivists that I encountered were knowledgeable about the collections they oversaw and were well prepared to aid researchers. It was a joy to work with them.

On balance it is clear that the changes taking place in Germany’s archives system will be overwhelmingly positive for scholars. They have access to collections that have been closed to them for over fifty years. The archives are being reorganized along the lines of the principle of prov-
enance, which should make the entire system more rational and user friendly. These changes will also reduce travel time and expense because a researcher might only have to visit a single location to complete his or her work. For the most part, courteous professionals, who clearly belie the stereotype of machine-like efficiency so often associated with German bureaucrats, staff the archives. They are also indexing collections and will soon issue guidebooks. A few years of minor inconvenience for researchers is a small price to pay for what will be gained.

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Finding Common Ground: Working with the Georgian National Archives to Create a Trilingual Database

Peter Carini and Kara Drake

On two separate occasions over the past four years, the authors traveled to the former Soviet Republic of Georgia as part of a team charged with the work of training Georgian archivists in international descriptive standards as part of a database project. The Sakartvelo Database Project provided an introduction to Georgian history, culture, and the development of the country’s archival program. It also provided a picture of what it is like to work in a former Soviet republic and the reality of what it is to handle language barriers and physical and environmental obstacles.

INTRODUCTION

In the modern part of northern Tbilisi, the capital city of the Republic of Georgia, Gamsakhurdia Avenue runs north from Constitution Square. The square is a vast open space through which traffic whirls at a frightening pace with no apparent order. The avenue goes past the Adzara Hotel where the jazz bar has become a hangout for Americans.
living in the city, past rows of Soviet block-style apartment buildings with small, unmarked shops on their ground floors, and about a quarter mile further, it intersects Avenue Vazha Pshavela. At this intersection a Soviet-era building stands with a vanguard of wide, shallow steps. This large, white block structure is nondescript except for a dramatic tower that gives it, oddly, a Spanish quality. The building bears no marking or sign to indicate its purpose. The only clue that it is a government building, in this otherwise primarily residential part of the city, is an occasional blue-shirted policeman standing in the entryway, smoking. While the street in front of the building bustles with activity, most Georgians have no idea that this building is the headquarters for their national archives, nor that most of the documents related to their nation’s long and troubled history reside within these walls.

It was to this building that two North American scholars of Georgian history, Anthony Rhinelander, professor of Russian Imperial Studies at St. Thomas University in Canada, and Ken Church, then a doctoral candidate at the University of Michigan, came in 1995. What they found inside troubled them so greatly that upon returning to their respective universities, they organized a small association of scholars and archivists who would become the Friends of the Georgian National Archives (FGNA). In addition to Rhinelander and Church, Peter Carini, Kara Drake, and Stephen Jones complete the core group of the FGNA. A number of Georgian officials are also members. Ross Teasley, a computer expert, was an addition to the group’s database project.

As FGNA evolved and work on the project began, those intimately engaged in the process quickly discovered that archival practices and conditions mirrored the chaotic nature of Georgian society. To understand the intricacy of the archival system, one had to absorb the history and culture of the nation. Georgia’s history has been a story of con-
quest and conflict that directly affected the country’s cultural heritage.

A BRIEF HISTORY OF GEORGIA

The Georgians call themselves Kartvel-ebi and their country Sakartvelo, meaning “land of the Georgian people.” As Georgian scholar David Marshall Lang describes, “both these names are linked with that of the mythical demigod named Kartlos, ‘ancestor’ of the Georgian people.”1 Westerners refer to them as Georgians, which developed from Kurj or Gurj, the Arab and modern Persian words for these Caucasians, and not, as is often incorrectly assumed, from one of the country’s patron saints, St. George.

As many different ways as there are to identify them by name, so are there stories surrounding the birth of the Georgian nation. One popular story relates that when God was giving countries to different people, the Georgians were last in line and there was no land left. However, “the Georgians were in a typically festive mood and invited the creator to join them in wine and song.” God so enjoyed himself that he decided to give them the one piece of land he was saving for himself: the valleys and hills that lie to the south of the Great Caucasus.2

Georgia is situated between the Black Sea to the west and the Caspian Sea not far from its eastern border. Depending upon the time period and national boundaries, Turkey, Armenia, Azerbaijan, Russia, and Chechnya are neighbors. Though the mountains have made habitation in this area challenging, archeologists place the beginnings of civilization in Georgia to the early Paleolithic period more

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2 Suny, 3.
than fifty thousand years ago. Scholars also speculate that Georgia is Colchis, the land to which Jason and the Argonauts of Greek mythology traveled in search of the Golden Fleece.

The first state was established in Georgia in the 500s B.C., and most of modern day Georgia united under one kingdom in the 200s B.C. When Christianity spread across the region in A.D. 330, the various tribes and kingdoms further connected, but it was not until A.D.1008 that the word Sakartvelo came to represent a united Georgian nation.

Throughout this great span of developmental years, Georgia suffered through internal divisions and at the hands of a large number of invading forces. Among the invaders were the Romans, Persians, Byzantines, Arabs, Seljuk Turks, and Mongol armies. Such Asian invaders as Genghis Khan and Tamerlane also passed through this region. One of Georgia’s two real periods of independence occurred between the twelfth and thirteenth centuries during which the country produced a strong national identity and royal tradition. To this day, Georgia celebrates rulers such as David “The Rebuilder” (1089–1125) and Queen Tamara (1184–1212) as major influences in the development of the republic.

Georgia’s recent history has been no less tumultuous. Though there have been many different influences, perhaps no relationship was as integral and at the same time as dangerous as that between Georgia and Russia. One region capitulated to the Russians in 1722 in exchange for military protection against Ottoman invaders, and Russia ruled the rest of the country by 1801. Then, “the first decade and a half of the twentieth century witnessed the emergence of

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3 Suny, 3–5.

4 Suny, 19, 32–33.

mass political movements in Transcaucasia, the brief col­
lapse of imperial authority, its re-establishment by force
(though in compromised form), and a long period of spar­
ing between the largely discredited Russian rulers and their
political opponents.”

After World War I, Georgia had a brief second period
of independence as a democracy when Imperial Russia fell.
In 1922 Georgia became part of the newly formed Soviet
Union, however, and Communism came to shape most of
the next century of its history. Tbilisi, a city that burned to
the ground in the twelfth century, was rebuilt with tsarist
palaces in the nineteenth century, and educated Joseph
Stalin—born in Gori as Iosif Djugashvili—at the turn of the
century, would now become the center of the Caucuses again
under a Communist regime.

The national link to Russia severed in 1990 when, on
the eve of the collapse of the Soviet Union, Georgians
elected the non-Communist candidate, Konstantine
Gamsakhurdia, as president. In April 1991 Georgia declared
independence and began reshaping its national identity by
raising the flag that had flown during the period of inde­
pendence from 1918 to 1921. “For Georgians re-national­
ization involved the gradual re-establishment of their po­
litical control and ethnic dominance over their historic
homeland, a process that had barely started during the brief
period of independence.” Following moves by
Gamsakhurdia to jail opposition leaders and to censor the
press, he was forced from office, and Eduard
Shevardnadze—former foreign minister under the Soviet
Union’s Mikhail Gorbachev—was elected president in No­
vember 1992. Recently, Georgians elected Shevardnadze to
another term.

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6 Suny, 165.

7 Suny, 298.
Over the last ten years, nationalist and ethnic groups locked in violent clashes rocked the nation. Fighting occurred between the Southern Ossetia region and Georgian government forces from 1990 to 1992. In 1992 Abkhazia, a region in the northwest, declared itself independent, and fierce fighting began. Although Georgian forces and masses of refugees were driven from Abkhazia in late 1993, strained tensions continue between the two groups.

The long and complicated history of this small nation helped develop the democracy that it is today. Though times are not easy in Georgia, and the government faces serious economic problems, the sense of nationality and history are stronger than ever. Perhaps the primary proof of this is that the Georgian people remain as cheerful and confident today as they did in the fable detailing their country's birth.

**Georgian Culture**

Particularly when discussing cross-cultural work, it is important not to generalize Georgian culture under the Russian rubric. While the situation in Georgia is far less than stable by Western standards, it is one of the most durable and prosperous of the former Soviet republics. Politically, Georgia has had a democratically elected government for more than ten years. The Georgian currency, the Lari, introduced in October 1995, has maintained a fairly steady place in the world market. At introduction it stood at 1.23 Lari per $1 and, over a three-year period ending in 1998, slipped only slightly to 1.35 Lari per $1.\(^8\) In the summer of 2000 there was a larger downward shift that left it at 1.99 per $1.

Like Russia, and due in great part to Soviet neglect throughout the 1980s, the infrastructure—electricity, water, roads, bridges, and buildings—is in desperate need of repair. Fortunately, in the two years between visits, FGNA

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members encountered fewer power outages, and water was consistently available in Tbilisi. Heating is still an enormous problem. In Soviet times a central plant generated heat for the entire capital of Tbilisi. Now each homeowner must fend for himself, and fuel is scarce and expensive in the winter months. Driving on roads outside of the capital city is still a hair-raising experience for most Westerners. Car-swallowing potholes litter the major Soviet highways, particularly those that run through mountainous regions; and in places where landslides have buried the road, it appears that traffic, rather than road crews, creates new routes by necessity. These dirt tracks skirt around the worst of the dips and heaves, avoiding the roofs of buried houses and other obstacles jutting up out of the earth, to rejoin the paved highway several miles farther.

Despite the many invasions, 117 years of Russian rule, and 70 years of Soviet rule, Georgia has managed to maintain much of its own culture in terms of food and customs. There is a Mediterranean feel to the society with emphasis placed on hospitality, food, and drink. Having over five hundred grape varieties, Georgia is purportedly the birthplace of viticulture and wine making. Supras (a celebratory feast) can last for days and hinges on a series of formal toasts presented by a Tomadon (toastmaster).

In general, the Georgian population is extremely well educated. Approximately one-quarter of the population seeks a higher degree, which is a significantly larger percentage than in other former Soviet bloc countries. Most professionals have a six-year college degree equivalent to a bachelor’s and master’s combined. While the majority re-

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9 In Vino veritas! Georgia: 5000 Years of Wine Culture (Tbilisi: Georgian Wine and Spirits Company, [1999]), 15.

ceive their degrees from Tbilisi University, a number of people in specialized fields have studied in Moscow or St. Petersburg at Soviet universities. A significant number of women also hold higher degrees, although the society as a whole is very male-dominated.

Georgia makes a valiant effort to gaze toward the West, despite continued reliance on Russia as a trading partner. The country, as is evident from its history, has a strong sense of regionalism. The three original kingdoms established in the 200s B.C. still exist in the minds of many people, proven by the ability of most Georgians to determine ancestry based on the structure of the surname. Most people speak both Russian and Georgian. The latter is not related to any other language in the world, although the alphabet is based on the Greek. Most educated Georgians also speak a third language, usually one spoken in another of the former Soviet-dominated countries, although younger Georgians increasingly know English or a Western European language.

**Structure of the Archives**

The Georgian National Archives (Department of Archives, or GDA) has an equally interesting history and evolution. As one would expect from a country that has undergone so many different ruling authorities, these influences shaped the structure of the archives today. From the provision of access and the description of collections to the lack of technological know-how, the archival system developed under the Russian Soviets is complex.

In ancient times, archives were kept all throughout the Caucasus, in churches and basements, in museums and universities, but under the Russians more organized repositories began to take shape. Tbilisi became the headquarters for archival material under Stalin as his administra-

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tors pulled records from all over Transcaucasia in an attempt to consolidate government and history in one swift move. Authorities shipped files from Baku and Yerevan, some of which still remain in Georgian repositories today. Thus, the systematic centralization of manuscripts and records mingled the histories of each of these very distinct republics—Armenia, Azerbaijan, and Georgia.

Under Soviet leadership, archival staff assigned numbers to collections and divided series and folders numerically. They taped documents into _dela_ (folders) and housed them in archival boxes that note the number coding on the outside. Particularly valuable documents, also referred to as the "ancient documents" in some repositories, composed their own collections housed separately in a secure location. Archival staff also housed "secret" documents, including not only secret police (_Komitet Gosudarstvennoy Bezopasnosti_, or KGB) files but also records related to Georgia's period of independence, in a separate location. These documents still remain separate today, though they are open in full to researchers.

Beyond the physical housing of the documents, the Soviet training of its archivists was a significant influence on the archival system. The FGNA project staff worked with three trained archivists, all women. Their profession was chosen for them in high school. Sent to Moscow to study history and archives at the university, they followed in the Soviet tradition by focusing their historical studies on a specific time period—in their cases, within Georgian history. After their studies were completed, these archivists-in-training interned at the St. Petersburg archives. Upon completion of their six years abroad, the women returned to their homeland to work in the archival system for the Soviet Socialist Republic of Georgia.

The government agency, the Georgian Department of Archives (GDA), with which the project is affiliated, formed after Georgia became independent in 1991. The main building in Tbilisi houses the Central Historical Archives, the
Archives of Contemporary History, the Central Film Archive, and the Central State Archive of Literature and Art. Additionally, the department staff administer fifty-six other provincial and city archives throughout Georgia, all of which were set up during the Soviet period.

Zurab Makharadze, who, under the Soviets, ran the State Opera, oversees the GDA. While neither a trained archivist nor historian but politically connected, Makharadze could secure President Shevardnadze’s patronage for the FGNA. The deputy director, Rezo Khustishvili, is a trained historian but has no formal archival training. Under Khustishvili, the organization divides into various repositories. Each of the four main archives has a director, deputy director, and various staff members (generally, technicians without any formal archival training).

Two of these four archives are the foci of the work conducted by the FGNA: the Central Historical Archives (CHA) and the Archives of Contemporary History (ACH). The CHA houses documents dating from the ninth century through the period of independence ending in 1921. A total of 830 fonds (record groups) comprising several million pages compose the CHA holdings. The ACH houses more than 1200 fonds. These records cover the period of Soviet rule and extend to some current records in the case of Soviet administrative units that are still being eliminated. The archival holdings of this repository also reflect the dramatic changes that occurred during the transition period of the early 1990s.

The GDA is not the only archival repository in the country. In Tbilisi alone there are two other archival repositories that are administratively separate from this government agency—the Parliamentary Library and the famous Kekelidze Institute. These two repositories house materials that complement and parallel the holdings of the GDA. While the situation at the Kekelidze Institute, which houses ancient manuscripts and the papers of Georgia’s intelligentsia, is far from ideal, the circumstances are not as dire as
those found at the Department of Archives. Similarly, the staff are unpaid, and electricity and water are inconsistent; but the physical condition of the building itself is not nearly as disastrous. The Parliamentary Archives, on the other hand, is comparatively well funded since it houses the records of the present-day Parliament. Not only does Parliament hold the purse strings but also the recorded history of independence as opposed to the history of servitude.

**Physical Circumstances**

The physical condition in the building that houses the Department of Archives is ruinous and very near to what one would expect to find in a developing nation. From the economic state of the country to the physical situation in their work environment, the Georgian archivists who manage and work in this facility are operating under extreme circumstances. During the 1998 visit, the decay of the archival facility shocked the project staff.

While the outside of the GDA building appears solid, the condition of the interior shows that the building is rapidly falling apart. The floors buckle in spots, creating an uneven walkway; there are holes in the concrete walls allowing the flies to enter and swarm; and while there are light fixtures, in many cases there are no bulbs to install. There is a sprinkler system for fire suppression in the stack areas, but at various points during the year there is no water available to fill the system.

The temperature does not differ from the sidewalks on the street to the director's office, or to the archival stack space. In the summer months, it can register a humid 100 degrees, and in the winter the temperature drops well below freezing. There is no working climate control in the building. The lack of climate control is particularly upsetting because the formerly state-of-the-art German system that exists has been allowed to fall into disrepair due to lack of funds.
The Georgian Department of Archives, Gamsakhurdia and Vazha Pshavela Avenues, Tbilisi. Photograph by Peter Carini.

While the lack of climate control is bad for the ninth-century manuscripts, it literally is destroying the films. A treasure trove of underresearched media, the Film Archives houses the oldest films of the former Soviet Union. Upon walking into the stacks, however, one’s lungs fill with the dust that was once films from the 1910s and 1920s.

For the film archives and most of the archival materials, it will take more than climate control to overcome the years of neglect; the records are in desperate need of conservation work. Despite a well-trained staff of conservators, only the most rudimentary conservation work is possible
when they cannot afford to purchase the necessary chemicals or other supplies. In 1998 the head conservator con-
fided that her aging staff are the only people in the country with the knowledge to do modern conservation work. She expressed deep concern that there is no money to attract new, younger staff to the profession as conservators.

The state of the public works in Tbilisi is much like the rest of the country, which is desperately looking westward for assistance. Increasingly, what was publicly funded is now privatized and costs money. While some improvements occur—more consistent electricity, for instance—most problems are not eradicated. During the first visit, project staff went without water in the apartment every night and sporadically during the day. On both visits they spent many hours without electricity. In fact, one of the first Georgian phrases they learned was Shuki ara—no electricity.

**The Roots of the Sakartvelo Database Project**

When the FGNA formed in 1996, the association’s initial and overwhelming concern was for the physical well-being of the archives. The group began a yearlong process of looking for funding to assist the Georgian archives. Unfortunately, raising money from United States philanthropic organizations or from similar international organizations to assist another country with anything other than humanitarian issues—even a country struggling toward democracy after some seventy years of totalitarian rule—was proving next to impossible. Discouraged but determined to lend some assistance to the Georgian archivists, the FGNA began to explore other types of projects. That same year, the group applied for and received funding from the International Research Exchange Board (IREX).

As part of a new program called Special Projects in Library and Information Science, IREX gave $15,000 in initial funding, which was designed “to increase access and improve working conditions for American scholars using
libraries, archives and other resources in Eurasia.” The award was for the creation of a trilingual database to the holdings of the Central Historical Archives (CHA). In 1999 FGNA again applied to IREX with a proposal to include descriptions to the holdings of the Archives of Contemporary History; IREX awarded an additional $10,000.

The Trilingual Database

The broad vision for the database was to provide access to holdings of the Georgian National Archives in Georgian, Russian, and English to scholars both within the former Soviet bloc and in the West who wished to use archival records for a wide variety of research purposes. Because of the mandate from IREX to improve access for American scholars, the focus of the project was on the creation of a public access tool rather than one for collections management. Although the final product could serve both purposes, the emphasis on research weighted certain decisions regarding the database and the data structure toward ease of use, rather than toward comprehensive data gathering. In its final form the database should supplant paper guides created under Soviet rule and describe a number of secret fonds that were never described in the Soviet system. In addition, other fonds, previously described in the narrow vision of Soviet doctrine, would be re-described with a broader vision.

Although the project team considered a wide array of database software, they selected Microsoft Access. Programs designed specifically for archival use (such as MicroMARC, Minaret, and GenCat) either were not sophisticated enough to fit the needs of the project or were too expensive for the limited funds available. For instance, MicroMARC had, at that time, no front-end for nonarchival

users. In fact, it had no front-end for non-MARC (machine-readable cataloging) users. Minaret, while more sophisticated than MicroMARC, is not relational, and its DOS-based structure makes it clunky to run on Windows-based machines. With minimum start-up costs of $10,000, more sophisticated relational databases such as GenCat and Rediscovery were simply outside of the financial scope of FGNA’s funding. The staff desired a relational database to enable researchers to run more complex searches by linking certain fields together. Microsoft Access was the only one that seemed to fit the needs of the project fully.

Project staff decided easy manipulation of data (the ability to move it from one format to another) to be an important factor since this activity began at a time when archival standards were in flux. They chose both the data structure and the database software to ensure that the data could be uploaded to a MARC-based catalog like Research Libraries Information Network (RLIN) and moved into a Standard Generalized Markup Language (SGML), archival document type definition like Encoded Archival Description (EAD) or the similar standard currently being examined by the European Union Archive Network (EUAN). At the same time, the project team wanted the flexibility of the less costly method of presenting the data via Microsoft Access over the World Wide Web. Microsoft Access can be easily augmented with other standard programming tools such as SQL (Structured Query Language) or Microsoft’s VisualBasic. Using these tools, it is possible to integrate the database into a website even with extremely limited computer resources. From the project’s standpoint, Microsoft Access’s wide availability to computer users around the world provides an accessible, powerful tool at low cost.

The database needed to be extremely simple in format, using only the most essential fields. From the beginning the intention was to provide only fond level descriptions, and not to venture into the realm of opisi (series) level de-
scriptions. While fond level descriptions exist in the CHA’s paper guide, it is not clear whether there are more detailed descriptions of these records. Communication with the Georgian archivists on this point was difficult to conduct via e-mail due to their inconsistent access to the Internet (their service provider kept shutting down) and to a lack of clarity as to the archival terms they were using.

Project staff devised the database structure based on a combination of UNIMARC fields and the International Standard for Archival Description (General)—ISAD (G)—elements. The final structure contains approximately twenty-two fields designed for fond level description that will allow production of K-level MARC records or collection level XML-based (Extensible Markup Language) finding aids. The staff included the following fields: main entries (corporate name and personal name), title/fond name, inclusive dates, fond number and former fond number (some fond numbers changed over the years), primary language, date of creation, scope note, source of acquisition, provenance, restrictions, fields recording the total number of series and folders, document type (i.e. papers, records, etc.), a field for listing former names of the creating body, a general note field (public), and an archivist’s note field (private). They also included some ID fields for creating relational links between various fields and some fields for listing alternative name forms since almost every fond has both a Georgian and a Russian name form.

One of the major problems with the database is that most of the planning work was conducted by the archivists and the FGNA’s computer consultant over long distance. Most of the work on the database design was done via e-mail with only one face-to-face meeting. The computer consultant has no archival background and was disdainful of MARC as being old and out-of-date. He was also the only member of the team with detailed knowledge of the Microsoft Access software. While he and the archivists on the project team discussed the database’s needs in detail,
he created and tested the actual database himself. Due to
time constraints, distance, and lack of familiarity with the
software by the rest of the team, the consultant gave no one
else more than an overview of the final product, and a num­
ber of changes had to be made during the first days of the
project in Georgia in 1998. Despite these problems, the
database has functioned well, although there is some addi­
tional work to be done prior to its anticipated public debut
in the near future.

The three short-term goals of the FGNA project team’s
first visit were to train the Georgian archivists in the rules
and standards governing the data input (MARC and ISAD
(G)), to have them write the descriptions, and to enter the
data into the database. Although they had computers, no
one had computer skills, and they did not use computers as
part of the daily operation of the archives. Despite this lack
of computer literacy, the Georgian archivists input a total
of 830 fond descriptions from the Central Historical Ar­
chives in three languages. During the summer of 2000,
project staff traveled to Georgia once again to train archi­
vists in the Archives of Contemporary History (ACH) how
to write the descriptions. Currently, these archivists are in
the process of creating descriptions for the 1,200 fonds
housed in the ACH.

**WORKING IN GEORGIA**

The combination of minuscule or nonexistent govern­
ment salaries (in 1998 archivists’ salaries were a mere $20
per month, and during fiscal crisis they may be unpaid for
months or even years at a time), the physical state of the
building, and the lack of consistent public works all greatly
influenced project work. Physically, day-to-day work was
profoundly affected, and the expectations for a half-hour
would sometimes take an entire day. Whether it was being
unable to print out and duplicate a form because there was
no paper for the printers and photocopiers, or it was hav­
ing no electricity to run the computer or turn on the stack
lights, or it was having to return to the apartment to use the bathroom, or it was struggling to get archives staff to work for more than two hours a day, project staff found themselves constantly having to compensate or change work strategies.

While Georgians tend to have a more relaxed work ethic than North Americans, they are in no way adverse to hard work. The Georgian archivists and historians involved with the project are dedicated professionals, but they are making a yearly salary that would normally cover only a week's expenses. Most of the archivists are running small business ventures, conducting research projects in the archival holdings for hire, or tutoring other Georgians in the Georgian language to make ends meet.

During the first trip, the lack of governmental salaries was a significant hindrance to project work. The archives staff were reluctant to work long hours because this took them away from other activities that made money. On the second trip, the FGNA staff discovered that the experience the Georgians had gained on that first project helped to overcome this problem. The Georgian archivists arrived at an early hour and worked even when the Americans were not around. They had learned how their involvement in the database project could benefit them both intellectually and financially, and they all came eager to assist. One of the archivists who worked with the project in 1998 explained how this experience was one of the best of her career. She noted that it not only gave her a better understanding of international archival standards but also gave her an overview of the holdings of the CHA that she had not had previously.

**LANGUAGE**

No amount of eagerness, however, could help overcome the problem of *kartulot* (the Georgian language). Although the project team learned some basic Georgian phrases to assist in travel prior to the 1998 visit, it was frustrating and
exhausting not being able to communicate independently. It was also distressing that no one on the team spoke the language of the host country. In the end, Russian, which Ken Church spoke fairly fluently, was the language of the first trip.

During the second visit without Church or another Russian speaker to assist with translation, language proved even more of a stumbling block. What Russian that could be learned in the two years between visits was not enough to navigate the complex and technical conversations to conduct the database work. The FGNA hired a translator who did a good job of communicating, but did not have any archival training and did not have the knowledge of the project that Ken Church had. Project staff spent long periods of time listening to arguments in Georgian followed by brief questions on specific points dealing with the descriptive process or the workflow. Had the project staff understood the issues earlier, explanations might have been interjected sooner and valuable time might have been saved. On both trips a translator's lack of familiarity with archival terms sometimes resulted in confusion when a term was mistranslated. It was not until near the end of the second visit that it was discovered that the term *provenance* had been mistranslated and thus slightly misinterpreted by both the CHA and ACH teams.

In addition, not speaking any Georgian had political ramifications for the project staff. During the first visit members of the project team met with the director of the Kekelidze Institute. Even though he was fluent in Russian, when he was informed that team members only spoke Russian, the director called in a staff member who spoke English to translate.

**Technical Issues**

Initially, project staff found that the Georgians had no understanding of the Internet or how it could be utilized in
terms of creating access to guides and other information about the repository. During the first work day in 1998 the director at the Central Historical Archives asked, “What exactly is this world-wide-web thing?” While each department had a brand new PC, the Georgian archivists were using them only for playing games. GDA Director Makharadze asked the FGNA members to speak to all the archival directors about the integral use of technology in U.S. archives. The directors asked questions and expressed significant interest. They seemed to understand how databases, spreadsheets, and word processing would enhance their work process.

On the second trip, the technological advances became evident when the project team found Internet cafes and computer-proficient archivists. One disheartening discovery, however, was the removal of the ACH’s computer to Deputy Director Khustishvili’s office, where the database entry is performed. His computer had broken, and without funds to purchase a replacement, they had to sacrifice a lesser-used machine. On the other hand, project staff noted how readily the Georgians grasped the descriptive standards concepts represented by ISAD (G) and UNIMARC. Once past initial misunderstandings caused by language barriers, project staff and Georgians would nod in agreement over the use of most descriptive elements.

The only real stumbling block was the concept of the main entry. Under Soviet rule there was only one recognized state, and no distinction was made between the records of the current government, the former Russian government, or ancient kingdoms; thus, there was no need for a main entry. In the case of personal fonds, there was a title that included the name of the creator, so again, no need for a main entry. It took several days of explaining before the Georgian archivists understood the importance of such an element both in terms of politics and of descriptive practice. Their willingness to adopt this element may well have had as much to do with the fact that for the first time they
were able to differentiate between Soviet, Russian, and Georgian rule as much as any other factor.

**CONCLUSION**

The Sakartvelo Database Project produced mixed results. At the time of this writing, the CHA data is complete, except for minor checking of the entries. The team was unprepared for the complexity of creating three matching descriptions in three different languages and the various translation problems involved. In essence, everyone who reviews these entries finds problems with the way someone else translated a term or interpreted a sentence.

While the database appears to have worked well to this point, a public interface is lacking, and the complexity of the extraction of data for use in other formats (MARC and SGML) is unclear to anyone on the team. The project computer consultant left FGNA following the 1998 visit, so the team has little expertise in the management of this particular software. The FGNA team's experience in finding appropriate software—and in having to expend time with data structure—demonstrates the need for a standard archival, electronic data capture device that is at once flexible, easy to use, and inexpensive. Many poor nations could use this sort of tool to assist with the democratization of their records.

Another problem facing FGNA is finding server space where the database can be mounted. The team currently is exploring possible solutions to this problem as well as funding to add descriptions from the other archives' departments. Some more urgent problems, particularly those of the film archives and the conservation lab, also need funding.

Finally, working in the international archival arena is an eye-opening experience, particularly when working in the former Soviet bloc countries or in developing nations. The foreign situation serves as a reminder of the affluence of the United States and the amazing resources available
even to its poorer archival facilities. It also emphasizes the extremely Ameri-centric viewpoint of the United States archival community. Few archivists in the United States are aware of much of the work done by the International Council on Archives (ICA). The ICA, in recent years, has created a number of important standards for descriptive practices, authority records, electronic records, and more. These are standards that in some cases parallel or complement ideas and practices used in the United States, yet they are consistently ignored by the vast majority of American archivists.

Archivists in this country seem to forget, or to be unaware that, as the FGNA team discovered when working with Georgian archivists, “archives” is an international community with a language of its own. There are valuable colleagues in other countries who in some cases need assistance. More often than not, there are international colleagues with important ideas and similar practices from which American archivists can learn and can use to advantage.

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Promoting a Regional Foreign Copying Program:
The Historical New Orleans Collection
Experience

Alfred E. Lemmon

The Historic New Orleans Collection, as a museum and research center, seeks to document the developing profile of New Orleans. A walk through the fabled cemeteries or “Cities of the Dead” in New Orleans reveals the French and Spanish colonial demography. While the German, Irish, French, and Italian immigrants received the most attention during the nineteenth century, there were also Belgian, Hungarian, Yugoslav, and Dutch immigrants. The 1850 census indicates that Louisiana had a significant foreign-born population even then. Immigrants accounted for 26 percent of the population in Louisiana, far greater than that of neighboring states. During the twentieth century, Louisiana opened its arms to immigrants—especially Vietnamese, and Hispanics primarily from Central America.¹


The founders of The Historic New Orleans Collection (THNOC), General and Mrs. L. Kemper Williams, traveled extensively in foreign countries. General Williams, in particular, became deeply involved in the city's international affairs, serving as an honorary consul-general and working to establish the International Trade Mart. As a collector, General Williams acquired material documenting the region's European heritage through maps, books, and manuscripts. He also did something unusual for a gentleman collector of the 1950s and 1960s—he collected microfilm from foreign repositories.

In keeping with the founders' interests, an international component appropriately continues in both THNOC's museum and Williams Research Center today. A major program focuses on the efforts to document the French and Spanish role in the development of the region through microfilming programs and to promote these resources to prospective users. The work in both France and Spain rests firmly upon the shoulders of other institutions and archivists who began the documentation task. For French heritage documentation, microfilm comes from the Centre des Archives Outre-Mer of the Archives Nationales of France, the Centre des Archives Diplomatiques de Nantes, and the Archives of the Ministère des Affaires Etrangères of France; and for Spanish heritage, primarily the Archivo General de Indias and the Archivo Nacional de Cuba. The presence of these microfilms from the archives of France, Spain, and Cuba make an incredible wealth of information on colonial and nineteenth-century Louisiana available to scholars.

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2 General Williams served as Honorary Consul of Monaco and was an active member of the International Trade Mart in New Orleans. See obituary in *Times Picayune*, 18 November 1971 (Section 1, page 1, column 4), and the *New Orleans States-Item*, 18 November 1971, (Section 1, page 4, column 7).

THNOC became involved in international microfilming projects during 1983, and the “marketing” of those collections began shortly thereafter. This article presents an overview of the marketing and outreach programs that THNOC has developed to ensure the promotion and use of its microfilmed foreign documentary resources. It examines the lessons learned in the decade the public programs evolved at THNOC’s Williams Research Center and evaluates to a small extent the success of the programs. As a preliminary, it will review the efforts in France and in Spain, which began many decades ago to document the activities of those two empires in the Lower Mississippi Valley.

**French Heritage Documentation**

In the case of France, the fundamental work is the *Calendar of Manuscripts in Paris Archives and Libraries Relating to the History of the Mississippi Valley to 1803* edited by N. M. Miller Surrey. In a monumental effort, Surrey listed and presented a brief English summary of every eighteenth-century document concerning the Mississippi Valley in the archives and libraries of Paris. The origins of the volume dated to 1907, when various historical societies and state agencies of the Mississippi Valley began planning to explore the archives and libraries of Paris. In an effort to avoid unnecessary duplication, the American Historical Association formed a committee to coordinate the effort. The chairman of the committee was Dunbar Rowland, director of the Mississippi Department of Archives and History.

As evidenced in the Surrey Calendar, the primary series of correspondence in the Archives Nationales of France dealing with *La Louisiane* is the *Correspondance arrivée de la Louisiane*. It is commonly referred to as the “C13”

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5 Ibid., iii.
series and includes correspondence sent from Louisiana to France. In 1970, the Foreign Copying Program of the Library of Congress undertook the microfilming of that critical series. Fortunately, the microfilm is now available at several U.S. institutions, including THNOC, and can be purchased directly from the French National Archives. In the 1980s, Marie-Antoinette Menier, Etienne Tailimite, and Gilbert de Forges published a two-volume guide specifically to the C13 series.

While the Surrey Calendar has stood the test of time, there are challenges facing archivists and researchers today. In the course of the 1980s, at the direction of the Ministry of Culture, the Archives de France reorganized its dependency, the Archives Nationales. For years, much of its material concerning the French overseas possessions resided either in the Section Outre Mer (commonly referred to as Rue Oudinot) or in the national archives main complex on Rue Francs Bourgeois. Authorities decided to consolidate all materials in the national archives relating to the French overseas possessions and to locate them in a new archival facility in Aix-en-Provence, known as the Centre des Archives d’Outre-Mer (CAOM). While there is an advantage to such a dedicated facility, Aix-en-Provence is distant from Paris, and not having a direct train link between the two complicates travel.

Although materials such as the Atlas de Moreau de St-Mery and relevant maps and plans from the Dépôt des Fortifications et Colonies had been obtained on microfilm from the “old” Section Outre-Mer, THNOC decided it should strengthen its efforts to obtain microfilm of other portions of the French National Archives related to Louisiana transferred from Paris to the CAOM. To that end, THNOC em-

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6 See introduction to reel 1 of the microfilm of the C13 series, Archives de France.

ployed a graduate student in 1999 to conduct a pilot project to double-check the entries of the Surrey Calendar for material transferred from the National Archives in Paris to the new facility in Aix-en-Provence. The pilot project resulted in the acquisition of microfilm of the D series, important for military records, and the G series, important for census records. THNOC currently is developing a pilot project to enter the Surrey Calendar into a database that will contain any corrections found, give revised locations for documents, indicate microfilmed materials, and note the availability of microfilmed materials in the United States.

THNOC also is becoming more familiar with the portion of the French National Archives known as archives privées, which are personal papers of families and individuals deposited in that institution. An excellent example of this is the Archive de Famille Duparc. During the nineteenth century, the family enjoyed close ties to Louisiana and, in particular, Laura Plantation.

Beginning in 1994, THNOC turned its attention to the records relating to Louisiana maintained in the archives of the Ministère des Affaires Etrangères, which is separate from the Archives Nationales. Documentation is divided between the Archives Historiques of the Ministry located in Paris and the Centre d'Archives Diplomatiques de Nantes (CADN). Basically, the difference between the two repositories is that the Parisian archives contains material


9 Ibid., 81–87.

10 Ibid., 518–28.


12 For an introduction to the organization of these archives see Paul M. Pitman, A Short Guide to the Archives of the Quai d'Orsay (Paris: Association des Amis des Archives Diplomatiques, 1993).
generated primarily in Paris, and the CADN houses doc­u­ments generated by the various overseas offices of the min­istry. The CADN houses the archives of the Consulate Gen­eral of France in New Orleans. The purpose of this THNOC microfilming project was to make accessible for research in the United States the archives of the New Orleans-based Consul General of France from 1804 to 1918.

These records document France's continuing interest not only in New Orleans but also the entire region for which the French consulate was responsible during that period: Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, Missouri, and Texas. The 631 bundles of cor­respondence and thematic dossiers document many areas of social, political, economic, and cultural history. A vast, unexplored scholarly resource about regional history is now available. Students of diplomatic history can also study the changes in the functioning of such consulates from the Na­poleonic period, the Bourbon Restoration, the U.S. Civil War, and World War I. A descriptive catalogue of the ar­chives by Elizabeth de Grimoïard is currently at press.¹³ A second portion of the archives of the Consulate General of France in New Orleans is the personal dossiers, which docu­ment the activity of thirty-five thousand French citizens resident in the region during the same time period.¹⁴

SPANISH HERITAGE DOCUMENTATION

The work accomplished in Spain rests upon the pio­neering efforts of Roscoe Hill and his Descriptive Catalogue of the Documents Relating to the History of the United States in the Papeles Procedentes de Cuba deposited in the

¹³ Archives du Consulat de France à la Nouvelle-Orléans (Paris: Association des Amis des Archives Diplomatiques).

¹⁴ CADN has prepared a database to this particular resource. Efforts are currently underway to make the database available via the Internet. THNOC is preparing to microfilm this portion of the archives.
Archivo General de Indias. Documentation concerning Louisiana is found in a wide variety of archives. The most important of these is the Archivo General de Indias, which dates from 1777. Historian Juan Bautista Muñoz, who had been commissioned to write a history of the Spanish colonies, was challenged by documents being cared for in a variety of castles and institutions. He realized that it would be highly useful to gather the necessary documents in one place. Upon his recommendation, Carlos III united the vast majority of documents relating to the colonial empire in the Archivo General de Indias. 16

Fortunately for Louisiana, in the 1950s, civic leaders urged Loyola University of New Orleans to microfilm Louisiana records in the Archivo General de Indias. In 1961 representatives of Loyola University met with representatives of the Spanish archives to discuss such a project. The Spaniards wisely stipulated that the documents had to be catalogued before being microfilmed. The two major collections of documents were the Santo Domingo papers and the Cuban papers, so called because of their provenance. Roscoe Hill already had described the Cuban papers in his now classic Descriptive Catalogue. 17 The project would begin with the Santo Domingo papers, and therefore, a published guide to those papers was a precondition to microfilming the actual documents. Thus, José de la Peña y Camara; Ernest J. Burrus, S.J.; Charles Edwards O’Neill, S.J.; and María Theresa García Fernández prepared a two-


volume guide, entitled *Catálogo de Documentos del Archivo General de Indias, Sección V, Gobierno, Audiencia de Santo Domingo sobre la Luisiana.* The Loyola project, under the direction of Charles E. O’Neill, had enormous implications for the scholarly world. Prior to the Loyola project, the policy of Spanish archives toward the copying of documents was highly restrictive. Permission was normally granted to copy or film a few selected items from a bundle of documents, but never an entire bundle of documents. The Loyola project resulted in not only an entire bundle of documents being microfilmed but also an entire section of an archive. The Loyola initiative led to a new and progressive attitude. Clearly, a small, regional institution can change, in a most positive fashion, the long established policies of a major institution.

With the completion of the Santo Domingo papers, Loyola embarked upon the microfilming of the Cuban records. They worked in association with Louisiana State University in Baton Rouge, represented by Paul Hoffman. Eventually, Loyola withdrew, and The Historic New Orleans Collection staff replaced them. The microfilming of these two important sources for Louisiana and Lower Mississippi Valley history was a massive project. The success of these cooperating institutions demonstrates the importance of regional cooperative ventures.

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18 (Madrid and New Orleans: Dirección General de Archivos y Bibliotecas and Loyola University, 1968).


In addition to the documents THNOC obtained on microfilm from the Archivo General de Indias, it independently pursued the microfilming of materials from a variety of other Spanish archival institutions. Principal among these were the Archivo General de Simancas, the Archivo Histórico Nacional, the Biblioteca Nacional, the Real Academia de Historia, the Biblioteca del Palacio Real, the Museo Naval, the Servicio Histórico Militar, the Servicio Geográfico del Ejercito, and the Archivo Histórico of the Ministry of Foreign Affairs. In the end, THNOC acquired more than eleven hundred reels of microfilm documenting Spanish Louisiana. These materials cover almost every imaginable topic.

With the completion of work in Spain, responding to requests from scholars, THNOC undertook the microfilming of Louisiana documents in the Archivo Nacional de Cuba. The long-term efforts of U.S. scholars and citizens to have access to these documents can be traced to the nineteenth century and, in the twentieth century, to 1914 when the Texas State Library began a project to prepare typescripts of a limited number of selected documents. Fortunately, THNOC was able to secure a microfilm copy of the Fondo Floridas, the primary source in that archives for the history of the northern coast of the Gulf of Mexico. In subsequent microfilming, staff secured copies of other portions of the Cuban National Archives that relate to Louisiana but had escaped the attention of bibliographers previ-

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Today, THNOC's work with the Cuban National Archives benefits other U.S. institutions, such as Johns Hopkins University, the Northeast Document Conservation Center, and the University of Florida, that are establishing microfilm projects and other joint ventures. A particular advantage, in these and all other new microfilming projects, is the production of a security copy, permitting other institutions to obtain a microfilm copy of these unique resources at a reduced cost.

**Promoting Use of the Microfilmed Resources**

Once these important resources were available on microfilm, THNOC began to address the need to market and promote their use. First, the acquired materials appeared in a special issue of *Manuscripts Division Update,* published by THNOC between 1982 and 1995. THNOC also participated in surveys of such material, most notably the survey conducted by the Library of Congress as part of its quincentenary program celebrating the discovery of the New World. The resulting publication by Guadalupe Jiménez Codinach is a basic research tool for an individual wanting to do research in the United States on Spanish history. Staff presentations at all kinds of events further advertised the availability of these resources. In addition,

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articles in a variety of journals were critical to the dissemination of information on these projects.27

The evolution of the Williams Research Center (WRC) itself provided additional opportunities to market these resources. In 1999 THNOC established a program entitled, Third Saturday at the WRC. Held every month from February through October, this ongoing program promotes the use of the WRC’s book, manuscript, and pictorial resources. Each session focuses on how THNOC staff members care for and make material accessible to the public, but each has a specific theme. THNOC has routinely included specific Third Saturday sessions to train researchers on the use of microfilm obtained from foreign archives. The sessions are open to the public free of charge, but to limit the number of participants, reservations are required. The sessions are announced in THNOC’s newsletter, and postcards and press releases are sent to appropriate university departments and the print media. Staff members also market each session to a “targeted” audience, which would have a vested interest in the topic. Videos of these Third Saturday training programs are available in the WRC reading room. They are popular with researchers coming to use a specific resource for the first time and as a training tool for new staff members.

The materials gathered through the foreign microfilming program attract not only serious scholars but also genealogists. In 1999, THNOC staff, recognizing the potential value of the genealogist as an ally, decided to launch an annual genealogical lecture. The lecture focuses on a specific topic and introduces genealogists to the world of research with material from foreign archives. The first workshop featured France, serving as an introduction to the

French archival system and to the location of specific types of documents. The workshop leader also focused on the internal structure of actual documents, which is critical to being able to understand the content. The second workshop was to train non-Spanish-reading researchers how to read Spanish sacramental records. Again, through an analysis of the structure of documents, researchers learned how to locate the information they needed with only a minimal reading knowledge of Spanish.

Another way THNOC cultivates the use of these materials is through the annual Williams Research Center symposium. Held each January, THNOC presented the first symposium on the occasion of the opening of the center in 1996. Beginning with the third symposium, they have had a definite international component. In 1997 THNOC was fortunate to acquire the archives of Arsène Lacarrière Latour, who recorded events of the Battle of New Orleans in his *Historical Memoir of the War in West Florida and Louisiana in 1814–15.* The 1998 symposium gathered a group of scholars from the United States and France to examine the distinctive contribution of Lacarrière Latour to the historiography of the Battle of New Orleans.

In the following year, the symposium was “The Pearl of the Antilles and the Crescent City: Historical Connections between Havana & New Orleans.” Designed to commemorate THNOC’s completion of the microfilming of the


Fondo Floridas of the Cuban National Archives, it presented scholars from the United States and Cuba. A featured peer institution abroad, in this case the National Archives of Cuba in Havana, repeated the symposium. Based on the success of that particular program, the 2000 symposium, “France and Louisiana: Journée d’Etude,” highlighted cultural relations between France and the United States. The cornerstone of this symposium was the completion of the microfilming of the previously mentioned dossiers nominatifs of the Centre des Archives Diplomatiques de Nantes. In partnership, the Musée de Art Americain in Giverny repeated the program in France.

Another new feature that year was the addition of a study tour to France in association with the repetition of the symposium. Concentrating on historical ties between Louisiana and France, it included a Louisiana history tour of Paris and a visit to the last residence of Bienville, founder of the city of New Orleans. Curators of Louisiana documents helped arrange special tours for the Treaty Room of the Ministère des Affaires Etrangères, the U.S. Ambassador’s residence (built by the Baroness Pontalba of New Orleans), and the Musée Carnavalet, the museum of


32 Among the documents displayed in the Treaty Room on that visit were several critical treaties involving Louisiana, including “Acte de cession par le roi de France de la Louisiane à l’Espagne, signé à Fontainebleau le 3 novembre 1762,” “Traité d’amitié et e commerce entre la France et les États-Unis, signé à Paris le 6 février 1778,” “Traité entre le roi d’Espagne et la République français concernant l’agrandissement du duché de Parme et la rétrocession de la Louisiane à la France, signé à Saint-Ildefonso le 1 octobre 1800,” and “Ratification du traité de cession de la Louisiane du 30 avril 1803 par Thomas Jefferson, Washington le 21 octobre 1803.”

the city of Paris. A high point of the tour was a visit to the Institut de France and its famed Biblioteque Mazarin.

The symposium for 2001, “Bourbon Louisiana: Reflections of the Spanish Enlightenment,” showcased holdings of THNOC—specifically the paintings of Salazar, a Spanish portrait painter active in colonial Louisiana, and the textual resources available at the WRC for the study of Spanish Louisiana. Building upon the success of earlier years, the organizers scheduled a repetition at the Universidad de Alcalá. A study tour focused on the institutions of Bourbon Spain, such as the Archivo General de Indias, the Real Academia de Bellas Artes, and palaces associated with Louisiana history, such as La Granja, where the treaties transferring Louisiana from Spain to France were signed.

**ASSESSMENT**

THNOC staff members have discovered that creating microfilm of Louisiana’s colonial records was only the first step in making them available for scholars. Efforts at marketing these materials to both the scholarly and general audiences through a variety of promotional programming require comprehensive teamwork. THNOC continually draws upon the talents of the staff in the publications department and the public relations office and of the institution’s program officer and seeks the full support and leadership of the director and board of directors.

The complicated history of the provenance of the records made international cooperation a necessity not only for scholars but also for archivists in both the parent country and the former colony. Just as THNOC developed ex-

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tensive programs to expose researchers to the new materials and to train them in their use, it also has been necessary to train the reference archivists to service the material.\textsuperscript{36} Linguistic skills, exposure to both diplomatics and paleography, and a working knowledge of colonial administrative and archival procedures are essential requirements for the reference staff. At the same time, staff has adapted existing finding aids to the microfilm editions to make usage of the material as simple as possible. Indeed, the goal has been to make them self-explanatory.

For scholars, the results of THNOC’s multi-faceted approach in developing and promoting the regional foreign copying program stand as evidence of the value of such an integrated approach. Monographs including Morris S. Arnold’s \textit{Colonial Arkansas 1686–1804: A Social and Cultural History}\textsuperscript{37} and his \textit{The Rumble of the Distant Drum: The Quapaws and Old World Newcomers, 1673–1804},\textsuperscript{38} Carl J. Ekbert’s \textit{French Roots in the Illinois Country, The Mississippi Frontier in Colonial Times},\textsuperscript{39} Gwendolyn Midlo Hall’s \textit{Africans in Colonial Louisiana: The Development of

\textsuperscript{36} The acquisition of dictionaries such as the \textit{Dictionnaire des archives/De l’archivage aux systèmes d’information} (Paris: Afnor, 1999) and the \textit{Diccionario de la Lengua Española} (Madrid: Real Academia Española, 1970) has proven to be most useful, as well as volumes such as \textit{Etat général des fonds} (Paris: Archives nationales, 1978–1980); Gilda Bernard, \textit{Guide des Recherches sur l’histoire des familles} (Paris: Archives nationaux, 1988); and Michel Duchein, \textit{Les Archives nationales} (Paris: Archives nationaux, 1988).

\textsuperscript{37} (Fayetteville: University of Arkansas, 1991).

\textsuperscript{38} (Fayetteville: University of Arkansas Press, 2000).

\textsuperscript{39} (Urbana: University of Illinois, 1998).
Afro-Creole Culture in the Eighteenth Century, \(^{40}\) Thomas Ingersoll's *Mammon and Manon in Early New Orleans*, \(^{41}\) and Daniel H. Usner, Jr.'s *Indians, Settlers, and Slaves in a Frontier Exchange Economy: The Lower Mississippi Valley before 1783* are but a few samples of publications from work in these microfilmed resources. \(^{42}\)

While the symposia were created to bring scholars together, the general public's response has been most favorable. The WRC reading room (which was converted for a day into an auditorium) hosted the first symposium. The second and third symposia moved to nearby facilities. However, in an effort to emphasize the WRC, staff members determined in 1999 that it was better to return to its reading room. The advance registration in 1999 indicated that approximately 200 people would attend. With seating for 250 arranged, 340 participants arrived on the day of the actual symposium. The fifth symposium, therefore, moved to a larger venue—the ballroom of a nearby hotel. Again, the number of participants (500) on the day of the event exceeded that of the pre-registrations (410). A key factor in the success of the symposia is that it is always held at the same time of year, either the third or fourth Saturday of January.

The first five symposia were free and open to the public by reservation. As they grew in size and scope, it became necessary to place modest controls on further growth via a pre-registration fee of $25 and a registration fee of $30 on the day of the event. Registrants are aware that fees do not cover programming costs but assist with refreshments, a reception, and educational materials contained in the registration packets. Symposia funding comes from a wide variety of sponsors, in addition to THNOC.

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\(^{40}\) (Baton Rouge: Louisiana State University Press, 1992).

\(^{41}\) (Knoxville: University of Tennessee Press, 1999).

\(^{42}\) (Chapel Hill: University of North Carolina, 1990).
In an effort to improve the content of the symposia, THNOC successfully added several features. A bookshop sells books authored by the various speakers, as well as other appropriate books. Participants receive a list of readings recommended by the speakers. As designed, the symposia videotapes are accessible only to researchers in the WRC reading room. Beginning with the 2001 symposium, however, the tapes are available for sale, and regional, public access cable television will air them.

While the first six symposia had a sharply focused, accompanying exhibition in the WRC, the 2002 symposium—“The French Empire in North America: From Canada to Louisiana, A Shared History”—had an exhibition (“This Vast Country of Louisiana: The Founding Years”) in THNOC’s main exhibition gallery. To underscore the relation of Louisiana with Canada, the accompanying exhibition traced the history of the Acadian immigration from Canada to Louisiana.

Related symposium activities foster interchange between speakers and staff. These include a small “get acquainted” reception for staff and speakers on the Friday afternoon prior to the symposium, and a light lunch for both on the day of the symposium. While a seemingly small “thank you” for weeks of exceptional work, THNOC staff members enjoy these opportunities for educational exchange and association. Whether scholarly endeavor or public programming, THNOC’s overall investment in its international ventures has already yielded success in engaging its patrons and archivists in a global community.

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Where Function Meets Form: Observations and Thoughts on Housing for the Archival Enterprise

David B. Gracy II, Rebecca E. Kyle, Erin R. Lawrimore, Rebecca E. Romanchuk, and Stephen A. Naron

The most basic principle of architecture is that Form Follows Function. In other words, a building should be designed to facilitate the activities envisioned to occur within it. Through the centuries, structures erected for managing the archival heritage of civilizations and cultures indeed have reflected and shaped the archival activity transpiring within them. Physical configurations have facilitated or impeded the archival enterprise. A building with provision for storage only, and no area designated for use of the records it holds, obviously says that for the time, place, and archival institution, the value of archives was not broad public use. Rather, the value lay in simply possessing the archives and/or in having them for consultation by a designated constituency for the purpose of carrying on its affairs effectively. Through the past two thousand years, and especially the past two hundred, structures around the globe designed for the management of archival resources have exhibited commonalities and differences, the appreciation of which gives insight into the mindsets of the archivist,
the architect, and the community for which the structure was constructed. Further, the buildings exhibit a changing conception of the nature, role, and purpose of archives.

During the past twenty-two years, and especially the eleven-year period from 1989 to 2000, I have had the opportunity of visiting scores of archival buildings and facilities in Asia, Europe, South America, and the Pacific Rim, as well as in North America of course. Camera in hand, I have tried to capture as much of the essence of as many of these structures as I could, as well as, for the older structures, a sense of the sorts of records with which the archivists worked when each structure was new.

In this article, a team of student researchers and I are presenting views of ten structures in Brazil, China, England, France, Italy, Spain, and Russia, which, because of their historical significance, their architectural interest, the way they reflect the society or institution within and for which they were erected, or for combinations of these reasons, are or should be counted among the most impressive, interesting, and representative in the heritage of archival structures. For the principally North American audience of Provenance, we have confined the selection to structures outside of the United States because so few American archivists have the opportunity to visit archival facilities abroad. Following presentation of these international structures, we offer a brief insight into American thinking on archival facilities both in general and by reference to a few specific structures in particular. The American viewpoint provides a baseline against which to appreciate the qualities of the buildings pictured and suggests comparison with similar structures.

All but one of the international facilities we have chosen are government buildings; most exhibit more than one

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1The first person in all instances refers to David B. Gracy II, who not only has visited all of these archives but also took most of the photographs accompanying this article.
feature that makes it of note. The Tabularium in Rome and the Imperial Records Repository (Imperial Historical Archives) in Beijing are the two oldest, purpose-built archival facilities surviving in whole or in part. Both were designed to provide storage only. The General Archives in Simancas, Spain, is the first permanent archival structure of the modern era and seems to have begun the practice of complete renovation of an existing structure to serve exclusively as an archival repository. The university archives of the University of Salamanca, also in Spain, is the single nongovernment repository and the one facility included here that was purpose designed as one part of a new multipurpose structure. The two buildings dating from near the turn of the eighteenth and nineteenth centuries—the Archives of the Indies in Seville, Spain, and the Archives Nationales in Paris—followed Simancas in being renovations. The Public Record Office on Chancery Lane in London was the first purpose-built archival facility to include a search room. The State Archives Building of Rio Grande do Sul in Porto Alegre, Brazil, represents both the highest achievement of which I am aware of architectural design to provide a year-round appropriate environment prior to the introduction of air conditioning and the earliest example I have discovered of raising stack height to accommodate a massive volume of records. Built to house archives of the Communist Party, the building of the Municipal Archives of Khabarovsk exhibits the obsession with security of the records. Finally, the Public Record Office at Kew offers a look at one of the earliest and best designed buildings of the present generation.

The following images show each facility as of the date I visited it, the Public Record Office at Kew as long ago as twenty-two years. Changes of various sorts no doubt have occurred on many of these buildings during the intervening years, which these pictures do not, and cannot show. Consequently, that any pictures are dated is no reflection whatsoever on the contemporary function of the building
and the archivists within it.

To appreciate features that make a structure remarkable, one needs to establish both categories of structures and norms for them against which to gauge differences in space utilization and configuration. For this article, buildings are grouped into three categories:

- Purpose-built for the singular use as an archival facility, as the Public Record Office at Kew in England;
- Purpose-built, multi-use structure in which the archival quarters are part of the original design, as the university archives of the University of Salamanca in Spain; and
- Buildings constructed for some other purpose entirely, which have been renovated to serve as archival facilities, as the General Archives at Simancas in Spain.

In 1947, architect and archivist Victor Gondos wrote a brief article that, some fifty-five years later, remains an insightful piece on the utilization and configuration of archival space. Among other observations, Gondos noted that his study of purpose-built archival structures yielded the fact that the most common division of space for archival structures meant to serve needs of the first half of the twentieth century allocated 60 percent of the space to storage and 40 percent to all other activities. Of the remaining three principal components—processing, public service, and administrative functions—study suggests that the common allocation might be 15 percent, 15 percent, and 10 percent respectively. For contemporary archival structures, modern archivists, more than their predecessors, have preferred floor plans that can be adapted easily to accommodate changing workflows and new technology, such as, over the twentieth century, microfilm readers and printers, photocopiers, and computers.

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To maintain as constant and optimum an environment as possible within a repository, the modern archivist wants as little glass in the exterior walls, both windows and doors, as possible, and none in the stacks. A minimal number of openings in the building promote security of the contents by facilitating control of entry and, especially, departure. Solid walls with few or no windows, however, mean that the internal environment must be managed by heating, ventilating, and air conditioning (HVAC) systems. Buildings designed to rely on HVAC systems commonly have small windows and/or windows that do not open. Tragedies have occurred in countries in which buildings were designed with the anticipation that a HVAC system would be functioning twenty-four hours a day, year-round, but such operation did not occur, either because a steady supply of electricity could not be provided or because procuring replacement parts was so problematic that the repository had to operate for months without the HVAC system. This meant that for air circulation, the staff had to rely on natural airflow for which the building was not designed.

The principal considerations to be accommodated and balanced in all archival structures, then, are security of the holdings and provision of an environment appropriate to the long-term maintenance of the records. For modern archival buildings, archivists have added the requirements of adequate space for public service and ease of adaptation to changing needs.

Six of the ten structures included in this article were designed to serve exclusively as archival structures. Though the two oldest structures were purpose-built archives, it appears that, through the millennia, purpose-built buildings have been the exception rather than the rule. The earliest archival records in China, for example, as elsewhere were maintained in temples. Constantly staffed, those
buildings offered security for the records.\(^3\) Moreover, those responsible for records assumed that sacred buildings stood the best chance of surviving upheavals. For an example from the previous millennium, the government of Great Britain for six hundred years stored records in a variety of locations including the Rolls Chapel and the Tower of London until at mid-nineteenth century, it constructed the first purpose-built archival structure to house the country’s national archives.

Considering the specific functions for which buildings serving archival needs must provide, and considering that the oldest regulations for construction of purpose-built archival structures (for a time in China two thousand years ago called “the central forbidden house”) dates from the four-hundred-year period beginning approximately 200 B.C.,\(^4\) it is curious that adaptation of buildings thrown up for other purposes has been so common. In this regard, the selection of buildings in this article is unrepresentative in the percentage of structures that were purpose-built to be archives.

Finally, as will be seen with three of the ten facilities described in this article which were adapted to serve archival needs—the Archives at Simancas and at Seville in Spain and the National Archives of France in Paris, which date respectively from the sixteenth, eighteenth, and nineteenth centuries—the trend to adapt existing structures that had no previous association with archives began early in Eu-

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\(^4\)Ibid.
rope. The trend has been pronounced. Examples outside of the United States with which I am familiar include:

- the National Archives of Quebec and the Public Record Office of Hampshire County, England, both of which occupy renovated church buildings;
- the National Archives and the Archives of the Ministry of Foreign Affairs of the Republic of Uruguay, the National Archives of Poland, the State Archives of Rome, the Municipal Archives of Cordoba, Argentina, and the Municipal Archives of Rio Claro, state of Rio Grande do Sul, Brazil, all located in residences—homes or palaces—adapted and some significantly expanded for the purpose;
- the National Archives of Mexico located in a former prison;
- the regional archives in Plotsk, Poland, located in a former warehouse;
- the State Archives of Milan, Italy, located in a former legislative building; and
- the Municipal Archives of Piraeus, Greece, located in a renovated grand theater.

Since design of stack space can proceed effectively only with knowledge of the methods by which, and the containers in which, the archival records are to be stored, we must take some notice of containers designed specifically to accommodate records. Principal among the landmarks of container design must be the four-flap structure conceived by King Philip II of Spain in the mid-sixteenth century for use in his archives. Capable of expanding to a maximum of five inches, nearly half a millennium later it continues to be manufactured and used.

Boxes and chests are common. Some were elaborately decorated for show; the construction of others emphasized security. Sizes ranged from small ones similar to those in the Castle at Simancas up to the massive one (measuring, by my estimation, approximately five feet-by-ten feet-by-four feet) for housing both records and three-dimensional
objects in the papal archives room in Castel Saint Angelo in Rome that requires a ladder to enter.

Especially when boxes were not used, but frequently when they were, records keepers maintained units of documentation by binding or just bundling records. Binding offered the advantage of securely maintaining the relationship of each document to the others and provided physical protection for all. The problem often encountered with bound records was the minimal space on the spine to identify the contents, which led to identifications so general as to be useless, such as those pictured in image 18 (see page 128). Bundling by wrapping records in paper, or by simply tying them with cord, afforded the quickest and least costly means of securing a unit of documentation. Though the best example of bundling among the images in this article appears in image 31 (see page 139) from the State Archives of Rio Grande do Sul, the term *legajo* for the container designed by King Philip translates as “bundle.”
Image 1. The original Roman Forum from the model of Rome in the fourth century A.D. in the Museum of Roman Civilization, Rome, Italy. The Tabularium is the building with the highest roofline in the center of the picture. The second-floor row of eleven (ten visible) Corinthian columns flanks a walkway. Only parts of two of the great arches on the first-floor level are visible on the left side of this view of the building. From a postcard.

THE BUILDINGS

TABULARIUM—ROME, ITALY

The oldest purpose-built archival structure still standing, and possibly the first structure designed specifically and solely to house archival material, is the L-shaped Tabularium which stands at the head of the original Roman Forum. The building was completed in 79–78 B.C. under the direction of Q. Lutatius Catalus, which we know because a large portion of the original builder’s stone survives, providing us with the inscription: 

\[ Q. LUTATIUS Q.F. Q. [N.]/ CATULUS COS. DE S]EN SENT. \]

Image 2. The Tabularium in 2001. Only the foundation and first-floor levels remain of the original, three-level building. Nevertheless, the fine workmanship of the foundation wall and the massiveness of the surviving arches of the first floor give a good sense of the presence of this oldest extant, purpose-built archival structure. Photograph by Benjamin B. Gracy.

**FACIUNDU[M]/ [COERAVIT] EIDEMQUE PRO[BAVIT]** (Quintus Lutatius, son of Quintus, grandson of Quintus, Catulus, Consul, has been in charge of constructing in accordance with a resolution of the Senate and secured its approval). Connecting the two peaks of Capitoline Hill, the monumental Tabularium served as the first State Archives structure of the Roman Empire.

Twenty-five layers of precisely cut gabine stone, two-by-two-by-four Roman feet in dimension, face the foundation wall of the building in a manner described as “the best republican workmanship.”

Fronting the Forum on the first floor (the second level) was a walkway flanked by a series

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Image 3. The builder’s stone of the Tabularium. In image 2, it is located out-of-sight, around the far corner on the right of the image.

Image 4. A document on papyrus from the Roman era. Documents of this nature were common in Roman archives. Museum of Roman Civilization, Rome.

...of arches supported by Doric columns 7.5 meters tall, three of which arches remain visible and open. Topping the building was a second floor, which has been replaced by an incongruous office structure that serves the Italian Senate. A long stairway connected the upper levels of the Tabularium with the adjacent seat of the Roman Senate, the body that apparently made principal use of the records in the Tabularium.

Many believe that, contrary to the all-too-common modern practice of storing records in basements, the top floor of the Tabularium provided the principal storage area. Sadly, however, no description of the method of organization of records in the building has survived. Records of the period were written on either papyrus or slate tablets (*tabula* meaning a block of wood, and hence the name *tabularium*). Tablets commonly were either placed on shelves or suspended from woven strands of horsehair (*filium*, hence our word “file”) stretched across a room. Notations of content hung below the tablets to facilitate finding any desired text.
Image 6. Imperial Historical Archives, Beijing. Completed in 1535, it is the second-oldest surviving, purpose-built archival structure in the world.

IMPERIAL RECORDS REPOSITORY—BEIJING, CHINA
(Huang Shi Cheng)

Some sixteen hundred years following completion of the Tabularium and after that archival building had been turned from its original purpose into a prison, Emperor Jiajing of the Ming Dynasty constructed the Huang Shi Cheng, or Imperial Records Repository, within the walls of the Forbidden City—the emperor’s huge compound—in Beijing in 1534–1535. This second-oldest, extant, purpose-built archival structure held the imperial family archives of both the Ming and Qing dynasties, including imperial edicts, annals, and genealogies. Inspiration for the building was

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Image 7. One of the impressive and secure entrances to the Imperial Records Repository, Beijing. Each boss is roughly the size of a fist.

Image 8. Interior of the Imperial Records Repository. The image was taken as an exhibit was being dismantled. Note the barrel vault ceiling.
threefold: to store valuable documents and records, to safeguard particularly precious religious works and secular documents, and to “provide later generations with ‘faithful and reliable’ materials for writing and editing the history and local annals.”

Since the contents were not public records and would be consulted elsewhere within the Forbidden City, the 8,463-square-meter dimension of the Imperial Historical Archives, as it is also known, was designed to serve the needs of the emperor alone. At the same time, the building was ingeniously conceived to provide the optimum environment for preservation. Huang Shi Cheng was constructed of brick and stone, with side walls 6.14 meters thick and each entrance secured with massive stone doors each weighing 10 tons. The end walls were half as thick and contained a single stone window. The floor of the structure was raised 2 meters

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Records written on palm leaves were common in the Imperial Historical Archives. Writers and records keepers maintained the order of the leaves by stringing them together above ground level to accommodate tunnels that provide circulation of fresh air.

Stone platforms supported the 152 large bronze containers in which the records were placed, each with a capacity of 2 cubic meters and each embossed with the imperial dragon. To protect the contents from destructive insects, the containers were lined with camphor wood. The media of the records in the archives included palm leaf (from which we get the term “leaf” for a sheet of paper), iron tablets, and paper, a Chinese invention some eighteen hundred years earlier.
Where Function Meets Form

Image 11. First view on the road from Salamanca of the castle housing the General Archives at Simancas, Spain. The castle began to be used as an archives in the middle of the sixteenth century. With establishment of the archives at Simancas began the practice in Europe of locating royal archives in a permanent location, rather than moving them from place to place with the monarch in travels about the realm.

GENERAL ARCHIVES OF SIMANCAS—SPAIN

(Archivo General de Simancas)

At almost the same time that the Imperial Historical Archives was completed in Beijing, King Charles V of Spain concluded to establish a repository for the records of the Spanish crown and selected his castle at Simancas in north-central Spain as the site. Built along the Duero River approximately a kilometer from Valladolid, the castle occupied a location long important for control of the Castilian dry plain. On the archivist in charge, in 1545, Charles bestowed the title of First Archivist.

9Archivo General de Simancas, web site <http://lanic.utexas.edu/project/tavera/espana/simancas.html>; Lawrence H. Feldman, “In a castle long ago and far away, manuscripts, finding aids, and indexing,” Key Words, 6 (May/June 1998).
Image 12. One of the wooden chests specially designed to house records in Simancas castle. On the left front of the box, the royal seal was affixed. On the right side, missing on this box, contents were listed.

To Charles' successor, King Philip II, goes credit for significant development of the Simancas archives. First, in 1562, he gave the illustrious architect of the Escorial, Juan de Herrera, the job of converting the castle into an archival facility (the earliest documented instance of which I have learned of adaptation for archival purposes of an existing building constructed to serve entirely different needs). Then on 24 August 1588, some forty-nine years after King Charles dedicated the archives, Philip issued the Royal Decree for Archives that promulgated instructions for operation of the archives and set a policy of stewardship for the documentary heritage of the country.

Preceding by more than forty years the essay on archives of Italian cleric Baldassare Bonifacio, the Instruction for the Governance of the Archives of Simancas is the earliest well-developed writing on the management of archives and archival repositories. The Decree provided that original documents be kept safe in chests to prevent abuse,
Image 13. Two deep, the chests rested on racks and were secured behind ornate double doors. The label identifying contents is visible on the right side of each of these chests.

Image 14. One of the storage rooms designed specifically to accommodate the chests of archives. The ovals on either side of the walls outside of the room are outlets for chases that architect Juan de Herrera incorporated into the building to provide circulation of air in order to maintain a good environment for preservation of the archives.
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PROVENANCE 2000–2001

Image 15. While by the sixteenth century, paper was the medium of records in Europe, records keepers faced the challenge of keeping associated documents securely in order. Officers of the king in eighteenth-century Spain, as Chinese records keepers before them, used string. For documents remaining within the government, scribes employed paper in which a hole had been cut specifically to facilitate stringing the communications together. General Archives of Simancas.

that neat copies of the original records be made for reference purposes, and that the secretary of the archives prepare a report styled “Index of the Rights Pertaining to the Royal Crown” which contained information on every document within the archives relating to the rights, actions, state, and patrimony of the Spanish monarchy.¹⁰ Very attentive to the management of his archives, Philip even designed the container in which the individual bundles of records, legajos, were to be stored. To solve the problem of maintaining both proximity and order of documents generated

¹⁰ Jose Luis Rodriguez de Diego, ed., Instruction for the governance of the Archives of Simancas (Year 1588) (Madrid: Ministry of Culture, 1989).
and remaining within the government in relation to a particular transaction, scribes in the eighteenth century used folios of paper in which a hole had been cut so that associated documents could be secured with a string.

By the early 1780s, the castle had reached capacity, and all records pertaining to the New World were transferred to the General Archives of the Indies in Seville. The Simancas repository presently holds the records of the Spanish monarchy relating to Spain and Europe in the fifteenth through the eighteenth centuries.
Image 16. The university archives of the University of Salamanca, Spain, is located behind the double doors along one wall of the university library. The archival space—a storage room—and the library that it adjoins were designed by architect Manuel de Lara Churriguera as parts of the same job and constructed new in 1749.

UNIVERSITY ARCHIVES, UNIVERSITY OF SALAMANCA—SPAIN

Founded in the thirteenth century, the university is one of the oldest in Europe. The archival facility of the university represents a rare instance in which the space was architecturally designed for the archives in a new multi-use structure—the second university library. Both the archives and the library are unchanged from their completion in 1749. For the archives, renowned architect Manuel

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Records on the higher shelves of the university archives of the University of Salamanca were secured behind single wooden spindle doors, while two doors had to be opened to get to records in lower cubicles. That the university was supported by the Catholic Church accounts for the artwork in this elaborately decorated stack area.

de Lara Churriguera provided a single room entered from the larger, single-room library. A magnificent baroque "cupboard," one guidebook styles the elaborately decorated archives room.

Situated behind a pair of ornately carved doors set in one wall of the library, and up a short flight of stairs, the archives space provides only for storage of records. Depending on the size of the documents, archives were kept in one of two areas in the room. Oversized items found housing at one end of the room in a substantial, locked chest secured behind a wooden door solid at the bottom and with spindles at the top. Standard-sized documents, some of which were bound, were kept in one of two areas along the longest wall: (1) upper shelving behind single wood spindle doors and (2) lower, more secure cubicles, each with its own door, and all further protected by either a solid door or a wood spindle door.
Commonly up to and through the nineteenth century, as evidenced in the university archives, records were bound so as to provide secure housing and to maintain their order. Frequently, the volumes were poorly labeled, as is the case with these from the Cathedral in Seville, Spain. The title on the vellum-bound volume on the left, for example, reads: *Varios Papeles Eclesiasticos* (Various Ecclesiastical Papers) and bears numbers from three different filing systems.

The records for which the archives was designed were administrative and student files of the university. Joining appreciation of the value of archives with the fact that the university at that time enjoyed the support of the Catholic Church, elaborate decoration was lavished on the doors in the archives room, creating the most sumptuously painted stack area I have encountered.
Image 19. Façade and entrance to the Archives of the Indies in Seville, Spain. The archives has occupied this building, renovated for the purpose, since 1785. Open windows provide air circulation during business hours.

ARCHIVES OF THE INDIES—SEVILLE, SPAIN

The Archives of the Indies (AGI) holds more than three hundred years of records (approximately eighty million original document pages in forty-three thousand legajos) relating to Spanish overseas possessions in the Americas and the Pacific Rim. When Simancas no longer could accommodate all of the archival records of the government, the AGI was established in 1785 to centralize records pertaining to the Spanish colonies. Rather than increase the capacity of the castle, all records relating to the New World were deposited in the Casa de la Lonja, located in Seville, the city that for more than two hundred years had been the seat of administration of the overseas lands.

Images 20 and 21. Two views of a legajo from the Archives of the Indies. This container was designed by King Philip II during the latter half of the sixteenth century and continues in use in at least two archives in Seville. The legajo is carried by the cloth ribbon across the top. Commonly the papers within are enclosed in a sheet of paper and further secured with a cloth ribbon.
Image 22. Secure storage of legajos on the ground floor facing the patio of the Archives of the Indies. The cannon was a gift of a satisfied customer who used the archives to locate and salvage the wreck of the treasure ship *Atocha*.

The Casa de la Lonja is a large edifice that originally was designed to serve as a merchant exchange house and was built between 1584 and 1598 from the design of architect Juan de Herrera (the same who renovated the castle at Simancas). The building forms a square surrounding an interior patio. Only parts of the building, such as the search room, are cooled artificially. During the four-year renovation project, mahogany and cedar bookcases were installed. The AGI is a charming mix of classic and contemporary technology. While the archives continues to use the legajo designed by King Philip II, the facility was the site of the first massive archival digitization project, which generated more than seven thousand disks of records.
NATIONAL ARCHIVES OF FRANCE—PARIS, FRANCE¹³

(Archives Nationales)

The Archives Nationales (AN) of France was created by decree on 7 September 1790. Not quite fifteen years later on 6 March 1806, the Hotel de Soubise in Paris became home to the AN. Intended to collect and preserve documents of the revolutionary government, as well as records of the Old Regime, by decree on 24 June 1794, the AN gave the public access to government records that before had been kept secret for the sole use of the government. For

Image 24. The grounds between the entrance gateway and the Hotel de Soubise.

this characteristic, which distinguished the AN from all of its predecessors, the Archives Nationales is identified as the first of the modern archives.

The Hotel de Soubise is located at 60, rue des Francs-Bourgeois in the Third Arrondissement of Paris, a swamp-land until drained in the thirteenth century. Built between 1705 and 1709, the exterior of the structure was designed by Pierre-Alexis Delamair and the interior by Gabriel-Germaine Boffrand. The Rohan-Soubise family occupied the hotel until the Revolution. Considered one of the most beautiful buildings of Paris, the Hotel de Soubise has a large rectangular courtyard with columned walkways on two sides.

After being interviewed by an archivist to determine their research interests, researchers are seated at long tables to view documents in the Salle de Lecteur on the second floor. In addition to the now traditional organization of the
Image 25. View of the traditionally laid out reading room of the National Archives of France. The attendant archivist occupies the raised desk to the left. Records are paged through the door at the far end of the room.

search room, the AN is included here because of the role of the National Archives of France in establishing the basic archival principle of *respect des fonds*.

**PUBLIC RECORD OFFICE, CHANCERY LANE—LONDON, ENGLAND**

Designed by Sir James Pennethorne in 1858 and completed not quite forty years later in 1895, the Public Record

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Office (PRO) on Chancery Lane in London served as the primary repository for records of the British government until it was vacated in 1996. Situated on the edge of the City proper, the PRO Chancery Lane was the first purpose-built archives in the country. Designed as a fireproof building, it was constructed to bring together documents previously stored at locations throughout London.

The Public Record Office Act of 1838 created an official national archives and paved the way for the building of the repository. The neo-Gothic building featured stained glass windows and a huge floor mosaic. Its unique Round (actually octagonal) Room, which served as the Literary Search Room, drew its inspiration from a similar space in the British Museum. More importantly, of cast-iron construction, it was the first reading room ever designed into a purpose-built archival building. The room featured a domed ceiling and incorporated fragments from the Rolls Chapel, a thirteenth-century chapel that once occupied the site and housed records for centuries.

Despite the use of off-site storage, the PRO Chancery Lane proved inadequate for the national archival needs of Great Britain. A second Public Record Office building was constructed at Kew in 1977 to accommodate the massive
Image 27. The Round Room in the PRO Chancery Lane, the first reading room designed for a purpose-built archives building.

Image 28. Before proceeding to the Round Room, prospective users were interviewed in this little room designed for the purpose but far distant from the Round Room.

twentieth-century growth of records. In 1990 the government recommended closure of the Chancery Lane location. Consolidation of the nation’s archival holdings at the PRO Kew was completed in December 1996. The PRO Chancery Lane building is currently undergoing a two-year renovation in preparation to serve as a university library.
STATE ARCHIVES OF RIO GRANDE DO SUL—PORTO ALEGRE, BRAZIL

(Arquivo Publico)

Few buildings are as well designed for their time and place as the State Archives that President August Antonio Borges de Medieros of the southern Brazilian state of Rio Grande do Sul, on 8 March 1906, ordered to be built in the capital of Porto Alegre. Designed in the neoclassical style by a French architect, the building was constructed between 1910 and 1918. It incorporates features found in no other archival facility in Latin America and found in few, if any, archival buildings of its period anywhere.

Image 29. The 1940s street façade of the State Archives of Rio Grande do Sul, Porto Alegre, Brazil.

Located on the Guaíba River at the junction of five rivers at the head of dos Patos Lagoon, about fifty miles from the Atlantic Ocean, the port and commercial city of Porto Alegre is subject to high humidity. The architect designed the State Archives building with two purposes in mind: First, it was to maintain as good an interior environment as possible, and in a day in which fans and heaters constituted the only means of affecting interior air, the goal would be achieved with the use of a minimum of technology. Second, the building would accommodate a massive volume of records for each square foot of floor space.

Shelves of reinforced concrete rise seventy-two feet above the ground floor. To reach all shelves, the architect provided steel-grate flooring on two levels above the ground floor, each upper level provided with a rolling ladder. Working in tandem, the steel-grate flooring facilitates movement of air within the building, while the ferroconcrete shelving contributes to maintaining a constant interior temperature.
Image 31. The highest of the three stack levels in the State Archives of Rio Grande do Sul. The height of each stack level can be judged by the ladder midway down the walkway. The flooring consists of iron strips that permit circulation of air. Each bundle of records is identified on a card held to the bundle with a cord.

In the event of high humidity or temperature, the staff can turn on one or more of the few small exhaust fans located near the ceiling. In practice, the fans have seen little use, as the air temperature, humidity, and natural movement are sufficient to prevent the outbreak and spread of mold. Anticipating the need to rid the facility of dust from time to time, the architect equipped the building with a vacuum system that permits staff to connect a hose to piping that follows main aisles and evacuates dust from any given area within the archives.

The original building was constructed on three sides of a patio. While the decorative neoclassical features face the patio, to provide security and to contribute to maintenance of as constant an interior environment as possible, the outside wall is of solid construction with no windows. An office wing added in the 1940s enclosed the patio and
Image 32. The natural circulation of air is so good that the few fans incorporated in the building rarely are used. In recesses near the ceiling, the fans exhaust warm air and are out of the way of the archivists. Architecturally, they are cleverly concealed from the outside by being located in portals above the windows. (See image 30, page 138.)

blocks the view from the street of the older structure. The building houses some eighteen million documents of the state government dating from the middle of the nineteenth century. The State Archives building of Rio Grande do Sul is the earliest structure I have found to use high-rise shelving. Moreover, it is remarkable for the stable interior environment achieved primarily by building design rather than by utilization of air conditioning technology.
MUNICIPAL ARCHIVES OF KHABAROVSK—RUSSIA

The building that in 1996 housed the Municipal Archives of Khabarovsk had been constructed four decades earlier as the regional archives for the Communist Party. Construction of Communist Party buildings commanded the best design and materials available. Central to Soviet, and especially Communist Party, archival facilities was security of documentary material. This accounts for the stack rooms, located off the main stack floor, which are protected by massive steel doors.

This emphasis on security and control began in 1918, when Vladimir I. Lenin issued his famous June Decree nationalizing all documentary records of government bodies into a Single State Archival Fond. As a result, the archival heritage of Russia was subjected to a new administrative organization according to the ideological dictates of the Soviet system. According to Russian archives scholar Patricia Grimsted, this ideology gave both philosophical justification and crucial political importance to documentary

Image 33. Municipal Archives of Khabarovsk in the Russian Far East. The structure was built in the 1950s to serve as an archival facility for the Communist Party.
Images 34 (top) and 35. Two views of the steel doors securing the several vaults built into the former Communist Party archives building in Khabarovsk.

control. The combination of historical determinism as philosophical background and ideological orthodoxy as reinforcement for centralized, rigorous political control gave unprecedented importance to the national documentary legacy. If the ideological orthodox were the only ones to write history, then the sources on which that writing was to
The office of the senior archivist of the Municipal Archives of Khabarovsk. With curtains, hanging plants, and wallpaper, this is the most highly personalized archivist’s office I have encountered. The presence of this personality is all the more remarkable because of its location in a building whose interior plainness is evident from the images on the previous page.

be based must be carefully controlled by ideologically orthodox authorities.¹⁶

In the midst of the plainness of the interior of this archival facility, which characterized so much of Soviet construction, and the heavy environment of a building designed to keep the contents secure, the appointments with which the archivist graced her office expressed a personality unexcelled by any other archivist’s office I have seen anywhere. She had decorated her personal space with curtains, hanging plants, and even wallpaper.


PUBLIC RECORD OFFICE AT KEW—LONDON, ENGLAND

Opened in 1977, the seven-story building of the PRO Kew, as it is known, is both the largest archival facility in England and a thoroughly modern structure in design. Thirty-five years later, it continues to serve as an example of innovative concepts in archival buildings. Floor space is 33,440 square meters, with a storage area of 100,000 linear meters. The exterior of the building is glass and pre-stressed concrete panels that could be removed to permit an addition of the magnitude of the original building. Such an addition was opened in 1995, creating storage capacity sufficient to house the quantity of records expected into the year 2010.

The building was a technological showpiece from the beginning. It utilizes a computer-controlled requisitioning system by which users can order the records they wish to consult. In the stacks, pages using electric carts trans-

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Image 38. The visitor enters the finding aid room of the PRO Kew, where one can browse cards and volumes to locate information on desired materials. PRO Kew photograph, 1980.

Image 39. Having located material the visitor would like to see, the visitor keys in the information. PRO Kew photograph, 1980.

...port the records from their shelf locations to a "paternoster" elevator system that delivers them to the reading room. The patron can pass this retrieval time relaxing in the restaurant, knowing that when the records arrive in the search room, the archival staff will send notification via a personal pager issued by the archives.
Images 40, 41, and 42 (top to bottom). In the stacks, the page selects the desired material from the shelf, puts it in the bin of an electric cart, and drives to the dumb waiter, which conveys it to the search room. PRO Kew photographs, 1980.
Images 43 (top) and 44. The search room of the PRO Kew retains the tradition of a single archivist at a raised desk. Security is provided by closed-circuit television cameras located in the black spaces above the search stations. The search stations were specially designed both to accommodate a multitude of users in a small space and to minimize opportunities for mixing of files by adjacent users. PRO Kew photographs, 1980.

Staff members consider the open design reading room to be one of the building's greatest successes. Acoustics were carefully planned to minimize noise in the busy reading room. The specially designed desks for users have proven effective in providing working area, maintaining separation between users, and making maximum use of floor space.
THE UNITED STATES

By way of comparison with the archival structures from other countries pictured in this article, a number of notable facilities in the United States rank among the significant monuments of our archival heritage. A short list below of American structures selected because of age and/or innovation which highlights the positive, notable quality(s) of each building, would include:

- The Public Records Office in Williamsburg, Virginia. Constructed in 1760, this was the first purpose-built archival structure in what is now the United States. A simple brick building, it was intended to house records, nothing more. Despite being constructed for the specific purpose of removing records from the capitol, where a recent fire had endangered them, the PRO was equipped with two fireplaces. Protection of the records from fire consisted of boxing them in “sturdy wooden crates” which could be heaved through the windows in such an event.

- Archives I, in Washington, D.C., the first national archives building of the United States. Sited between Pennsylvania and Constitution Avenues and designed in the neoclassical style, this building of the Depression era expresses democracy in its architectural style. The great rotunda in which the Constitution and Declaration of Independence are exhibited, along with changing displays of other documents significant in American history, invites the public to get close to and to enjoy archives and the role they have played (and are playing) in American life. Built on a small, trapezoidal piece of land and designed with the stacks in the center of the structure, the 757,000 square feet of storage space could not provide for expansion.

- Archives II in College Park, Maryland, the largest structure so far constructed in the world to house and manage archival documentation. Dedicated in 1994, the building of 1.7 million square feet of floor
Where Function Meets Form

space provides office and 691,000 square feet of storage space for the National Archives and Records Administration, which decades earlier had expanded beyond the capacity of Archives I. Breaking with the traditional central search room as the only one, Archives II serves its users in multiple search rooms, most of which have materials available by format such as maps, photographs, and machine-readable records.

The Lyndon Baines Johnson Library and Museum in Austin, Texas. In its Great Hall, this presidential archival facility presents the majesty and magnitude of modern archives in the most impressive manner of any structure yet designed. First, the building positions the museum visitor to look up to four floors of shelves of records. After moving through a series of exhibits in a hall of normal ceiling height, the visitor turns to come upon a stairway that directs one's gaze up to the floors of records which compose most of one wall of a multistory atrium. Second, every box visible to the viewer is covered in a bright red buckram book cloth and is adorned with a substantial gold seal. The brilliance of the unique scene is inescapable. Indeed, architects of the presidential library of Jimmy Carter incorporated into the design of the Carter Center in Atlanta a scaled down, but still imposing, view of three floors of multitudes of boxes of files. From the perspective of the workspace of the archival staff, the Johnson Library building was badly designed, as it anticipated processing archivists being scattered individually on each stack floor. Presently housed on the floor above the stacks, the archivists still are isolated.

The Massachusetts State Archives. From the outside, the building exhibits lines reminiscent of a fort, as the inspiration for its design was the forts constructed around Boston Harbor. Inside the 1986 building, storage space is maximized by building
shelves up, not just compacting them on floor level. Stacks in the Massachusetts State Archives building reach a height of forty feet and are accessible by fork-lift. This is the earliest instance we have found in which maximizing storage capacity has been treated as more important than the ability of the archivist to walk or climb to the material on the shelf.

For each archives in a purpose-built structure, there is an archives in all or part of a building renovated to house it. This approach to accommodating the archival enterprise has characterized archival structures of the twentieth century in the United States. Examples of adaptations include:

- the Southwest Arkansas Regional Archives in a renovated house in Washington, Arkansas;
- one facility of the American Heritage Center at the University of Wyoming located in a renovated grocery store;
- the Utah Historical Society located in a former railroad station;
- the former home of the State Archives of New Mexico in a wool shipping facility;
- the Municipal Archives of Nashville, Tennessee, in a renovated public school building;
- the former home of the Municipal Archives of the City of New York located in an adapted storefront building;
- the archives of the King Ranch located first in a former schoolhouse, then in a former icehouse;
- the Austin History Center in the former Austin Public Library building;
- the archives of the University of Puerto Rico located under the football stadium; and
- numerous university archives situated in adapted space in other buildings, as the Southern Labor Archives of Georgia State University located formerly in part of a renovated auditorium.
A number of multipurpose buildings have been constructed in which space to serve archival purposes has been part of the original design. One could point to:

- facilities for state archives in Alabama, California, Florida, Kentucky, Minnesota, New Mexico, New York, Ohio, Pennsylvania, Tennessee, South Carolina, Texas, and Wisconsin; and
- buildings planned and constructed to house both libraries and archives on innumerable university campuses.

Perhaps the most interesting of all is that it just may be that the twentieth century, in which so many structures have been made over to serve as archival repositories, nevertheless holds the distinction of seeing a higher percentage of architecturally designed and purpose-built archival structures than any century of the previous millennium or two. Examples from the United States include:

- Archives I and Archives II of the National Archives;
- state archives buildings of Georgia (present and planned), Illinois, Louisiana, Maryland, Massachusetts, Michigan, Mississippi, North Carolina, South Carolina, and Virginia; and
- the Southwest Collection building on the campus of Texas Tech University in Lubbock.

Examples from abroad include:

- The General State Archives of the Netherlands;
- The Archives of the Russian Far East in Vladivostok;
- The Municipal Archives of Beijing, China;
- The Tianjin Municipal Archives, Tianjin, China; and
- The Regional Archives in Cluj, Romania.

**Conclusion**

Buildings are the most visible manifestation of thinking about the process of archival work. For all of the differences around the world—some large, most relatively small—in archival concepts and processes, the buildings in which the archival enterprise has been pursued reflect a substan-
tial commonality. For one thing, considering the unique nature of archival work, remarkably few of the buildings are built exclusively to accommodate the archival enterprise. Until the nineteenth century, this may reflect only that the purpose of the archival facility was simply to house records and that the volume of records to be housed was small. Since then, this fact seems to be a commentary on the value accorded to archival enterprise by those controlling the resources necessary to provide space. Certainly, it is no indication of the way in which archivists think of the space appropriate for their work. For another thing, happily, the progression of building design from storage alone to accommodation of users in the facility reflects the progress of societal concepts of archives from documents maintained by and for institutions—principally governments, churches, and universities—to records that are the heritage of and open to the use of the general public. This is a late development, however, in the history of structures that accommodate archival operations.
Curious in light of the ubiquity of buildings housing archives is how little systematic study has been done of them. The practical bent of archivists that has produced countless articles and monographs on ways of performing archival functions has yet to concentrate on the layout of and workflow within archival buildings or ways of using the building to showcase either archival work or the contribution of archival enterprise to the functioning of society. Little has been written about materials appropriate or inappropriate for use in archival structures or about ways of communicating effectively with architects. And this lack is


hardly confined to the United States.

Perhaps most glaring is that none of what has been written looks ahead in an effort to conceive possible forms appropriate for a structure housing archives of, say, even just a decade hence. Only a small handful of books and articles do more than simply describe and picture archival structures. Much more needs to be done, and especially in our time when the advent of electronic records presages a change in the use of space in archival facilities. We urge archivists and the architects who work with them to enrich our literature with

- accounts of their experiences in the past,
- recommendations for meeting the needs of the present, and
- anticipations for the nature of archival structures of the future, focusing especially on the functions to be served and the workflow to be facilitated within the structure.  

David B. Gracy II is the Governor Bill Daniel Professor in Archival Enterprise at the School of Information in the University of Texas at Austin. Rebecca E. Kyle, Erin R. Lawrimore, Rebecca E. Romanchuk, and Stephen A. Naron are students in the Archival Enterprise program of the School of Information, the University of Texas at Austin.

19 The authors invite readers to send information and comments regarding archival structures to build a resource that can serve as the basis of studies that the profession presently lacks. Contact David B. Gracy II, School of Information, 1 University Station D 7000, University of Texas at Austin, Austin, TX 78712–0390; gracy@ischool.utexas.edu or 512–471–8291.
REVIEW


This recently published volume edited by Randall C. Jimerson brings together twenty-eight articles published in various archival journals over the last fifteen years. Twenty of these articles are reprinted from the American Archivist, five from Archivaria, two from Archival Issues, and one from Electronic Records Management Program Strategies. Jimerson sees this work as a supplement, a sequel and not a replacement, to A Modern Archives Reader, edited by Maygene Daniels and Timothy Walch, and Canadian Archival Studies and the Rediscovery of Provenance, edited by Tom Nesmith. It also is not intended to be a basic manual and does not replace the fundamental manuals of the Society of American Archivists. He stresses that the selection is his own and the reader must take it on those
terms. This reviewer will not quibble with his choices. Each of us has a “short list” of pertinent professional literature.

What distinguish this compilation are the thoughtful essays Jimerson has written. A long introduction traces the paths, priorities, and growth of the archives profession over the last twenty years. It sets the context and explains his selection of articles. It alone is worth reading.

The book is divided into nine sections (in addition to the Introduction), with no more than four articles, within each. It includes theory and practice, history and management. The spectrum of archives work is reflected in the chapter headings: Understanding Archives and Archivists, Archival History, Selection and Documentation, Appraisal, Arrangement and Description, Reference and Use of Archives, Preservation, Electronic Records, and Management. A brief introduction to each section sets the context for the topic and his justification for the particular articles within it.

The articles provide important perspectives both on basic elements of archival practice and on fundamental principles in archival theory and methodology. This is a useful volume that deserves a place on every archivist’s bookshelf. Not everyone reads the American Archivist or has every issue for the last fifteen years and not everyone has access to the journals with a smaller distribution. It is a contribution to the profession to have such a periodic review of the literature.

Cynthia Pease Miller
Archivist
U. S. Senator Daniel P. Moynihan

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When is a letter not a letter? After reading Joe Nickell's Pen, Ink & Evidence, the enormity of antiquity comes to bear. The history of handwriting in all of its forms is collected in a handsome hardback volume packed with vast amounts of exceptionally well-documented information, including numerous black and white photographs and several "recipes." How to make ink: crush oak galls with mortar and pestle and....

Nickell's work not only is a testimony to the most thorough of research but also is such an attractive presentation it is the perfect coffee-table book. However, unlike most coffee-table books, Pen, Ink & Evidence is not a work one can just skim through. It is easy to become so immersed in the detail Nickell fills in every sentence, to find only a few pages have been read in the space of an hour.

The work is divided into five sections: "Writing Instruments," "Ink," "Paper," "Writing," and "Examining Documents." Each of the five sections is divided into subsequent sections with the three appendices being nice references to the historian, archivist, or interested reader. Appendix 1 gives examples of various eighteenth-century scripts. Appendix 2 gives the chronology of writing and writing materials; and for the sleuth, Appendix 3 discusses laboratory identification of pens, inks and papers.

Each section is chronologically organized. Organized under "Writing Instruments" are The Quill, Durable Pens, Reservoir Pens, and The Pencil. The reader can never look at eighteenth and nineteenth-century letters quite the same again after reading about how to cut a quill. Photographs and directions for how to cut a quill are a temptation to put down the book to see if the reader can follow the book's directions.
Examples from a wide gamut of sources are sprinkled throughout his work in forms such as poetry, quotations, and lots of primary source material. The beauty of this work is that nothing is wasted; each poem, quotation, account, or piece of trivia has purpose. The density of this two-hundred-plus-page volume can be attributed to the author leaving seemingly no questions unanswered. In discussing ink erasers, Nickell starts at the nascent attempts of correcting mistakes with a simple “sharp knife” and ends with answering the reader’s question, “What about today?” by discussing “the laser eraser—a pulsed laser beam that is absorbed by the ink, which is vaporized and burned away, while the paper is uninjured.”

Of particular interest to the archivist is Section 8: “Papermaking.” Complete with a “how-to” on hand papermaking, this section tackles various types of paper and problems attributed to certain forms of paper. Full of tantalizing trivia facts for history buffs, a plethora of tidbits fill the book’s pages—“Paper was first used in England in 1309 and soon become common, although it was not made there until 1495,” and “By the mid-1830s machine-made paper had become relatively common, and the United States was the world’s dominant paper-producing country.”

Each section in this work is worthy of commendation; however, for the archivist Part Five: “Examining Documents” is especially exhilarating. Decipherment, Age Determination and Questioned Documents tackle issues common to the archivist/historian investigator. Particularly fascinating is Nickell’s section on questioned documents. Nickell, a former professional investigator, brings under the microscope issues such as forgery, handwriting identification, “genuine fakes,” and laboratory analysis.
Pen, Ink & Evidence provides an invaluable resource to understanding the creation and use of the historical record. Not only is it a useful tool for comprehension of the records in an archivist's care but also is fascinating reading for the general public.

Penny Cliff  
Director/Archivist  
Thomaston-Upson (Georgia) Archives  

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In recent years, we have witnessed dramatic changes in how users access information. Libraries and archives are interested in learning how to digitize their collections and make them more accessible through enhanced Internet presence. Due to the ever-changing digital landscape, institutions need to think critically and make informed decisions on where and how they fit in.

Moving Theory into Practice: Digital Imaging for Libraries and Archives, a primer on digital imaging projects, is the latest offering from Cornell University, which remains one of the leaders in imaging practice and research. While many publications on digital topics focus on theory, Kenney and Reiger also provide practical advice on selection, digitization, quality control, metadata creation, image processing, systems building, access, preservation, and management. The book is intended to provide a methodology of decision making, so that institutions can responsibly set guidelines, taking into consideration their own criteria and resources, and basing these guidelines on standards and
best practice. Throughout the text the notion of continued resource management of digital files—looking at these files as institutional assets and not merely surrogates—is emphasized.

The book draws on the expertise of the authors as well as the experience of some of the most knowledgeable practitioners in the field. Many of these experts have contributed articles that are included in the text as sidebars. The format of the sidebars is a little distracting, but they provide more in-depth information on topics, such as copyright, interpreting equipment specifications, OCR technology, outsourcing, and production tracking.

Moving Theory into Practice, a companion to the weeklong workshop of the same title at Cornell University and a follow-up to Kenney and Steve Chapman’s 1996 publication Digital Imaging for Libraries and Archives, provides the tools to develop a program appropriate to an institution’s needs. The book is required reading for any institution embarking on a digital imaging project.

Tina Mason
Preservation Education Officer
Southeastern Library Network

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Michael Fox’s EAD Cookbook, available on the Society of American Archivists EAD Roundtable web site <http://jefferson.village.virginia.edu/ead/cookbookhelp.html>, is a suite of tools to enable repositories both to mount web-viewable encoded finding aids and to create suitable print
versions. Divided into eight parts, the *Cookbook* provides a brief overview of the suite; a discussion of the principles behind the encoding schema; the protocol itself; an overview of the supported authoring software (XMetal version 1.2, Author/Editor, or WordPerfect 9) as well as software-specific macros and programs; instructions for converting SGML files to XML; an overview of the XSL stylesheets provided with the package; the steps needed to transform the XML files into more universally viewable HTML; and finally, a section on additional methods to provide online delivery.

According to Fox, the *Cookbook* was designed to facilitate the transport of data between systems, the creation of union catalogs of finding aids, the use of the data for multiple purpose (i.e. the creation of MARC records from a marked-up inventory); online navigation within inventories themselves, and the presentation online and in print. Tested by volunteers, the *Cookbook*’s suggested encoding standards are based upon the practices of the Library of Congress and the Minnesota Historical Society, the *EAD Application Guidelines*, and suggestions made by reviewers. The conventions and stylesheets created for the *Cookbook* are intended for encoding inventories of collections of papers or records divided into series rather than those containing subgroups. For more complexly arranged collections such as those containing subgroups, encoders will need to alter the provided stylesheets.

In his instructions, Fox provides an element-by-element description detailing the proper method for marking up an inventory; however, he does not often cite precedents for his encoding decisions. The conventions found within the *Cookbook* do not allow for the use of the `<frontmatter>` element, and the templates (one for personal papers and one for organizational records) also do not currently include provisions for edition statements, notations about changes to the inventory or explications about the encoding methods employed by the repository. By encouraging the use of
the MARC21 encoding analogs, Fox allows for the transformation of the finding aids into MARC records. In addition, the stylesheets are designed to convert selected encoded data into metatags that would facilitate online retrieval through the use of many common search engines.

The *Cookbook*’s instructions are clearly and simply written to assist the novice encoder. For the most part, steps are transparent and complete. For example, in the section of authoring software, Fox includes installation procedures, customizations, macros, and templates for each of the supported packages. On the other hand, in the sections on transforming documents, more information or links on DOS commands may have been helpful to those less than familiar with the DOS environment. Additionally, references to resources that summarize the structure of XSL stylesheets would have been beneficial for new users interested in their modification. Fox’s inclusion of a sample XML document and the outputs from the various stylesheets allows readers to analyze their own inventories and encoding decisions in the light of the provided samples. The XSL stylesheets are annotated, and Fox actively requests feedback from users and adjusts them accordingly. All in all, the *Cookbook* is an excellent tool for the lone or novice encoder.

Sheila McAlister  
Digital Metadata Coordinator  
Digital Library of Georgia  
The University of Georgia Libraries

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The Northeast Document Conservation Center's Handbook for Digital Projects: A Management Tool for Preservation and Access is an important new publication of interest to any institution involved in or considering a digital project of any kind. Following the curricula of the popular “School for Scanning” workshop series, the book provides an in-depth analysis of both the management and technical issues involved in digitization.

As would be expected of a book of this nature, the Handbook for Digital Projects provides an excellent overview of the technology and processes involved in digitization. Steven Puglia's Technical Primer chapter provides detailed information on scanner technology, resolution, color systems, image processing, and compression. The next chapter includes information on best practices from a number of sources, detailing guidelines for printed text and manuscripts, photographs, maps, microfilm and working with OCR. Also included is a brief overview of the advantages and pitfalls of cooperative imaging projects.

The most valuable sections of the Handbook for Digital Projects, however, cover information not found elsewhere. Diane Vogt-O'Connor's chapter on selection of materials for scanning provides a ready-to-use framework for the nomination, evaluation, and prioritization of materials to digitize in addition to covering the complex issues involved in the selection process. The chapter includes detailed examples that fully and clearly explain how the process works in action. Nomination and selection forms and an invaluable checklist for evaluation of collections are also included. In her chapter on vendor relations, Janet Gertz considers the benefits and downsides of working with out-
side vendors in digital projects. Most importantly, she provides a checklist on how to choose services and vendors and detailed information on the Request for Information (RFI) and Request for Proposal (RFP), including checklists of what to include in each and how to evaluate vendor responses. Further, writing contracts, working and communicating with vendors, and quality control processes are discussed in detail.

A strong focus of the NEDCC manual is the preservation of digital materials. In his chapter "Overview: Rationale for Digitization and Preservation," Paul Conway emphasizes the importance of preserving the digital products created by digitization processes as well as the access to those products. In a later chapter, Howard Besser characterizes the problems inherent in maintaining digital information and suggests paths to improving digital longevity through preservation techniques and adequate metadata.

Although Besser’s chapter makes a brief reference to preservation metadata, the book is unfortunately very weak in the important area of metadata, omitting a detailed overview of descriptive, administrative, and structural metadata for digital projects. Likewise, although digital imaging technologies and best practice development are well covered, image management systems and methods of making images, texts, and metadata available to users do not receive the attention these important areas deserve.

As stated in the preface, the goal of the book was to create “an easy-to-use primer focused on meeting the information needs of libraries, museums, archives and other collection-holding institutions.” It succeeds at this goal, providing very clear and extremely useful information in an accessible manner while avoiding a simplistic treatment of the technical and policy issues underpinning digitization. Although it lacks substantial information on the important
areas of metadata and delivery methods, the inclusion of such valuable information and guidelines on selecting materials and working with vendors makes the *Handbook for Digital Projects* an excellent addition to the literature on digitization.

Stephen Miller  
Director, Digital Library of Georgia  
The University of Georgia Libraries  

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The word “Stories” belies the heavily researched, footnoted, and documented work that Rosenblum offers us. For each of his infamous forger subjects, he obviously immersed himself with each person’s chronicle, so that we the readers can surround ourselves with the lives, environments and historical milieus of these criminal practitioners. The author carefully delineates the “reasons,” which can frequently be read as “excuses” for this particular form of chicanery, and yet as these “stories” unfold, the reader senses a blending of the whys of literary forgeries.

Rosenblum provides a synopsis account of literary forgery “from antiquity to 1700” before he launches us into individual’s stories, and this illustrates the uncertainty of dealing with “ancient history,” as errors are perpetuated and layered into later periods. One can picture sedimentary rocks covering a geological “inaccuracy” or fault until an historian or archivist breaks the underlying falsehood loose at a later date. The author does, however, capture the wisely acquired fear of all in the archival profession today that we will misattribute some item or pronounce a signa-
ture or writing “genuine,” when it is actually an ersatz product.

“David the Armenian,” mentioned in Rosenblum’s introduction, posits several reasons for forgery, including the thrill of deception, monetary gain, and the supply of perceived demand. The author himself lists “religion” as a reason for such fakery, but this reason can be used to bolster a belief’s adherents through the manufacture of supposedly sacred writings or such a “discovery” can add controversial material to a stew pot of beliefs as with Hoffman’s “addition” of a “Second Anointing Ceremony” to the literature of Mormonism. The “delight in deception,” seems to provide a portion of the motivation to “George Psalmanazar” for his elaborate and entertaining eighteenth-century ruse of life as a Formosan, but the public’s complicity in wanting to believe in such Asiatic, exotic renderings lends a major hand to this symbiotic falsity. “Psalmanazar” also preyed on the readership’s ignorance of any Formosan facts, including basic geography.

“Delighting in deception” also seems to give a definite “edge” to several forgers, as they were very scantily educated, having had to leave school because of lacking familial funds. This motivation is almost definitely preceded by Rosenblum’s mentioned need to make money, but this reviewer observes, a need to make money married to an unwillingness to engage in honest labor. From Practice, forgers do not seem to launch themselves fully formed, but they develop incrementally, with the “cooperation” of an audience. Although a concept not mentioned by Rosenblum, literary forgers of the past could be described as entertainers, or even script-laden “jesters.” At times, the forger attempts to pull back from falsehood, as with James Macpherson, the fabricator of verse and lyrics supposedly gathered on “field trips” into the Scottish highlands, who would seem to resist “production” until prevailed upon by a demanding, and paying, public.
Rosenblum's work does not tell us how archival professionals can avoid being duped by literary forgers, but his carefully written chapter on each “practitioner” details his incremental development, and through these accounts we can envision “intervening” or “derailing” such activity. In October 1979, Mark William Hoffman sold a forged document to a “curator of special collections” (whose personal and repository names I have intentionally left unmentioned) for $60.00. Had this curator “put on the brakes” and submitted the possible purchase to a review committee, or delayed the purchase for a prescribed waiting time, such an “inexpensive” item might not have eventually become so very costly.

Annie Tilden
Library Resources Specialist
Library and information Center
Federal Reserve Bank of Atlanta

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Genealogical Research is a must-have volume for libraries and archives with genealogical collections as well as for individuals planning a research trip to the National Archives and Records Administration (NARA) or one of its thirteen branches. Superceding the 1985 edition, this volume brings Archives researchers into the twenty-first century by addressing Internet resources, by giving new descriptions of records held by NARA, and by listing citations to new microfilm publications. While some of these new resources, particularly the Archives web site and its NAIL
(National Archives Information Locator) research engine, have changed the way many do genealogical research, the need for this volume remains strong. Being familiar with the contents of this volume will enable researchers and reference staff at archives and genealogical libraries everywhere to get the most out of time spent with National Archives records.

As this volume makes clear in its introduction, this is not a “how-to-do-genealogy” book. This is, instead, a detailed guide to help one prepare to use federal records. Chapters focus on a variety of topics, from widely available census, passenger arrival and naturalization records, and military service and pension files to lesser-known materials relating to particular groups, such as files about Native Americans, African Americans, Merchant Seamen, and civilians affected by wartime actions. Land records and maps are also described. Each chapter is extensively illustrated and provides bibliographic citations and tips on where to look for additional information.

This volume contains much expected information, such as detailed lists of what is included in each census and guides for using soundex indexes of the census. Equally important are examinations of the unexpected, at least to those who do not use federal records on a daily basis. For instance, records of Confederate soldiers can be found outside the South—files should be found both in the state they served and at the National Archives. Additionally, most of the records in the National Archives date after the establishment of the United States of America. Records from the early settlement of the Americas and from the colonial period are found in other repositories.

The primary shortcoming of this volume is that it is a published book. The Internet and rapidly developing technology and resources help make this volume outdated just months after its publication. For instance, the Ellis Island web site, which provides an important new gateway to immigration records, debuted soon after this volume became
available and made searching for many first-generation ancestors much easier. The 1930 population census will be in microfilm rooms across the nation in April 2002, but is not mentioned since it was not available at the time of publication. New indexes and guides to research are being added to NAIL at <http://www.nara.gov> while sources like the 1880 National Census and Index published by the Church of Latter Day Saints are changing the way one does research.

While these new resources make this reference volume dated at the time of its publication, this does not lessen the value and importance of this volume. Successful researchers and reference staff will be able to find additional information about federal records and to learn how to interpret findings. A copy of Genealogical Research in the National Archives of the United States should be found in every local history and genealogy library and should be studied by everyone searching for ancestors or helping genealogists and local historians.

Kaye Lanning Minchew
Director
Troup County (Georgia) Archives
INFORMATION FOR CONTRIBUTORS

David B. Gracy II Award
A one-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.

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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.

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Use of terms which have special meaning for archivists, manuscripts curators, and records managers should conform to the definitions in Lewis J. Bellardo and Lynn Lady Bellardo, compilers, *A Glossary for Archivists, Manuscripts Curators, and Records Managers* (Chicago: SAA, 1992). Copies of this glossary may be purchased from the Society of American Archivists, 527 S. Wells Street, 5th Floor, Chicago, IL 60607.
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