Archives Final Exam

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Archives and Manuscripts
LIBR256-01 – Spring 2010

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Part One – Multiple Choice Questions

1. *It has been said that ‘The French Revolution mark[ed] the beginning of a new era in archives administration.’ Which of the following developments makes the French Revolution such a watershed in archival history?*

   - [x] 1) It was during this time that the principle of the accessibility of archival records to the public was established.
   - [ ] 2) Beginning in 1789, government offices initiated the practice of permanently retaining both incoming and outgoing copies of official correspondence.
   - [ ] 3) French archivists from that period established the theory that archival records should be appraised on the basis of evidential and informational value.
   - [ ] 4) It marked the first time that a government agency codified the different roles of public librarians and archivists who keep public records.

2. *The five levels of arrangement are:*

   - [ ] 1) division, department, unit, office, and carton
   - [x] 2) repository, record group, series, file unit, and item
   - [ ] 3) alphabetical, chronological, geographical, subject, and numerical
   - [ ] 4) series, sub-series, carton, folder, and item

3. *The reason for restricting access due to content is:*

   - [ ] 1) judicial confidentiality.
   - [ ] 2) national security.
   - [x] 3) privacy, business information, personnel data, investigative information, and statute.
   - [ ] 4) fear of invasion or attack.

4. *The newly hired archivist of a local historical society in a town of 10,000 people wishes to raise funds for its programs. The first step is to:*

   - [ ] 1) send a letter of appeal to members of the community.
   - [ ] 2) set up an advisory board of community members.
   - [x] 3) assess the institution’s mission and establish strategic goals and objectives.
4) submit a grant proposal to a government agency or local foundation.

5. Which of the following information files maintained by archives should NOT be made available to the public unless required by law?

- 1) User statistics
- 2) Acquisition lists
- 3) User call slips
- 4) Shelf lists

6. A university archivist receives from a professor a carton of correspondence, news clippings, broadsides, and annotated Faculty Senate reports, all concerning campus unrest during the Vietnam War era. The archives already holds materials on this subject in the personal papers of another professor and in a series of records titled ‘Student Protests’ in the President’s Office record group. The preferred procedure would be to

- 1) arrange and describe the new materials as a separate collection.
- 2) combine all the materials relating to student protests into one collection.
- 3) combine the papers of both professors, weeding out duplicate items for the vertical file.
- 4) place the broadsides in the Broadsides Collection, add the Faculty Senate reports to the Faculty Senate record group, and then process the remaining papers as a separate collection.
7. Which of the following is the MOST accurate definition of MARC for Archives?

X 1) It is a set of fields that can be used in either manual or automated systems to record information about archival and manuscript collections.

☐ 2) It is an automated system used for inputting and processing information about archival and manuscript collections.

☐ 3) It is an automated method used to catalog archival and manuscript collections, cartographic records, and visual materials.

☐ 4) It is a software program that is widely used in the arrangement and description of archival and manuscript collections.

8. The principle that archives of a given records creator must NOT be intermingled with those of other records creators is called:

X 1) provenance

☐ 2) continuous custody

☐ 3) evidential value

☐ 4) original order

9. A collection of historical documents culled from various sources, or records of a particular activity or function not related to the organization maintaining the collection, is referred to as a:

☐ 1. national archives.

X 2. private archives.

☐ 3. library.

☐ 4. records center.

☐ 5. manuscript collection.
10. The life cycle concept of a record is best defined as
☐ 1. controlling the reproduction of records.
☒ 2. control over the creation, usage, maintenance, retention, preservation, or disposition of records.
☐ 3. controlling creation.
☐ 4. controlling disposition.
☐ 5. none of the above.

11. Many of the archival principles upon which modern archives management are based originated from the writings of
☐ 1. General Services Administration.
☐ 2. National Archives of Canada.
☒ 3. Theodore Schellenberg.
☐ 4. University archives.

12. A group of intangible rights that protect creative works, including copyright, trademarks, and patents is _____ property.
☐ 1. cultural
☐ 2. mandated
☐ 3. international
☐ 4. lucrative
☒ 5. intellectual
13. *The record copy is also known as the ______ copy.*

X 1. duplicate  
☐ 2. transfer  
☐ 3. official  
☐ 4. secondary  
☐ 5. reference

14. *The concepts that serve as a framework for records appraisal are:*

☐ 1. cost and political considerations  
☐ 2. primary and secondary values  
☐ 3. research use  
☐ 4. the life-cycle model  
X 5. the local collecting policy

15. *According to Greene & Meissner*

☐ 1. archivists spend too much time on photographic negativity  
☐ 2. archivists spend too much time on acidic houses  
☐ 3. archivists spend too much time on removing paperweights  
☐ 4. All of the above  
☐ 5. None of the above  
X 6. Some of the above
Part Two – Question I – Managing an Archives

Mission Statement

To create a world-class archive that will serve the research needs of the faculty, students and staff of Bosler College, as well as provide an important resource to researchers who live in the immediate Bosler College community, as well nationwide and internationally.

Goals and Objectives

My first priority would be to develop a collections policy, which I would do based on consultation with an advisory board comprised of administration officials and faculty at the college. Based on the policy, I would organize the collection into a coherent whole, following principles of provenance as well as theories developed by Schellenberg and Boles, including weeding out items as warranted. The card catalogue would be replaced with digital records incorporated into the library’s existing OPAC. I would initiate a fundraising campaign whose goal would be to create awareness of the archives, as well as provide funds for future archival development.

Estimate Of Staffing, Equipment, Supplies And Storage Needs

As this is a small college, I don’t expect to be able to hire a lot of additional staff. By hiring either one additional full-time staff member or two additional part-time students on work/study programs I estimate that we could process the entire backlog within two to three years. I would need one computer for each staff person, one to be shared by the part-time students, electronic storage devices (hard drives, CD-ROMS, DVD-ROMS, flash drives and servers) and two scanners to allow for simultaneous digital processing and to digitize items to create an accessible online archive. The processing
software that we use would need to be up-to-date. I would also need acid-free storage boxes, archival supplies, shelving and file cabinets for paperwork and records relating to the business of the archives (as distinct from the collection itself), as well as flat files for storing larger items such as posters, maps, blueprints or plans that belong to the collections, though purchase of this equipment would be based on need, and based on an initial assessment of the archives. I would also need to designate processing areas as distinct from the storage areas. Storage areas may need to be climate controlled depending on the nature of the materials they contain.

General Budget Needs And Potential Creative Solutions

General budget needs include storage equipment, rent for storage space if I need to secure storage space in a building that is controlled by another department, computer equipment and software, processing equipment and materials, basic office supplies, desks and other office furniture (though only if the existing ones need to be replaced) and staff salaries, especially if I wish to hire an additional archivist or part-time student.

Another budget category would be marketing. This would include the creation of press kits, brochures, and other promotional printed and electronic materials, institutional membership in the Society of American Archivists, publication of our collection policy in professional journals, and possible travel to professional meetings to create a broader awareness of the archives.

The college’s development office would be the best resource for guidance in developing a fundraising campaign, including providing information on individuals and organizations that have contributed to the library and college in the past. The archives would need its own fundraising campaign distinct from the library, as its needs are
unique, and as a means of creating awareness of the archives as a unique entity. We would need both an annual campaign to meet recurring expenses (such as salaries, rent, utilities and office supplies), and a capital campaign to raise funds for computer equipment, storage equipment (such as shelving, filing systems and climate-controlled facilities). I would also identify sources of grant support. I would also ask the development office for help in identifying potential new sources of grant support that we had not previously utilized. Assuming that the archives has limited funds with which to work, I think that hiring an outside consultant may not be feasible, though I would not rule out the option, especially as staff time both within the archive and within the development office may be limited.

I would check to see if any of the donors to our collections are included in the list of past donors of funding so that I could ensure that we don’t inadvertently request funding support from them.

Gaining Control Over The Current Collections And Building In The Future

First, I would call a halt to any expansion of the collection or further acquisitions until I had done a complete assessment of the materials currently in them, which I estimate would take approximately six months. I would determine the categories of the materials as well as their contents so that I could prepare a report for the College Librarian. Even though the “subject areas” were created to entice donors, I would see if they would actually be useful for the purposes of categorizing both existing materials and future acquisitions. I would eliminate some subject categories and create new ones as needed based on the nature of the materials.
I would invite key administration members, the college librarian, representative faculty and administrators from each of the departments and representatives from the college’s alumni board to create an advisory board for the archives to outline the current nature of the collections and determine the college’s vision for future collection activities. I would want to know what kinds of materials the college thinks are important, so we can focus on those kinds of materials in the future. The advisory board would meet periodically, and from these meetings I would develop a comprehensive collections policy, which I would then submit to the board for approval before implementing it.

After approval of the collections policy, my staff and I would process the existing materials. Given the total number of full-time staff (two) plus the part-time student, I would conservatively estimate that it would take approximately two to three years to process the entire collection (based on a rate of approximately 14.1 hours to for a full-time archivist to process one cubic foot of material). This would include creating OPAC entries and finding aids. If there are materials currently residing in the collection that we determine do not fit into our collecting policy, we could find homes for them in other archives that currently collect those materials, or be mark them for future disposition.

While the collections policy would guide acquisitions of new material, I feel that a first step would be to create awareness of the collection. One way this can be done is by conducting surveys of the various college departments to assess their records. If the records we find fit into our collection policy, we would encourage the holders of these records to donate them to the archive.

Our fundraising campaigns would be a good way to raise awareness. It would be good to have a representative sample of fully processed materials as an example not only
of our collections, but to demonstrate that our archives would be a good home for those
who wish to donate their records (provided they fit within our collecting scope). I would
work with local and regional historical societies and make them aware of our collection
policy, and encourage them to disseminate this information. Even though we could begin
to acquire new materials (based on their availability and our collection policy),
processing of the backlog would take priority over processing any new acquisitions.

Access And Outreach Goals

Access would be open to the public with priority given to researchers, college
faculty and students. I would apply for institutional membership in the Society of
American Archivists, as well as create press kits that could be mailed to individuals or
institutions that have been identified as potential donors. I would create an “invitation to
donate” notice to be published in professional journals such as The American Archivist.

As our archives develop and become more coherent and accessible – and
therefore presentable – I would work with the library board to find ways to integrate the
archive into campus tours for prospective students and their parents, as well as orientation
for newly arriving students. A recent trend in academia is integrated curriculum, in
which librarians work with faculty to integrate library use and information literacy skills
into curricula. Many colleges are starting to require information literacy skills as a
requirement for graduation. I would work with the library staff and faculty to see if there
is a way that the archives could be similarly incorporated. As we process the backlog, we
could promote the archives by creating special exhibits, particularly of items that are not
normally seen by the public. I would make sure these exhibits are advertised widely on
campus, in the community, and in professional publications, as well as online.
Part Two – Question II – Copyright and Privacy

Should you use the image?

I would use the photo, but not as originally intended, that is to illustrate the Rural Electrification Privatization and Decentralization Act (REPDA) of 1995. However, in order to do so, I would follow certain precautions.

Legal Issues

The first issue is the question of copyright. It would be permissible to use the photo under the terms of fair use, as it is being used for purposes of scholarship and research, and not for a commercial purpose. As there is no attribution or copyright permission information, the photo could be classified as an orphaned work under the terms of the Orphaned Works Act of 2006, meaning that it might be reproduced, as long as I file a use notice with the Copyright Office, though the “frantic last-minute” nature of the search for photos indicates that there may not be time to file a copyright notice, much less determine who the creator of the photo may be. There may not be enough time to communicate with – or possibly even locate – the THC website’s owners before the exhibit is due to open, meaning there would not be enough time to do due diligence on the provenance of the photo prior to the exhibit, though I could them to notify them of my intention to use the photo as well as my intention to cite them as the source of the photo.

According to the Digital Millennium Copyright Act of 1998, digital copies of unpublished photos cannot be distributed outside of the premises of a library or archives. This means it would not be permissible to post such an image on a website that has unrestricted access by the public. Archival exhibits such as the one in question are intended for public consumption, meaning it would not be appropriate to restrict access to
the website for the purposes of protecting this photo, though it may be possible to print a hard copy for use in the physical exhibit.

Ethical Issues

There are two main ethical issues at play in this case. The first one is that I am consciously aware that the subject matter of the photo is clearly not related to the subject (the legislation). Placing the photo in the context of the legislation would be confusing to researchers and other users as would misrepresent the photo, and might have the effect of misleading those who view it. Knowingly using information that I know to be incorrect is dishonest, and may cast the reputation of the archives in a bad light were the truth to be made known.

It may be possible to locate it in a section of the exhibit that relates to the senator’s life in general. If I were to do so, I would indicate that I found the photo at the THC website, and describe the photo along the lines of “Senator Worthington with aide and unknown people, date of photo unknown.”

The second ethical issue is that of privacy. The photo is described as being a “group photo”, though it is not clear whether or not the people in the photo were posing. If they were, then there would have been a tacit permission on their part to be photographed. Also, as the photo is of a senator, who is a public figure, it would be reasonable to expect that the photo could eventually be reproduced in order to document the senator’s activities in the course of his official duties. The fact that the senator’s aide is wearing her nametag would indicate that she was there in her official capacity as well, even though senators’ aides may not usually pose for official pictures. I would therefore say that the other people in the photo, including the senator’s aide would not have
reasonable expectation of privacy if the picture were taken in the course of the senator’s official duties.

Asking For Copyright Permission

According to the principles of fair use is it not necessary to ask permission. However, I feel that it is still a good idea to contact the owners of the website, state the intentions for use, and indicate that I would cite them as the original possessors of the photo, as they are the only one who I know to be original possessors of the photo. Furthermore, as this may be an orphaned work, I would file a use notice with the Copyright Office stating the circumstances in which I used the photo. I do not feel that there is a need to ask the senator for permission (or his estate, if he is deceased) as he is a public figure serving in a public capacity, and therefore does not have the same privacy protections as private citizens.

I would go through these extra steps to provide a record of my intended use of the photo, both in case one may be required for legal purposes either by me or by future curators of the archive, and also for future researchers and scholars who may wish to use the photo and would like information about it.

Altering the photo

Assuming that the photo was taken in the course of the senator’s official duties, I don’t feel that it would be necessary to alter the photo. However, I may choose to do so for aesthetic reasons, in which case I would crop the picture to show just the senator, as digitally blurring the aide’s nametag would be sloppy. I would label the photo in such a way (such as “photographic illustration”) to indicate that it was adapted or extracted from a previous photo.
Conclusion

I would use the photo, but not to illustrate the legislation, as I am aware that it does not pertain to the legislation. There is no need to ask for copyright permission, as I would be using it under the terms of fair use, namely for purposes of scholarship and research. However, I would not use a digital copy, as it is an unpublished work, but would instead use a hard copy in the physical exhibit. While it is not necessary to ask for copyright permission under the terms of fair use, I would still make a full-faith effort to contact the owners of the website where it was found to notify them of my intention to use it and the purposes for which it would be used. I would cite the website as the origin of the photo, and would indicate that the photo contained an image of the senator, his aide and unknown others, taken at an unknown date. If the photo were taken in the course of the senator’s official activities, and if it was indeed a posed photo, then the individuals in it do not have a reasonable right to privacy as they are giving themselves permission to be photographed. Furthermore, they are not being portrayed in a manner that would be detrimental to their reputations or for that purpose. Were I to edit the photo for aesthetic reasons, I would still cite its origin.
References


