REVIEWS

Barbara L. Craig, Editor

ArtMARC Sourcebook: Cataloging Art, Architecture, and Their Visual Images

Edited by Linda McRae and Lynda S. White. Chicago: American Library Association, 1998. xii, 287 pp. ISBN 0-838907237.

Rules for the Construction of Personal, Place and Corporate Names

The National Council on Archives. London: The Council, 1997. Also available at <http://www.hmc.gov.uk/nca/title.htm>.

Standards for the Development of Archives Services in Ireland

The Society of Archivists Irish Region. Dublin: The Society, 1997. 116 pp. Ill. ISBN 0716526204.

Australian Standard AS 4390 Records Management

Standards Australia. Homebush, NSW: Standards Australia. 1996.

Standards permeate all facets of our lives. Standards make it possible to count our calories, to withdraw money from ATM machines, to buy goods with the money we withdraw, and to send messages via various telecommunication systems. Without them we would not have international communication, transcontinental train travel, or standard time zones. People rarely contemplate the important role standards play in their day-to-day lives, but mutually agreed-upon rules and specifications are a foundation of our modern civilization.

Standards take a number of different forms, but generally they are "the deliberate acceptance by a group of people having common interests or background of a quantifiable metric that influences their behavior and activities."[1]

[1] Carl F. Cargill, *Information Technology Standardization: Theory, Process, and Organizations* (Bedford, Mass.: Digital Press, 1989), 13.

There are essentially three types of standards: *de jure, de facto* and voluntary consensus standards. *De jure* standards emanate from legislative bodies and are regulatory in nature while *de facto* standards derive from particular products that dominate the market. Voluntary consensus standards emerge from cooperative ventures and usually reflect consensus building and compromise. Almost all archival standards are voluntary consensus standards.

Because standards emanate from people who have a common interest or background, they reflect the culture or professional bias of their creators. A standard generated by librarians may or may not be acceptable to archivists because it may have a book or library bias. Furthermore, an archival standard promulgated in one country may not be suitable for a region with different archival traditions, or a different juridical system. If an association or group wants to adopt a standard developed by a different profession or society, it should first study the standard and test its applicability to its own environment. The value of a standard or a best practice is not an absolute; it depends upon the culture and/or norms of the society or profession which evaluates it.

In the past, archivists have been somewhat skeptical about the feasibility of standardizing archival work, but during the last two decades they have become increasingly involved in, and concerned with, the standards setting process. Since the 1980s much effort has been focused on the development of national rules and standards for archival description in Canada, the United States, and Great Britain. Recently, Encoded Archival Description (EAD) has been widely acclaimed and accepted by the North American archival community, even though the guidelines for implementing EAD version 1.0 have only recently been published. Electronic records archivists also have called upon the profession to become involved in the larger standards setting process to ensure the long-term preservation of digital records. The importance of archival standards to the profession led the Society of American Archivists' Task Force on Organizational Effectiveness (TFOE) to recommend the establishment of a Standards Committee to "monitor standards developments by external bodies and propose areas where SAA should be involved in the development of standards, respond to requests from external bodies to participate in or endorse standards, and coordinate standards activities within the SAA."[2] Thus, the SAA envisions that the Standards Committee will oversee the development of standards, collaborate on standards projects with other groups, and endorse existing standards rather than undergo the costly exercise of developing their own standards from scratch. Archivists in North America realize the wastefulness of reinventing the wheel and acknowledge that they are not alone in the world of standards development. Therefore, most archival standards produced in the United States and Canada

[2] Society of American Archivists, Task Force on Organizational Effectiveness, "Final Report to SAA Council," (1997) available at <http://www.archivists.org/saagroups/taskforces/tfoe.html>.

have extended and modified standards promulgated by related professions such as library science, conservation, and information science.

Developing a framework in which to compare standards is an important precursor to assessing existing standards. In 1989 the Working Group on Standards for Archival Description proposed a matrix for understanding archival description standards. Their framework categorized standards according to three dimensions: strength of standards, primary development, and level of description. The strength of standards category included: 1) technical standards which are very restrictive and specific; 2) conventions and rules which result in similar but not identical products because they provide for local variations and practices; and 3) guidelines which outline general practice and service criteria and provide a tool which archivists can measure their practice against.[3] This matrix provides a helpful framework for appreciating and evaluating existing standards.

This review covers four standards: three drafted by archival and records management associations and one which discusses the use of the MARC standard to catalog original art objects and slides. These standards are volunteer consensus standards that represent the work of associations in Great Britain, Australia, and Ireland. The *Rules for the Construction of Personal, Place and Corporate Names* is a set of rules or conventions while the other three publications provide general guidelines and best practices against which archives can benchmark their products and services. Three of the publications were developed by archivists or records managers while one, the *ArtMARC Sourcebook,* was produced by librarians. These standards accentuate the need for further work and a strong foundation of research to evaluate the effectiveness of the standards.

The National Council of Archives' (NCA) *Rules for the Construction of Personal, Place and Corporate Names* is a set of rules that aims to assist "cataloguers of archives and manuscripts in forming names for persons, places and corporate bodies which are unique and readily available" (p. 4). Complying with these rules will result in establishing similar, but not identical forms of names because the rules allow for local variation and practice. Furthermore, the NCA rules leave the selection of access points up to local practice instead of providing guidance for this task as *Rules for Archival Description (RAD)* and *Archives, Personal Papers, and Manuscripts (APPM)*) do.[4]

The volume contains four chapters: the introduction, a chapter on constructing personal names which includes family names, one on forming place names, and finally, a chapter on creating names for corporate bodies. Each

[3] Working Group on Standards for Archival Description, "Report of the Working Group on Standards for Archival Description," *American Archivist* 52 (Fall 1989): 452–53.

[4] The only guidance from NCA on creating access points is provided in a footnote. The rule for handling change of name (4.2.3A) has a footnote stating that *APPM*'s rules that recommend using the most recent name of an organization as the main entry is not acceptable and that the alternative practice of establishing access points for all names of a corporate body as promulgated in *RAD* is preferred.

chapter that provides rules for establishing names begins with a list of the possible components for that type of name. For example, the second chapter states that a personal name can contain a surname, pre-title, forename(s), additional element of name, date(s), title, and/or an epithet. Each element is designated as mandatory, mandatory where applicable, or optional. These sections provide a very useful overview of the contents that each type of name can have. Each chapter also has an appendix which lists in full form all of the examples used in the chapter. The appendix to the chapter on place names also includes lists of reference sources for establishing place names in England, Scotland, Wales, and Ireland. The appendices to the chapter on corporate names contain guidelines for recognizing a new corporate body and a list of all examples used in the standard. The lists and guidelines supplement the rules and are an excellent addition that should help catalogers apply the standard more consistently.

The Council strove to maintain consistency with other related standards such as *AACR2* when drafting the rules. Nevertheless, they also endeavored to let individual repositories make any necessary optional additions. They also felt it was important to adapt some *AACR2* rules to reflect archival practice. When the rules deviate from *AACR2,* variations tend to be documented in footnotes. This results in a product that resembles, but is very different from, *AACR2.* For example, the NCA rules follow archival convention by telling the archivist to use the full form of a person's forename(s) even when the individual preferred to use his/her initials. The rules also make dates a mandatory addition to all personal names. At other times the rules deviate from *AACR2* to conform with British conventions. For example, *AACR2* informs the cataloger to base the selection of the entry element of a personal name on the country of origin of that name as well as providing detailed rules on how to enter a compound name for many different countries. The NCA's rules disregard these instructions and advice the cataloger to always enter the name under the last name of the surname even if it is a hyphenated name. For example, according to NCA's rules *Charles de Gaulle* is entered as *Gaulle, Charles, de,* instead of *de Gaulle, Charles.* While footnotes discuss most instructions which deviate from *AACR2* conventions, unfortunately some rules contravene *AACR2* procedures without documenting the deviations. For example, probable dates are denoted with a question mark in both *AACR2* and the NCA rules. *AACR2* places the question mark after the date while the NCA rules inform catalogers to put the question mark before the date. Moreover, *AACR2* abbreviates circa as "ca." but the NCA rules abbreviate it as a "c". These variations are minor, but unfortunately no footnote informs the cataloger that the rules have deviated from *AACR2,* or why. A more significant deviation arises with the rules for establishing the names of counties that are used as qualifiers to other place names. *AACR2* prefers the latest name of a county while the NCA rules use the name contemporaneous with the material. Once again this variation is not documented.

The NCA rules deviate further from *AACR2* in the section on adding epithets or other information to personal names. The NCA rules allow a cataloger to add a title or an epithet even if the name is unique without it. Catalogers are told to use epithets as qualifiers if there is a possibility of confusion between names but "beyond minimum conformity, the use of epithets is discretionary. More than one epithet may be attached to a single name, but epithets should not be used to excess" (p. 40). This gives the cataloger much more flexibility than *AACR2* provides, and can create somewhat long, unwieldy access points. For example: Onassis | Jacqueline Lee | 1930–1994 | wife of John F. Kennedy and Aristotle Onassis. I am unsure why a cataloger would need to include information about Jacqueline Onassis's marriages to John F. Kennedy and Aristotle Onassis in the access point. This information should be included in the biographical sketch field of an authority record. Adding the information to a name that has already been uniquely identified by the full form and dates seems redundant and unnecessary.

As I examined the NCA rules, I became slightly concerned that some of them leave too many decisions up to the discretion of the archivist. The purpose of standardizing access points is to improve retrieval by collocating material by or about a person or corporate body and differentiating records created by or about different entities with the same name. There is no need to clutter an access point with information about a person that should be included in a biographical sketch. Appending extraneous information seems counterproductive. On the other hand, this extra information may be justified if it conforms to traditional practice and does not interfere with retrieval. Nonetheless, archivists will need to design systems to collocate all the different variations of a name that are permitted by the rules to ensure retrieval is not hindered. More research is needed to discover what the impact on retrieval will be if different archives establish various forms of a name for the same entity. NCA's rule 4.1.2B suggests that some elements required to identify a corporate body such as jurisdiction or territorial authority may not be needed on a local level and may even hinder retrieval. Therefore, the rules state the cataloger may decide to exclude these elements. Before these rules are implemented, archivists should investigate the effect this practice may have on the precision and recall of a search on their system, and their ability to share authority records.

Nonetheless, the NCA rules are a welcome addition to existing rules and they will undoubtedly fulfill their purpose of helping British archivists establish access points for persons, place names, and corporate bodies. Furthermore, the volume has many interesting features, such as the appendices. The full examples and the guidelines for recognizing a corporate body are very helpful and would make an excellent addition to the descriptive standards used by North American archivists.

ArtMARC Sourcebook is not a standard but a chronicle of attempts to use the MARC standard to capture information about visual images. Each one of the book's sixteen chapters describes a separate project that used MARC to catalog

holdings of slides, architectural records, and/or original art objects. The appendices contain the *Core Categories for Visual Resources,* Version 2.0, and the data dictionary developed for the Library of Congress Washingtoniana II project. The introduction contains an excellent discussion on the state of art cataloging and identifies the various issues that arise when one attempts to use *AACR2* and MARC to catalog art objects and visual documents. The introduction is followed by three tables which compare the *Core Categories for Visual Resources* to the MARC fields used by twenty-three institutions, including the sixteen projects chronicled in the *Sourcebook.* Table 1 identifies the MARC field that every institution used for each category, table 2 lists the number of institutions using each MARC field to encode the separate categories, and table 3 identifies the core categories that each MARC field contained. The editors of the book use the data in the tables to analyze the use of MARC and to identify its limitations. This analysis also provides interesting evidence of what happens when a standard does not fully accommodate the descriptions that it attempts to standardize. The introduction is worthwhile reading for anyone interested in the use of MARC for the cataloging of nonbook material. The problems that arise from cataloging surrogates of other art objects and material at different levels of granularity are discussed in detail. In addition, the introduction contains numerous suggestions for changing the MARC format to better facilitate the cataloging of these valuable resources.

The sixteen articles are interesting although some chapters seem somewhat dated. The first nine papers describe projects to catalog visual documents, usually slides of art objects. The articles chronicle the use of MARC and are arranged by date of the project. Unfortunately, six of the articles are reprinted from journals in which all were originally published before 1994. These projects were undertaken before the development of the *Core Categories,* and before MARC integration. In addition, most articles do not discuss recent developments in the description and retrieval of digital images. For example, only one chapter discusses linking digitized images to catalog records, and another one mentions software that enables retrieval based upon image matching. Many of the articles discuss the advantages and disadvantages of cataloging material at the collection or item level. Some catalogers preferred to catalog each individual item, while others opted for collection-level access. Jane Savidge discusses the use of the MARC linking fields to connect descriptions of the various levels of granularity. Although her paper provides an interesting account of the Victoria and Albert Museum's use of linking fields to connect related catalog records, I was left with the impression that MARC can handle item-level catalog records, but the complexities of multilevel description should be left to more robust standards such as EAD. I was therefore heartened to read that two of the projects were indeed thinking of using EAD to encode their multilevel descriptions.

The *Sourcebook* presents no uniform method for handling surrogates and reproductions of the art works. Some institutions represented their slides as

slides, but other predominantly cataloged the slide as though it was an original work and only documented the fact that the item was a slide in the 500 fields. Finally, some institutions described the item as an original and did not provide a note to inform users that the library held only a surrogate of the art object or architectural drawing. In numerous cases the authors commented that users really wanted access to the intellectual content of the original material and did not care if the library actually held a copy of it. They posited that intellectually the original and the copy were the same! Unfortunately, the articles do not cite any user studies to support this belief. Furthermore, the introduction contains an excellent discourse on the problems that arise when one has a surrogate but catalogs it as though it were the original. Overall, I was somewhat perplexed with the number of authors who claimed that MARC seemed to work fine for the cataloging of their material, but they always had to cheat a little. Some "cheated" so much that OCLC would not accept their records into the OCLC database. Again, as the introduction notes, when everyone who follows a standard cheats a little, the result is a proliferation of nonstandard descriptions.

Despite these flaws, the *ArtMARC Sourcebook* is very attractive and contains numerous illustrations and examples of MARC catalog records. I would highly recommend it to any student interested in the cataloging of art resources or to institutions contemplating the use of MARC to catalog their visual images. Nevertheless, I think the book tells us more about what happens when librarians try to use standards that do not really accommodate their resources, rather than informing us about how to use the MARC format to catalog graphic images.

Standards for the Development of Archives Services in Ireland is a general guide to "assist institutions and organizations wishing to establish archives services . . . and to support the work of the archivist" (p. 9). It includes eight chapters that discuss different aspects of archival work, appendices containing a bibliography of relevant works, and the Society of Archivists Code of Conduct. The book seems somewhat uneven in places, addressing numerous topics in varying degrees of detail. Some chapters provide instructions that are very specific and similar to the guidance provided by a technical standard, while other parts of the volume contain very general guidelines. For example, the chapter that provides guidance on the many facets of managing the archival repository is twenty pages. It includes detailed information on the roles and functions of the repository, types of buildings, site selection, external and internal construction, fire prevention, security and intrusion, environmental control, strongrooms, and research rooms and their administration. On the other hand, the chapter on control and processing of archival material uses only six pages to discuss acquisition policies, appraisal, accessioning and related procedures, processing, and description. Inevitably, it lacks important information. For example, appraisal is examined in only two paragraphs, and processing is treated in eight. Furthermore, the processing section downplays the critical role of descriptive standards

by stating: "It is becoming increasingly common for standards, particularly descriptive standards to be used in processing. Standards of this kind, however welcome, are not necessarily suitable for uncritical application to every type of collection and to every type of document" (p. 31). The bibliography contains no references to any descriptive standards, but ironically the section on "Computer Application and Finding Aid Production" states that it is "not acceptable to sacrifice standards in descriptive practices . . . because of the limitations of computer software" (p. 33). As a strong proponent of descriptive standards, I found the dismissal of these standards unwarranted and somewhat disturbing. Furthermore, the lack of references to the *General International Standard on Archival Description* and the *International Standard Archival Authority Record for Corporate Bodies, Persons and Families* is regrettable. It would appear from this publication that the Irish archival community does not appreciate the importance of standardizing descriptive products and access points. While the chapter on services to users provides some guidance on the publication of guides and finding aids, exhibitions and services to school children, it ignores reference services.

The work devotes an entire chapter to records management because of its importance to archives, and the guidance provided reflects an archival perspective of records management. It states that archivists should manage the records management program, and that they should become involved as early as possible in the creation stage of electronic records to ensure their preservation. The chapter dispenses lots of information about managing a record center and transferring records to the archives. However, it has little information on creating schedules, and remains silent on the creation of classification schemes, indexing, or the role of legal research in establishing records retention schedules. While this chapter may demonstrate why archivists may want to manage a records management program, it does not adequately explain why an administrator should appoint them to this position. Nor does it adequately discuss all the essential components of an adequate records program.

The *Standards* strongly supports archival education and the employment of archivists. Additionally it warns against advertising positions for "archivist/librarian" and states that librarians or other information professionals do not possess acceptable qualifications to manage archives. In North America this concern seems unwarranted as many competent archivists have library credentials.

Small archives with few other resources may find *Standards for the Development of Archives Services in Ireland* useful; however, its superficial treatment of the core archival functions of appraisal, arrangement, description, records management, or user services reduces its value. This statement must be qualified, however, by noting that the purpose of the *Standards* is to assist Irish archivists in dealing with the "creation, preservation, and management of archives and archival service in Ireland" (p. 7), and it is therefore difficult for someone outside of that professional culture to fully judge whether or not it will be able to fulfill its mandate.

The Australian standard *AS 4390 Records Management* provides a view of records management from an Australian standpoint. This standard includes six separate volumes: Part 1 *General,* Part 2, *Responsibilities,* Part 3 *Strategies,* Part 4 *Control,* Part 5 *Appraisal and Disposal,* and Part 6 *Storage.* Each volume is very short and succinct, covering its topic in about eight to ten pages. Together they provide guidelines on the numerous tasks needed to manage records across the continuum with an emphasis on current records. Each volume contains a scope note, a description of its application, a list of referenced and related documents, definitions, responsibilities, and information on a specific topic. For example, Part 5, *Appraisal and Disposal* includes guidance on analyzing the business environment that the organization operates in, identifying its business functions and activities, determining records retention requirements, documenting the appraisal and disposal process, plus monitoring and evaluating the appraisal function. In only nine pages the volume provides helpful instructions on how to appraise and dispose of an organization's records based upon an analysis of its regulatory framework and its business needs.

AS4390 provides useful guidelines on all aspects of records management and is applicable for programs that manage both paper and electronic records. Also included are general guidelines and examples of specific strategies that might be followed. It also presents specific cases that illustrate the recommended strategies. The appendices contain many constructive additions, such as a model implementation plan, a list of questions to be asked during a systems performance audit, a storage requirement assessment worksheet, a list of common components of a records storage service contract, and information about migrating a records management system. The guidelines stress the importance of monitoring and evaluating systems after their implementation and highlight the need to train end-users in proper records management procedures. This standard will greatly assist both professionals carrying out a records management program and students wanting to understand the scope and breadth of the field. It discusses the various functions needed to ensure an organization captures and maintains reliable and trustworthy evidence of its actions.

The Australian standard shows evidence of its origin with some terminology that is very unfamiliar to the North American eye. Furthermore, the volumes reflect an emphasis on functional analysis and the concepts of macro-appraisal that some archivists may not support. The standard implies that record managers should evaluate the functions of an organization not their records. Furthermore they should become involved in the design of recordkeeping systems. The importance of understanding the organization, its regulatory environment, and the best practices and standards of its industry are highlighted throughout the volumes.

The standard was endorsed by the International Standards Organization. Nonetheless, the ISO/TC46/SC11 - Archives/Records Management Sub-

Committee is drafting a new standard to incorporate the numerous comments the Australian standard received during the review process. The Sub-Committee has created four ad hoc project teams: Responsibilities and Terminology, Making and Capturing Records, Control Systems and Processes, and Appraisal and Disposition. Members from France, the United States, Canada, and the United Kingdom have been appointed project leaders of these teams. The new standard should be voted on by the ISO by the summer of 2000.

The development of the Australian standard is a major achievement for the records management profession. The profession will benefit immensely from the process of standardizing their practice and procedures. Furthermore, the guidelines for monitoring, and testing recordkeeping systems will ensure that the implemented systems function adequately and meet an organization's objectives. The standard also provides an excellent training tool for students and should be incorporated into all records management courses and training programs.

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On the whole, the standards presented in this review are thoughtful, helpful guidelines which will advance archival practices and products if followed. The works mark an advancement for both the archival and records management profession. However, much work remains to be done. Standards for appraisal, arrangement, and reference service would help to provide much needed guidelines on the core functions of an archival program. Although these functions require professional expertise and judgement, general guidelines illustrated by different types of strategies and examples of model cases would help archivists carry them out. The Australian records management standard provides an excellent example of the type of guidance that could be rendered. Furthermore, assessment tools are greatly needed so archivists can begin to monitor and evaluate how these functions are performed.

The existing standards are based upon previous best practices of the archival community and reflect the culture of their creators. These standards should be tested and evaluated in a variety of different types of institutions and environments. Archivists should also assess the effect these standards will have on their practice. They will need more information about how implementing these standards will affect their users, their systems, and their profession before adopting them. This knowledge can only be gained through evaluation and research.

In the last few years the medical profession has started to move toward "evidence-based medicine" in which doctors are advised to base their medical advice and practice on an integration of their medical expertise and empirical research studies. "Evidence-based medicine is the conscientious, explicit and judicious use of current best evidence in making decisions about the care of individual patients. The practice of evidence-based medicine means integrating individual clinical expertise with the best available external clinical evidence

from systematic research."[5] The aim of evidence-based medicine is to ensure doctors base their advice and decisions on their personal medical expertise and research results. The archival profession should follow this approach. Traditionally archivists have learned their craft by working with other archivists. Many base their decisions about appraisal, arrangement, description, and reference on the professional expertise that they gained on the job, and knowledge they have gained through training courses and the reading of the literature. Formal education programs and standards provide an excellent way to codify the profession's best practices and ensure more consistent archival practice. However, unless archivists and records managers begin to evaluate their current practices and test their methods through empirical research studies, the overall effect of the techniques will remain unknown. Archivists need to base their standards and their educational programs on their professional expertise and on knowledge gained through research. Evidence-based archival practice will help improve the services that archivists provide to both their patrons and funding agencies. Moreover, it will furnish the profession with a mechanism for evaluating its functions and help ensure the profession stays relevant in a changing world.

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Documentation Planning for the U.S. Health Care System

Edited by Joan D. Krizack. Baltimore: Johns Hopkins University Press, 1994. viii, 260 pp. Available from the Society of American Archivists, $20.00 members, $25.00 nonmembers. ISBN 0-801848059. ♾

Designing Archival Programs to Advance Knowledge in the Health Fields

Edited by Nancy McCall and Lisa A. Mix. Baltimore: Johns Hopkins University Press, 1995. xxiv, 232 pp. Available from the Society of American Archivists, $38.00 members, $43.00 nonmembers. ISBN 0-801847613. ♾

In contrast to the richness of the literature on science and technology archives, writings concerning the archives of the health sciences have fallen far short. Until now, no works comparable to the JCAST report (*Understanding Progress as Process: Documentation of the History of Post-War Science and Technology,* 1983), the MIT appraisal manual (*Appraising the Records of Modern Science and Technology: A Guide,* 1985), or the Charles Babbage Institute appraisal manual (*The High-*

[5] David L. Sackett, William M. C. Rosenberg, J. A. Muir Gray, R. Brian Haynes, W. Scott Richardson, "Evidence-Based Medicine: What it is and what it isn't," available at <http://cebm.jr2.ox.ac.uk/ebmisisnt.html>.

Technology Company: A Historical Research and Archival Guide, 1989) existed for the health sciences. With the appearance in rapid succession of the two works under review, medical archives literature has come of age.

Documentation Planning for the U.S. Health Care System is really two distinct but related works. The first part is Joan Krizack's presentation of documentation planning, her appraisal model for institutional archives. This model resembles the documentation strategy but is applied to institutions rather than disciplines or subjects. Described as "strategic planning for archives," the model consists of three levels of appraisal (institutional analysis, comparison to similar types of institutions, and analysis of the institution's role within the context of the overall health care system), followed by three levels of selection (at the function or activity level, the department or subdivision level, and the records series level). While all this begins to sound quite complicated, Krizack provides a step-by-step procedure for implementing the model, along with a detailed case study based on her work at Children's Hospital (Boston). Her section on practical aspects of implementing this model (e.g., administrative foundations, establishment of an archives committee) is also helpful. Perhaps most interesting is the combination in practice of appraisal "from above" (i.e., through the analysis of the institution and its functions) and "from below" (i.e., through the analysis of existing records series). Most disappointing is the failure to link the model to records management activities, especially the construction of records schedules. However, Krizack's documentation planning, along with Helen Samuels's institutional functional analysis (another institutional appraisal model with a case study in college and universities—*Varsity Letters: Documenting Modern Colleges and Universities,* 1992) are essential tools for all institutional archivists and records managers. An independent indication of the effectiveness of Krizack's model is its successful application in the AIDS history projects in Boston and San Francisco, which demonstrates that such models are also useful for archival research and even for collecting repositories.

The second half of the book is a detailed, comprehensive description of the United States health care system, covering government agencies, research facilities, educational programs, professional associations, and health care industries. This section supports Krizack's appraisal model by providing information on the U.S. health care system necessary for the analysis stage of a documentation plan. It is also a vital aid for archivists and records managers who work in health care yet rarely have a background in any of the health sciences. Each chapter, written by a knowledgeable author, describes the range of institutions in each of these areas, along with their functions and the relevant recordkeeping issues.

The structure of the presentation (institutional description, functional analysis, recordkeeping issues) is both its strength and weakness. This structure ensures a reasonably comprehensive description of each type of institution, and the reader can readily compare the role(s) and activities of one type of institu-

tion to another. However, the very same structure tends to inhibit discussion of recordkeeping issues peculiar to one type of organization. For example, the chapter on professional and voluntary associations fails to discuss perhaps the most vexing problem for any association archivist or records manager: how does one document an organization whose actors, activities, and consequently records are so highly dispersed? Because so much association work is done by committees, task forces, and similar units, implementation of an archives and records program requires coping with the high turnover among personnel, uneven record-creating and recordkeeping practices, and overall decentralization.

This concern is part of a broader problem. Following the extremely useful discussions of different types of health care institutions (over one hundred pages), the sections on recordkeeping issues for these organizations is altogether too short (less than twenty pages). Issues not mentioned or receiving only brief discussion include the legal ownership of federal records (and the collection of such records by nongovernment repositories); and the ethical, legal, and privacy issues relating to biomedical research records (especially in light of the recent news over the human radiation experiments and the Brown & Williamson tobacco company documents).

These reservations are relatively minor, however. The ability to condense the discussion of such a large subject (the U.S. health care system) into a concise, understandable, and usable form reflects a tremendous effort. The notes and the annotated bibliographies alone are a valuable resource. With its synoptic overview and appraisal model, *Documentation Planning* provides a vital service to new and seasoned archivists and records managers in the generally unfamiliar world of health care.

Were this the only work to appear on health sciences archives, there would still be a significant gap in the literature. Still needed—only so much can be accomplished by one volume—would be discussions of the value of particular types of records (e.g., patient records), along with a more comprehensive account (beyond analysis and appraisal) of archival administration in health sciences settings. Filling this role is *Designing Archival Programs to Advance Knowledge in the Health Fields.* Each book complements the other, and together they represent a huge contribution to the literature.

Designing Archival Programs, like *Documentation Planning,* is the product of several well-informed authors whose combined knowledge and experience extend beyond that of any individual. Intended almost as a manual for administering health sciences archives, this book addresses the issues of quantity, complexity, and dwindling resources: in an era of increasing volume of records and proliferation of formats—and reduced budgets—how can we effectively appraise, acquire, and manage "the record" of medicine and the other health sciences?

The book is divided into several sections on the overall health care system and the range of health care institutions, types and uses of particular records

(e.g., patient records, scientific data), the impact of automation, archival functions (e.g., appraisal, reference, access, and use), and coordination of archives with other curatorial units (e.g., records management, museums). The book employs a "global" perspective covering all media (not just records and publications but also audiovisual materials, specimens, and artifacts) and its comprehensive coverage is especially helpful.

The high quality of the discussion is exemplified by Joel Howell's chapter on patient records. After describing the typical contents and character (e.g., size, quality of data) of a patient record and the guidelines that determine its contents, Howell describes the administrative, biomedical, and historical uses of these records. He includes a survey of retention patterns and makes recommendations for appraisal, including the benefits and drawbacks of sampling. The discussion is a concise and highly informative account by an M.D./Ph.D. physician and historian of medicine who clearly draws on his dual education and experience.

In terms of management, this book rightly emphasizes the need to coordinate records management, archives, manuscripts, library, and museum functions through shared policies, procedures, terminology, and standardized (or integrated) information systems. The proactive approach advocated here is well stated, defended, and illustrated. The recognition that the archives need not be the sole collector is wise, as is the recognition that the archives should be a clearinghouse of information concerning records held elsewhere (e.g., data sets) and a resource to consult for managing such records. The description of ethical considerations is important and excellent; so is the chapter on access, which covers legal, regulatory, ethical, and administrative issues. Also welcome is the chapter on records management, which is construed broadly to include items such as patient records and not just administrative records.

My only reservation is a discomfort with the focus on use and "intended use." The editors' belief that "patterns of current usage are usually reliable indicators of the ways evidence may be utilized in future archival reference and research" (p. 1) supplemented by one contributing author's emphasis on current historiography (p. 17), is undermined by Howell's discussion later in the book. The editors and most of the authors recognize that the primary purpose of records is accountability, but they nevertheless seem uninspired by the other considerations that most institutional archivists and records managers must take for granted (see, e.g., the comments on archives becoming the "dumping ground" for regulatory documentation, [p. 97]). Despite this reservation, I heartily endorse the emphasis on nonhistorical and nonadministrative uses of records, especially by biomedical researchers, as a significant contribution.

Perhaps least effective are the chapters on automation which have quickly become outdated, as most writings on automation tend to do. The discussion of the MARC AMC format, for example, is outdated as a result of changes in MARC. For those interested in appraising and preserving computerized

records, recent projects such as the University of Pittsburgh's project on the functional requirements of electronic recordkeeping systems provide more up-to-date information and are essential for continuing education.

Neither volume itself is comprehensive, nor are the two when taken together. As is the case with many groundbreaking efforts, however, these two works may inspire case studies and more detailed analyses of specific issues and settings. Both books are well bound, printed on acid-free paper, amply and effectively illustrated, and well edited. In all senses they are worthy additions to an institution's or individual's library.

Not long ago I taught an advanced graduate seminar on science and technology archives. I avoided medicine because of the comparative dearth of the literature in this area. I am pleased to say that, should I teach the course again, I would undoubtedly also include the health sciences. I would also encourage use of these books for teaching courses that focus on appraisal, reference and access, or the management of institutional archives and records programs.

Is the literature of the archives of the health sciences now complete? Despite the significant gains in the understanding of the medical world and its records, the answer must be "no." First, we still need the health sciences equivalent of the MIT appraisal manual, which describes in detail all the activities and resulting documentation in science and engineering. Some analogies can safely be drawn from this work to, e.g., medical research, although topics such as medical ethics and human experimentation—and the records relating to them—require their own extended discussions. Similarly, topics such as clinical practice and nursing practice demand their own in-depth treatments. In addition, we need an updated JCAST to address issues in science and technology archives that have arisen since the early 1980s. Such an endeavor should undoubtedly now include the previously excluded health sciences.

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Archives and the Metropolis

Edited by M. V. Roberts. London: Guildhall Library Publications and the Centre for Metropolitan History, 1998. xiv, 210 pp. Available from the Society of American Archivists, $40.00 members, $50.00 nonmembers. ISBN 0-900422459.

New York University and the City: An Illustrated History

By Thomas J. Frusciano and Marilyn H. Pettit. New Brunswick: Rutgers University Press, 1997. xiv, 286 pp. $35.00. ISBN 0-813523478. ♾

Public Sculpture and the Civic Ideal in New York City, 1890–1930

By Michele H. Bogart. Washington: Smithsonian Institution Press, 1997. xvi, 390 pp. $27.50. ISBN 0-226063097. ♾

Urban culture and archival management make natural bedfellows. Many of us work in city settings. Our collections often testify to the centralizing, bureaucratizing, and rationalizing tendencies usually associated with urbanization. Research libraries and historical societies remain important intellectual and cultural metropolitan centers that, at their best, bring together a highly diversified and pluralistic audience. Yet, few archival books and articles directly examine archives and cities. Although I spent most of my time reflecting on these three very different compilations in the midst of a classically uncomfortable urban heat wave, I had no great longing to scurry to the Adirondacks or the Jersey shore in hasty retreat. Rather, considered together, the books reminded me that real cities remain vital, vibrant, energetic spaces that capture most vividly the inherently humanistic quality of our work.

On the surface, *Archives and the Metropolis* appears the most professionally relevant compilation. It packs contributions from twenty-six authors who seek to "explore the particular political, cultural, social, and economic contexts in which the archives have been created and maintained, throughout the world and from Antiquity to the present" (p. 1) into 210 pages of text and illustrations. Unfortunately, this diversity and consequent brevity of the articles result in a volume that appears messy, superficial, wildly uneven, and lacking overall thematic coherence. Based on the proceedings of an "important" international conference held in London in 1996, the book has been designed—in the words of one of the conference's sponsors—to serve as "a catalyst for the convening of more meetings of this kind" (p. ix). Oral discourse does not always translate well into print, however, as this volume too often demonstrates.

Some unfortunate conceptual decisions further handicap the book's usefulness. No synthetic introductory overview exists, although a three-page contribution by Derek Keene attempts to explicate some major themes. Several articles (especially the Aspinall, Kynaston, and Quesada entries) appear more as sketchy outlines or records series descriptions than fully formed studies. Others, such as the discussions about the Port of London Authority, have considerable historical interest but seem peculiarly out of place here. Editor M. V. Roberts notes that achieving "a timely date of publication " constituted a top priority, and thus only conference papers received by 1 May 1997 were included. Further, "to achieve as low a retail price as possible," floor discussions have been omitted and an index has not been included (p. xi). The resultant slender paperback, it should be noted, still sells for $50.

What do these articles reveal about archives and city culture? Enough scattered insights and hidden gems exist to make the book worthwhile reading for archivists, if not exactly classic beach fare. First and foremost, most articles testify to the complex interpenetration and interdependency of various seemingly distinct urban "sectors," as well as to the inadequacy of governmental records to tell the story of the metropolis. Vanessa Harding's excellent article on sixteenth- and seventeenth-century London graphically illustrates the way in which parishes and livery companies assumed public responsibilities during the early modern period, and cautions against any reliance on purely municipal records in constructing a comprehensive vision of metropolitan development. Edwin Green, the archivist for the Midland Bank, further reminds readers that "'the City' means Business" (p. 51), and that any serious examination of modern London needs to take into account the history of banks and insurance companies. Similarly, Nick Merriman's contribution on urban archaeological records, Christopher Hilton's treatise on medical archives, and a series of articles concerning the Port of London Authority demonstrate the ways in which institutions, individuals, and even physical structures share complex histories in concentrated urban milieus. Indeed, Peter Guillery's fascinating article concerning the architecture and changing use of docks and sheds not only shows how visual and textual records complement each other, but should give great pause to overly aggressive appraisers who view financial records primarily as shredder-fodder.

Second, and partially as an outgrowth of this, all archivists should be encouraged to compile archival and recordkeeping biographies of their own institutions and regions. Several suggestive contributions in this anthology hint at important historical transformations in recordkeeping between the ancient, medieval, and early modern worlds. Rosalind Thomas, who has written on this subject at greater length and sophistication elsewhere, describes the inherently public and symbolic nature of stone inscriptions in classical Greece. Only subsequently did archives take on a more secretive and mysterious character, as documents became squirreled away in centralized and inaccessible repositories. Thomas Behrmann's urban biographies observe the complex interplay between orality and literacy in Genoa and Lubeck, tying the creation of various archival series into important administrative and political shifts within these trading metropolises. Ferdinand Opll's reconstruction of Vienna's municipal archival history over the past seven centuries chronicles changing public perceptions that transformed this governmental function from a purely administrative undertaking into a center for the production of scientific history and, finally, into a much broader educational institution. Two North Americans—Clifford Hood and John Daly—describe the recordkeeping histories of New York and Chicago respectively. Although Hood's article remains somewhat limited by its exclusive concentration on three repositories (Columbia University, the New

York Public Library, and the Municipal Archives) and some conceptual confusion in his effort to stake out a public/private dichotomy, both contributions illustrate the ways in which archival history contains important practical implications for current records policies. Considered together, all of these articles seem too scattered, sketchy, and wide-ranging to support any grandiose conclusions, but this type of spade work appears necessary if archivists wish to come to terms with the meaning of their documentary universe.

A third, more disturbing theme that permeates this anthology concerns use. Many articles betray a concern that urban archives remain marginal institutions in a state of crisis. Raouf Abbas's laudably honest critique describes the Cairo Archives as characterized by "poor service" with an inadequately trained and underpaid staff that operates in damp and rodent-infested storage rooms, where access requests require "permission that takes three weeks for Egyptian researchers and two to three months for foreigners" (p. 184). The Port of London Authority, despite reasonable use statistics and scholarly demand, suffered "from the low priority which our government places on our national heritage" and was forced to close its doors in April 1996 (p. 188). The use of business archives "remains disappointingly low" (p. 52) according to one contributor, while London's archaeological archives suffers from "insufficient public and academic use" thus becoming vulnerable "in times of financial constraint" (p. 63) in the words of another. Hood describes the tenuous history of New York City's municipal archives, as well as the ongoing troubles that have plagued the New-York Historical Society over the past generation.

If inadequate funding, academic marginalization, lukewarm public commitment, and general apathy constitute truly global phenomena, as *Archives and the Metropolis* suggests, then what is an archivist to do? Several contributors directly and implictly address this issue in interesting ways. Jan Boomgaard, director of the General State Archives in The Hague, offers one approach. His paper concludes the volume on a peculiarly upbeat note, by anticipating the imminent arrival of a golden "postcustodial age," an important article of faith among some contemporary archival theorists. In this utopian archives-friendly future, the recordkeeper will transform himself from the mere "craftsman, who took care of his beloved material in a very physical and material way" into the new and improved "designer developing techniques for linking sources of information all around the metropolis" (p. 210). Electronic information will remain in creating agencies, archivists will no longer need to worry about physical facilities, and a master appraisal class will live happily ever after, manipulating information and guiding users through the virtual archival universe. The postmodern archivist, in other words, will be transformed into that most modern service economy creation: the nonproducer. Perhaps.

Other contributors have a slightly different take. John Daly perceptively observes that, in the North American context, archivists need to respond cre-

atively to the extraordinary interest in archives exhibited by family historians. Genealogists form a well-organized, politically significant, personally energetic, and increasingly sophisticated clientele that recognizes the inherently cultural value of archives. Chicago-area archivists have reached out to this group, as well as to secondary school students, public historians, and various other nontraditional archival users in successful efforts to make their holdings resonate with a diverse customer base. Daly shrewdly recognizes that archives constitute one element in a broader cultural universe, and that the most successful archival programs stake claims to a larger cultural purpose.

Several other articles offer strikingly similar proposals. Ferdinand Opll, Director of the Wiener Stadt-und Landesarchivs, emphasizes "the significance of scientific and educational activities among our archival duties" (p. 34). He outlines the way in which Vienna's municipal archives transformed itself into a vital public resource through a coordinated series of exhibitions, lectures, tours, publications, and public relations, embracing its role as a "storehouse of Vienna's history." Other contributors describe equally ambitious undertakings. Renate Banik-Schweitzer discusses the "Vienna History Project," in which archivists and historians produced a historical atlas of the city that served as both an important scholarly work and a significant policy document for contemporary planners and politicians. Lars Nilsson describes the "Stockholm 2002" project, now working toward a comprehensive urban biography that seeks to "find the soul of Stockholm" (p. 135) through an innovative foray into urban history; and Sarah Palmer notes the proactive program of publications, exhibits, school lessons, and documentary strategies undertaken by Moscow's archives during a time of crisis and social collapse.

All of these innovative initiatives emphasize and underscore an important role for the archivist: public intellectual. Over the past generation, academic history has become increasingly rarified and disconnected from a broader educated audience. During the same period, ironically, popular interest in heritage, memory, and the past has skyrocketed. "Heritage tourism" constitutes one often popular response to this disconnect, but myriad opportunities for archivists also exist. Direct involvement in educational projects, meaningful historical scholarship, and cultural programming that connects with a broader public remain part of an important archival function, at least on a par with defining metadata. Furthermore, by expanding their own notion of "the public," functioning as informed scholars, and viewing their role as broadly educational, archivists may indeed constitute the missing link between *archives* and *the metropolis* that this anthology attempts to discover.

A proposed redefinition of archivists as public intellectuals fits nicely into the second work under review, *New York University and the City*. Here, Thomas Frusciano and Marilyn Pettit practice what many of the contributors to *Archives and the Metropolis* preach. They construct a sophisticated, nuanced, visually

interesting history of New York University (NYU) that remains sensitive to the documentary record and carefully locates the institution within its larger urban context. The authors subtitled their book *An Illustrated History,* but the illustrations really constitute their argument in an important sense. Prints, photographs, portraits, cartoons, documents, and artifacts accomplish more here than merely supplementing the text. They physically place NYU within the dynamically changing environment of New York City, and offer visual evidence of the book's underlying theme: that the urban university stood at the intersection of a fascinating network of civic, religious, mercantile, corporate, and youth cultures permeating the nineteenth- and twentieth-century metropolis. From its founding in 1831 by a diverse group of merchants, clergymen, and democratic theorists who wished to educate the sons of the commercial metropolis for "the actual pursuits of life," through its reinvention in the 1980s and 1990s as an elite, well-endowed, global institution, NYU has enjoyed a complex relationship with New York City. This book traces that creative tension in laudable detail.

Several authorial decisions make this a model institutional history. First, Frusciano and Pettit eschew the classic celebratory organizational model that typically groups chapters around presidential tenures. Rather, they impose a social periodization on the work, thematically presenting such topics as nineteenth-century student life and culture, the changing nature of medical education, the movement toward establishing a metropolitan university, post-World War II expansion, and community controversies. Chapters concerning student life and youth culture take precedence over recounting administrative triumphs. The authors forthrightly address NYU's early-twentieth-century anti-Semitism, document the rise of a strong socialist sentiment in the 1930s, and present a balanced portrayal of student disturbances during the 1960s. If anything, in contrast to many collegiate institutional histories, they spend too little time on athletics and more conventional indicators of student life and leisure. Only the self-congratulatory final chapter, unfortunately titled "The Golden Age of NYU," offers an uncritical and Whiggish concession to contemporary political considerations. Generally, however, readers can successfully mine this book for historical trends and social transformations rather than the administrative minutiae too often associated with the "institutional history" genre.

Second, *New York University and the City* remains sensitive to argument, debate, conflict, and choices. The story does not simply chronicle growth, stability, academic respectability, and smooth change. Rather, it explores paths not taken, multiple perspectives within the institution, conflicts with neighbors, and a series of administrative fiascos. Controversy permeated NYU from its earliest years. The Rev. James Mathews (1785–1870), pastor of New York's oldest Dutch Reformed Church, enjoyed a stormy tenure as the university's first chancellor and ultimately resigned under a cloud in 1839 after a series of battles with the faculty and allegations of financial mismanagement over the con-

struction of a monumental neo-Gothic university building on Washington Square. More recently, NYU has regularly fought its Greenwich Village neighbors over various development plans that involved demolishing residential buildings, declaring the surrounding neighborhood as a slum, relocating tenants, and using its substantial political clout to subvert local zoning ordinances. Perhaps the "high moment" in NYU's dysfunctional community relations involved the construction of Bobst Library in 1967, which houses the university's archives and special collections areas. Philip Johnson's bulky and pretentious red sandstone structure has plagued students, frustrated faculty, and outraged community residents ever since, and the story is recounted here in all of its deliciously embarrassing detail.

Third, Frusciano and Pettit carefully describe the richly textured institutional networks that defined the university's character. One cannot understand the mid-nineteenth-century significance of NYU, for example, without some grounding in New York City's ecclesiastical politics, the efforts of a socioeconomic elite to construct a series of training institutions that would combat the "corruption" of Tammany politics and preserve patrician culture in the face of massive Irish immigration, the growing professionalization of the medical and legal fields, and New York's increasingly unchallenged position as the center of the nation's capital markets. An adequate university history, then, needs a thorough immersion in political, legal, economic, religious, and medical—as well as educational and urban—history. The authors manage to achieve this, and they accomplish it with a readable and accessible style that should appeal to alumni, administrators, and students, as well as seasoned scholars.

This book invites some reflection on the role of the archivist. Amazingly enough, many professionals still question whether archivists ought to conduct research in their own collections and publish historical monographs. Some view it as an inherent conflict of interest and argue that insurmountable ethical issues result. Others believe that historical research somehow distracts archivists from their "real" professional research agendas and hinders the development of pure archival theory. Volumes such as this should end these debates. Clearly, institutional archivists (Frusciano and Pettit both served as archivists and educators at NYU) can take a dispassionate and honest look at their workplaces. Further, they seem perfectly placed to contextualize their organizations within broader historical frameworks. Archivists bring important perspectives concerning documentary sources to the research table. They know how to blend visual and textual material, they understand the strengths and limitations of sources, and they possess important insight into their own organizations. At their best, they can combine the outsider's detachment with the insider's perspective. Not only *should* archivists publish these types of monographs—they should feel professionally *obligated* to do so.

Frusciano and Pettit remind us that one cannot understand urban environments without carefully contemplating visual imagery. *Public Sculpture and the Civic Ideal in New York City,* the third book under review, expands this insight. Written neither by nor for archivists, this book nevertheless deserves a place on the curatorial bookshelf. At first glance, this 1997 Smithsonian edition of a 1989 monograph appears far afield from standard archival concerns. Michele Bogart sets out to document the brief Beaux Arts moment in New York's public culture, which spanned the years from 1890 to 1920 and produced some of the city's most remarkable sculpture and architecture. Following the lead of many social and cultural historians, she shifts the focus away from artistic merit and toward such issues as "patronage, the role of institutions and power hierarchies [and] the relationship of artistic representation to meaning" (p. 3). Her basic argument seems fairly straightforward. During the late nineteenth century, a group of sculptors coalesced in the urban metropolis and embarked on a professionalization project. They allied themselves politically with a somewhat disparate agglomeration of superstar architects, upper-crust civic groups, Republican politicians, and socially prominent patricians. These powerful elite interests shared in common the notion that municipal sculpture might somehow unite a socially and ethnically fragmented metropolis by promoting such transcendent civic ideals as patriotism, civilization, and good government. Patrons encouraged sculptors to reinforce heroic allegorical American myths through their work, and to mold monuments of order and unity for an urban culture that seemed to be coming apart in every way. For a brief period, the sculptors' own desire for artistic autonomy and professional development merged nicely with these elite anxieties.

This common civic culture, of course, proved impossible to realize. Sculptors found themselves socially and ethnically divided, and competed with one another over lucrative metropolitan commissions. Prominent architects initially constituted their most supportive patrons, but they gradually shifted their own professional priorities and distanced themselves from their sculptural colleagues. Popular support for ambitious public projects declined, playful architectural challenges to the civic ideal emerged in such working-class leisure enclaves as Coney Island, and a new generation of scientific planners forged alliances with business and political groups, leaving artists and traditional cultural organizations behind. By the 1920s, the sculptors' professional aspirations appeared in shambles, younger artists rejected notions of public collectivity and focused instead on highly individualized projects, and practitioners became far more diverse as women and non-Anglo Saxon ethnics entered the field in unprecedented numbers. Traditional artistic values clashed with newer audiences: sculptors fell victim to "a broader shift from a society in which leadership was based primarily on economic wealth and social status to one based on professional training and disciplinary identity" (p. 294).

As a professional case study, this book offers significant implications for archivists. Much of the sculptors' struggle for professional self-definition and artistic autonomy occurred within important archival and library settings. The wealthy New Yorkers who agonized over "the civic ideal" in Gilded Age America established numerous public and semipublic institutions in order to advance their class-based notion of American civilization, including the New York Public Library, the Brooklyn Institute of Arts and Sciences, the Metropolitan Museum of Art, and eventually the Brooklyn Public Library. Bogart chronicles the battles over artistic representation and heritage that occurred in these cultural venues. Conflicts between trustees, public officials, professionalizing sculptors, cost-conscious contractors, and municipal reformers provided these buildings with a fascinating structural legacy that reflects late-nineteenth- and early-twentieth-century social debates, compromises, and conflicts. These institutions continue to dominate New York City's twenty-first century cultural landscape, and archivists who peruse this text will never "read" these buildings in quite the same way again. Modern archives constitute contentious physical spaces, as well as centers of intellectual activity, and archival historians should heed the admonitions of realtors by paying much more attention to location, location, and location.

Buildings are archives too. The New York City Hall of Records, which currently houses the municipal archives, provides an instructive example. Conceived in the 1890s as an archives for real estate records and other important documents that previously reposed in a pre-Revolutionary debtors' prison, the building at 31 Chambers Street was constructed against a "sordid background of municipal politics" (p. 135). Good-government native-born Republicans viewed proper recordkeeping as part of their crusade against a corrupt and ethnic-based Democratic machine. Reformers successfully lobbied the city to authorize construction of a monumental Hall of Records both "to protect city documents and to discourage cheating and corruption" (p. 148). When Tammany Hall reclaimed the mayoralty in 1898, however, the reigning politicians "had little liking for a municipal department that would preserve and make available the records of their activities" (p. 139). Sculptors became caught in the political crossfire. A Tammany-friendly contractor battled with a series of architects and sculptors over patronage, artistic control, iconography, and bidding procedures. New York City elections proved unstable, as the mayoralty shifted between bosses and reformers. Patricians demanded statuary that promoted a historical vision of New York City as "bound up exclusively with the Anglo-Dutch Protestant cultural heritage" (p. 147), but successive waves of politically active immigrants threatened this vision of a usable past. Tammany-appointed architects and contractors cut back on carved representations of colonial and federal figures and instead incorporated more purely allegorical iconography into the building, thus depoliticizing the Hall of Records' intended symbolism.

The monumental Beaux Arts masterpiece, eventually completed in 1911, still stands as an important illustration of the culture wars of the 1890s. Through it all, the sculptors became relatively powerless pawns of larger sociopolitical interests. If the Hall of Records "represented the politics of art production at its worst" (p. 153), it also revealed the sculptors' failure to attain meaningful professional autonomy.

And herein lies the final cautionary tale. Professionalization stalled for a variety of reasons. Sculptors failed to accommodate diversity within their ranks, allied themselves with far more powerful cultural groups that abandoned them when convenient, and never recognized their dependence on a broader social constituency. Ultimately, they embraced a notion of civic culture as a justification for their work that appeared hopelessly anachronistic by the late 1920s, when New York's artistic action shifted to Rockefeller Center and corporate patronage. By the mid-twentieth century, the National Sculpture Society deteriorated into a petty, reactive organization that blamed Bolshevism for its lack of influence and appeared completely irrelevant to the rising generation of sculptors.

As the twentieth century grinds to a halt, the "information paradigm" has in some ways replaced "civic culture" as the reigning American myth, with all of its promise of social cohesion, uplift, prestige, and power. Archivists who uncritically embrace this seductively alluring vision, gleefully align themselves with seemingly potent infocrats, seek greater professional homogenization, and overrate their social influence may be doomed to repeat the sculptors' experience. *Archives and the Metropolis* and *New York University and the City* both serve as monuments to the creative diversity, solid humanistic leanings, and urbane traditions that still characterize much of the profession (loosely defined). *Public Sculpture and the Civic Ideal* should remind us not to abandon these strengths carelessly nor to let narrower and more parochial concerns achieve complete professional hegemony.

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Diplomatics: New Uses for an Old Science

By Luciana Duranti. Lanham, Md.: Society of American Archivists and Association of Canadian Archivists in association with Scarecrow Press, 1998. x, 186 pp. Available from the Society of American Archivists, $41.00 members, $46.00 nonmembers. ISBN 0-810835282. ♾

I was very pleased to learn that the Society of American Archivists and the Association of Canadian Archivists, in association with Scarecrow Press, had

agreed to reprint Luciana Duranti's series of six articles on diplomatics. These articles are the most comprehensive of a dozen English language sources directly treating diplomatics.[1] Published as a series in *Achivaria* between 1989 and 1992, they now appear in this single volume in their original form. Only a few changes were made to accommodate the union of six distinct articles into one book.

This volume does, however, contain a new introduction by Duranti that discusses the evolution of these articles, the award-winning archival program at the University of British Columbia (UBC), and her own thinking about potential applications of diplomatics. The lengthy introduction describes Duranti's initial reluctance to teach diplomatics in North America and her gradual inclusion of more and more information about diplomatic concepts and principles in her courses. The simultaneous development of the Master's Degree in Archival Science at UBC mirrored this transformation. The most interesting aspect of this introduction is the insight it provides into the evolution of Duranti's own thinking during the process of writing these articles. By doing this, the introduction adds another dimension to the text.

I remember reading the articles one by one as they were published, anticipating each one more and more as the series progressed. Since that time, I have used the articles to inform my own research as well as in the classroom as assigned readings. However, it had been some time since I had read the series as a whole. Rereading the articles as a book was more than reward. In Chapter 1, Duranti poses the question she thinks is in all her readers' minds, "How am I to use all this?" (p. 28) Duranti notes she will answer this question in Chapter 6. Unfortunately or fortunately, by the time that readers get to Chapter 6 they have many other ideas. There is so much food for thought here! In tracing her own evolution in the writing process, Duranti notes that she began the series of articles in an attempt to explain diplomatics to a North American audience, but in the end began to develop a new diplomatics and to adapt the concepts to modern records. By opening up the idea that diplomatics can evolve, Duranti frees archivists to adopt these concepts, and thus answer for themselves the question she poses in the first chapter.

Is diplomatics important for archivists to learn in the digital age? Duranti would say yes, and I would concur. These essays are powerful and even a relativist, such as myself, on the cusp of the twenty-first century, can see a variety of important ideas in diplomatics. For example, the emphases on recordkeeping, the importance of understanding the process by which documents are created (genèse), and why documents look the way they do (form) are central to any archival endeavor. In Duranti's words, these "reflect practical legal, adminis-

[1] Two personal favorites are: Leonard E. Boyle, "Diplomatics," in *Medieval Studies: An Introduction,* edited by James M. Powell (Syracuse: Syracuse University Press, 1992), 82–113; and Armando Petrucci, *Writers and Readers in Medieval Italy: Studies in the History of Written Culture,* edited and translated by Charles M. Radding (New Haven, Conn.: Yale University Press, 1995), particularly chapter 10, "The Illusion of Authentic History: Documentary Evidence," 236–50.

trative, and economic structures, culture, habits, myths, and constitute an integral part of the written document" (p. 41).

Whether one believes in diplomatics as a method for the analysis of modern (electronic) records or not, Duranti has helped the North American archival profession revisit concepts of authenticity, reliability, form, function, and the importance of recordkeeping processes themselves with these articles. Studies of recordkeeping practices[2] and documentary form[3] that had become the province of historians and anthropologists are once again territory for archival commentary and research, thanks in part to Duranti.

For those not familiar with the *Archivaria* articles, here is a brief summary of the work. After the introduction, the book is divided into six chapters. Chapter 1 provides an overview of the origins of diplomatic theory, its core concepts, and purpose. Chapter 2 discusses concepts relative to the creation of documents, such as the fact, the act, and the function of the document. Chapter 3 covers the role of the creators of documents and how this relates to the nature of the documents they create. Chapter 4 concerns the importance of understanding the procedures underlying document creation. Chapter 5 explicates the core diplomatic principle and analysis of intrinsic and extrinsic form. And, finally, Chapter 6 discusses the uses of diplomatics.

These chapters cause archivists to pause and reflect on their activities at a number of different levels. I will mention three that strike me as significant: definitions, the emphasis on document creation, and diplomatics as method versus diplomatics as theory.

First, definitions abound in Duranti's work. Definitions are important. They are key in helping North American archivists understand diplomatics. Yet, as Duranti notes in her new introduction (p. 12) terms are sometimes very difficult to translate. Duranti's use of terminology, such as process and procedure, is very different from that of the organizational theory and computer science communities. However, the concepts behind these terms are important for archivists to grasp. In dealing with electronic records, it will also be essential for archivists to be able to translate or explain our sense of these concepts to other professions.

A second important element in this work is the concentration on the processes and procedures that lead to the creation of records. The context of creation, whether narrowly or broadly defined, is a key element in some revisionist definitions of provenance.[4] Furthermore, understanding the context of creation is not only critical for determining the authenticity of records, but also

[2] Stanton Wheeler, ed., *On Record: Files and Dossiers in American Life* (New York: Sage, 1968).

[3] Joanne Yates and Wanda Orlikowski, "Genres of Organizational Communication: A Structurational Approach to Studying Communication and Media," *Academy of Management Review* 17 no. 2 (1992): 299–326.

[4] David Bearman, "Record-Keeping Systems," *Archivaria* 36 (Autumn 1993): 16–36.

essential for other archival functions, such as appraisal, description, and reference. Duranti's beginning thoughts about how this might apply to electronic records are very interesting in light of her more recent research projects, such as "The Preservation of the Integrity of Electronic Records," and the current "InterPARES" project.

In the final chapter, Duranti discusses "Diplomatics as a Method of Inquiry." In a profession such as archives that is still experimenting with appropriate research methods and perhaps even debating whether there is valid archival research, this section is important. What Duranti has given us is a new tool to use in records analysis and to apply to records-related questions. She also demonstrates how this tool has been used in the past and provides some intriguing glimpses of potential uses of diplomatics with more modern (electronic) records.

As with most reviews, there are a couple of picky comments. My first one concerns the scanty two-page index. In the text, Duranti refers to an Appendix that is a "list of diplomatic definitions" (p. 161) leading one to assume that the index was originally intended to be a list of diplomatic terms with the page numbers referring back to their definitions. I would have preferred a true index so that concepts such as form or genèse could have been traced throughout the book. Being able to find references to discussions of form or genèse not just in the chapters referring to these terms, but in the other chapters as well would have enabled readers to better understand the relationships between these and other concepts. Another option for added value would have been to include a glossary of these terms at the end. This would have been a great service, as many of these terms do not have English equivalents and their definitions are difficult to find. My second comment concerns the illustrations that seem to have been reprinted from the *Archivaria* articles themselves without returning to the originals. In one case, the *Letters Patent of George III,* the illustration is almost illegible (p. 93). However, these problems are minor and do not take away from the work.

In the end, Duranti reminds us that we are all records professionals. She manages to underline the centrality of records and the critical importance of their context (creation, form, etc.). This focus is key to emerging concepts of what the archival profession should become. Even if one does not agree that a diplomatic approach is feasible, one can appreciate the insistence that archivists employ some type of scientific records analysis in research and practice.

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