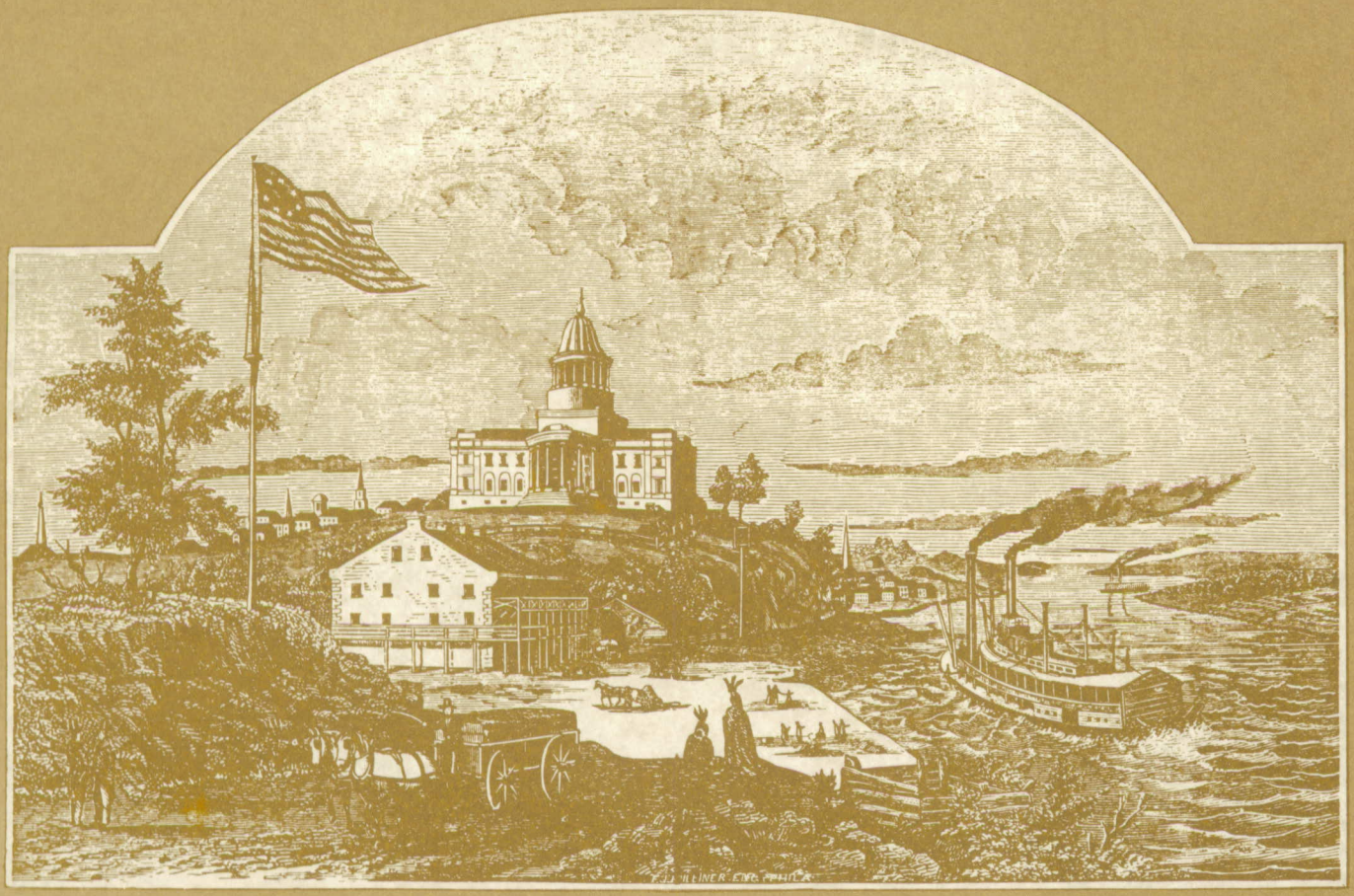

A Future for the Past

An assessment of Missouri's historic records programs
by the State Historic Records Advisory Board

Published by Roy Blunt, Secretary of State

A FUTURE FOR THE PAST

A Report to the People of the State of Missouri
by the Missouri Historical Records Advisory Board

Missouri State Historical Records Assessment
and Reporting Project

September 1988

Published by

Roy D. Blunt
Secretary of State

EXECUTIVE OFFICE
STATE OF MISSOURI

JOHN ASHCROFT
GOVERNOR

September 1988

Dear Fellow Missourians:

A Future for the Past is the report of the Missouri Historical Records Advisory Board on the condition of historical records preservation in our state. It is the culmination of a project begun nearly two years ago with funding from the National Historical Publications and Records Commission. More than 30 Missourians, each of them deeply interested in our state's history, worked on this project. I am grateful for their service to us today and to those who will inherit Missouri's documentary heritage.

This report gives us valuable information about the status of historical record keeping in Missouri, identifies some of our needs in this area, and offers recommendations for meeting those needs. These are significant issues for state policymakers to consider, and I encourage a careful analysis of the ideas and recommendations presented by the Missouri Historical Records Advisory Board.

Preserving the record of our past begins with an awareness of our past. I urge all Missourians to read this report and learn more about the historical documents of our state, our counties, and our communities. By developing a greater appreciation for our history, we can all help ensure A Future for the Past.

Sincerely,

John Ashcroft

GOVERNOR

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I

INTRODUCTION

by

Roy D. Blunt
Secretary of State

and

Gary R. Kremer
State Archivist

Missouri's historical records are one of our state's greatest resources. They are the foundation of our collective memory. They help us to measure our progress in the present and plan for the future. How would we function without them?

Imagine a governor of the state, charged with the responsibility of executing the laws, but totally unaware of how previous chief executives had carried out their functions. Imagine legislators, trying to pass those laws, without any understanding of how their predecessors had proceeded. Imagine judges, trying to interpret those laws, without the benefit of a precedent. It is like trying to imagine a time before time. It baffles the mind.

Because Missourians have saved many of their historical public records, and housed them in the secure environs of the Missouri State Archives, we know much about our past that we could not otherwise know. We know about the years of Spanish and French control because we have the land transactions that have been preserved from those pre-territorial days. We know about Missouri's territorial and early statehood struggles because of the records preserved from those eras.

Military records of Missourians who have defended their state and nation are another priceless part of our documentary heritage preserved at the Missouri State Archives. Those records allow us to see the role Missourians played in the War of 1812, various Indian Wars, the 1838 Mormon War, the Iowa War, the Mexican War, the Civil War, and the Spanish-American War.

The preservation of Missouri's Supreme Court cases at the State Archives provides modern Missourians with a rich sense of their past, including voluminous materials relating to the southwest Missouri Baldknobbers in the 1880s, and a little-known autobiographical statement by future president Harry S Truman, written in the form of a deposition taken in 1912.

It was because of a concern for records such as these and countless others, many not yet discovered, that we initiated the Missouri Historical Records Assessment and Reporting Project in 1986.

A Future for the Past is a report of that project, funded by a grant from the National Historical Publications and Records Commission (NHPRC) and matching funds from the Records Management and Archives Division of the Office of the Secretary of State. This project is part of a national effort initiated and nurtured by the NHPRC to assess and report on the condition of individual states' documentary resources and to provide recommendations and strategies for their preservation.

The Missouri Historical Records Advisory Board's (MHRAB) objectives in accepting the state needs assessment grant were not only to conduct the first state-wide assessment since the 1930's

Historical Records Survey, but to foster greater institutional cooperation in all areas of historical records management, improve conservation activities state-wide, develop an effective advocacy program to promote our shared cultural heritage, and to develop an on-going planning mechanism to meet future needs.

The MHRAB established task forces for the four required assessment areas, each chaired by a member of the board--State Government Records, Historical Records Repositories, Local Government Records, State-wide Services and Functions. In addition to assigning each board member to a task force, outside experts representing a variety of institutions throughout the state were added through appointment by the state coordinator. A list of each task force's members is attached as Appendix A.

The project officially began with a combined task force meeting on January 22, 1987. In addition to the general meeting, time was allotted for each task force to meet as a group for the first time, to organize and establish individual goals and objectives within the context of the grant.

Over the next two months, each task force met at least twice, subcommittees were established to investigate and report on specific problem areas, and survey questionnaires were prepared for each assessment area. Several on-site visits were conducted to better acquaint task force members with existing conditions in critical areas.

Efforts were made to publicize grant activities. Press releases were issued on task force appointments and overall goals and objectives. To coordinate the on-going activities of each

task force, an Executive Committee consisting of the project director and the chairs of each task force was established to coordinate the final survey questionnaires and determine the best means of encouraging a response.

On April 24, 1987, an open meeting on the project was conducted at the Missouri Conference on History in Columbia, Missouri. Session participants included Project Director Gary Beahan and Task Force Chairs Dr. James Goodrich, Dr. William Foley, Dr. Benedict Zobrist, and Mrs. Betty Harvey Williams. Beahan outlined the project's activities and goals and the task force chairs detailed the work of their task forces. The session generated a great deal of interest and comment from those present in the audience.

A second open meeting was held in Springfield, Missouri, on September 25, 1987, at the Mid-America Conference on Histroy. The task force chairmen reported their initial findings. Session participants included the task force chairs with comments made by Howard P. Lowell, Oklahoma Department of Libraries.

The assessment project was slowed in the fall of 1987, when Gary Beahan resigned his position as state archivist and project director. As a result, grant activity was minimal during September and October. Gary Kremer replaced Beahan as project director on November 1, 1987, and on November 24, 1987, he and the Secretary of State met with the task force chairs to re-vitalize the project and to chart a path for the next several months. The major outcome of that meeting was a decision to hire two consultants to assist in the assessment: one for State and

Local Government Records, and one for Historical Records Repositories and State-wide Services and Functions.

Bids were solicited through the State Office of Administration for both consulting positions.

In March 1988 the consultant for State and Local Government Records, Roy Tryon of the Delaware State Archives, spent three days on-site in Missouri. Tryon met with the Local Government Records Task Force chair and the State Government Records Task Force chair on the evening of March 27 to review the areas the two committees felt needed addressing. The remainder of his visit was divided between conversations with 26 individuals in person and by telephone, review of records statutes, NHPRC assessment project task force reports, minutes, and questionnaires. He also reviewed numerous program forms, reports, publications, retention schedules, and related material. The Records Center and Archives building in Jefferson City was inspected and visits were made to three state agencies in the capitol area, the Moniteau County Courthouse, and the Northwest Missouri Genealogical Society Library in St. Joseph to inspect facilities and interview staff members.

The consultant for Historical Records Repositories and State-wide Services and Functions, Nicholas Burckel of Washington University in St. Louis, Missouri, made his assessment the first week of May 1988. Burckel met jointly and individually with a number of key personnel and their staffs from public and private historical records repositories. He also reviewed the work of the task forces, their survey results, site visits, and final reports to make his recommendations.

While the reports from the two consultants were invaluable in assessing Missouri's historical records needs, it should be stressed that the final report is the work of the Missouri Historical Records Advisory Board and the task forces. The consultants' reports are included as Appendices B and C.

The task forces played a critical role in the completion of this project. Their activities are summarized below.

STATE GOVERNMENT RECORDS TASK FORCE ACTIVITIES

The State Government Records Task Force met in Jefferson City on June 11, 1987, to assess the initial returns from the questionnaires that had been sent to state officials and agencies and to discuss plans for the employment of an outside consultant. Because of the poor initial rate of return to the task force's questionnaire (22 out of 200), the members decided that state archives staff persons should attempt to contact those who had not responded to the inquiry.

After reviewing the questionnaires that had been returned, the task force also decided to proceed with plans for securing the services of an outside consultant who would review the findings from the survey and conduct a three day, on-site inspection of the state's records and archives operations. The task force wanted the consultant to review current operations and procedures and to make specific recommendations concerning the following: (1) the adequacy of current statutory provisions governing public records, (2) the adequacy of the current records classification system and retention scheduling, (3) suggestions

regarding current and future staffing needs in Records Management and Archives, (4) the adequacy of current budgetary allocations, (5) the adequacy of current facilities and recommendations for the new State Archives building, and (6) recommendations concerning the development of guidelines and procedures for handling archival computer data.

The task force members decided that they would not need to reconvene until the consultant's report was available. In the meantime, a member of the Archives staff completed the follow-up contacts with state agencies that had failed to return the State Records Questionnaire. Only 37 additional questionnaires were returned for a total of 59 out of 200 (30%), but it was also determined that in numerous instances individual departments or sections within an agency submitted only a single combined reply. On this basis, it appeared that the overall rate of return was substantially greater than the raw figures suggested.

HISTORICAL RECORDS REPOSITORIES TASK FORCE ACTIVITIES

In mid-May 1987, 890 questionnaires were sent out, asking librarians, archivists, and/or curators to respond and return the questionnaires to the Missouri State Archives no later than June 3, 1987. By June 11, 221 questionnaires had been returned, and before the month of June ended, the number returned increased to 277, or approximately 31%.

Follow-up telephone calls were made to agencies or organizations considered important to the successful completion of the task force's mission. Questionnaires were sent to 62 non-

responding repositories a second time. Sixteen of these were returned.

In addition to these activities, the task force members, either individually or collectively, visited many of the repositories and/or talked with staff members by telephone about the questionnaire. The task force also met on several occasions to discuss the findings compiled from the questionnaires received and to consider possible recommendations for a final report.

LOCAL GOVERNMENT RECORDS TASK FORCE ACTIVITIES

In April 1987, the Local Government Records Task Force divided into three subcommittees to facilitate task force activities. One subcommittee met with representatives of the Clay County Archives and Buchanan County Research Center for discussions about housing records and making them available to the public.

In May 610 questionnaires were mailed to local governmental officials. By June, 273 (approximately 45%) had been returned and the task force met to discuss the same. Additionally, subcommittees met to study data at hand regarding the statutory responsibility of the Records Management and Archives Division of the Office of Secretary of State, as well as the adequacy of existing laws.

The entire task force met in Springfield in July and toured the Greene County Archives, as well as the Greene County Recorder's Office and the Springfield City Clerk's Office. Activities of the subcommittees were discussed, as was the need to employ an outside consultant to assist in the assessment.

The task force met again in August in Rolla. This meeting was taken up primarily with a discussion of possible recommendations to be made for a final report.

In February 1988 the task force met with the project director and the Secretary of State in Jefferson City to discuss legislation that would promote preservation of county records.

The areas to be addressed by the consultant were also discussed. These included the need for more historical representatives on the Local Records Board and a list of concerns regarding local records--especially where such records have been removed from courthouses.

STATE-WIDE SERVICES AND FUNCTIONS

TASK FORCE ACTIVITIES

The State-wide Services and Functions questionnaires were mailed on May 11, 1987, with the request that they be returned by June 8, 1987. The questionnaire was mailed in two groupings: (1) with the Local Government Records questionnaire to 610 local officials, and (2) with the Historical Records Repositories questionnaire to 890 institutions throughout the state. There were 117 responses from organizations classified as historical societies and/or museums. There were 216 responses from local governmental officials, ten from federal repositories, and eight from state agency repositories. The total number of responses was 351 (23%).

Following the receipt of completed questionnaires, results were tabulated and evaluated in special task force meetings.

Preliminary indications were that very few institutions perform conservation on existing materials, and very few respondents employ professionally trained archivists or record managers. As far as archival or records management assistance was concerned, the majority of the respondents had not sought outside help with their records management problems, but would be willing to do so under the proper circumstances.

FINAL REPORT PREPARATION AND PUBLIC MEETING

Following the completion of the task forces' activities, and the consultants' visits, Archives staff and task force chairs began preparing a final report. An executive summary of major findings and recommendations was compiled for distribution and discussion at a public meeting, held in Jefferson City on June 20, 1988. Approximately 75 people attended that meeting. Suggestions made at the public meeting were incorporated into the report, which was subsequently distributed to MHRAB members for final revision and approval.

A Future for the Past reflects a state-wide effort at self-assessment of Missouri's records keeping needs and a plan of action for the future. Missourians must now face the challenges clearly outlined in this report.

II

EXECUTIVE SUMMARY

This report constitutes an assessment of Missouri's historical records, repositories, and services. It is the result of more than 18 months work by more than 30 persons, all of whom share a common commitment to the preservation of Missouri's rich documentary heritage. It identifies problems existing in the state and offers solutions for the resolution of those problems.

Following is a list of major problems identified by task force members and outside consultants, along with recommendations to alleviate the problems.

FINDING

1. The Missouri Historical Records Advisory Board (MHRAB) is not broad-based enough and is not permanent, inasmuch as it is the product of an Executive Order and not legislation.

RECOMMENDATION

The MHRAB should be reconstituted to provide expanded representation and the services of a full-time coordinator. It should also be created by statute rather than executive order. The Board will play a major role in effecting positive change in Missouri's historical records program. To achieve the greatest possible success, the Board needs broad-based, high level involvement. At minimum the Board should include significant leaders from the business, academic, historical, genealogical, and political communities.

The Board should be staffed by a full-time coordinator working under the direction of the state archivist. This staff person will be able to assure follow-up on projects and to provide necessary background research and documentation.

The Board, once reconstituted, should use the final assessment report, including the reports of the task forces and consultants, as the basis for developing a long-range plan.

The permanence and seriousness of the state's commitment to preserving its historical records can be asserted by the creation of a statutory Board rather than the currently-existing Board.

FINDING

2. Missouri's public records law is inadequate for the state's historical records needs.

RECOMMENDATION

The state's public records law should be revised to include the legislature and the judiciary. The failure to include those two branches of state government under the current law invites the loss of significant and irreplaceable parts of the state's documentary heritage. Additionally, the law should be changed to allow access to confidential records under specified conditions. For example, allowing the use of records by qualified researchers who would not be permitted in their writings to refer to specific individuals; and establish a date for opening such confidential records (e.g., after 75 years). The public records law should also specify the roles of the State Archives and the State

Archivist in selecting and preserving records of historical value.

The public records law should be revised to require state agency appointment of records liaison officers, and the law should strengthen the state records program in its relationship with those records officers and the agencies they represent. The law should specify compliance and monitoring of state microfilm standards and should establish a State Archives revolving fund for revenue resulting from microform and paper copying. This would allow the Archives to replace microfilm which has deteriorated as a result of too frequent copying. Finally, the law should be revised so as to establish a penalty for wilful noncompliance.

FINDING

3. The staff of the Archives and Records Management Divisions of the Office of Secretary State is insufficient in numbers and underpaid. Such a situation makes it difficult to hire and maintain the number of professional archivists necessary to meet the state's historical records needs.

RECOMMENDATION

The Archives and Records Management Division staffs should be professionalized as expeditiously as possible. In a 1987 survey of archival positions filled in 22 states between 1982 and 1987, Missouri ranked <u>last</u> in minimum qualifications required and salaries paid. Many staff members have acquired their

professional skills through on-the-job-training and readings rather than through formal professional training. One vehicle for assuring program continuity as well as the recruitment and retention of qualified personnel would be to designate all middle-management and lower positions in the Records Management and Archives Division as merit positions. Such a change in legislation should permit incumbents to be "grandfathered" into the merit system or should convert these positions at the time the incumbent resigns. It should also facilitate legislative support for necessary expanded staffing and salary adjustments by eliminating the charge that such expansion is designed to increase partisan political influence by extending patronage appointments. Incumbents in Archives and Records positions should be provided with continuing education opportunities.

FINDING

4. Many historically-significant state records are currently endangered and inaccessible to the public because they are housed in agency offices rather than at the Missouri State Archives.

RECOMMENDATION

All archival material currently held in agency offices should be transferred to the State Archives, along with agency personnel whose function it is to serve as curators of those collections. Consolidation of archival material in the State Archives, along with the transfer of relevant personnel, would

provide more efficient and coordinated service. Researchers would have greater access to the material because of the Archives' extended hours and better public use facilities. Additionally, the historical records would be much better cared for, particularly when the Archives moves into a new building which will feature temperature and humidity controls, as well as a much better security system than currently exists in agency offices.

FINDING

5. Local historical records are particularly endangered because of the lack of local resources to manage records programs.

RECOMMENDATION

Local public records repositories/research centers should be established throughout the state to house the records of counties that can no longer care for them. The local records analyst program should be expanded to allow greater service to more local governments. The legislature should appropriate between $50,000 and $100,000 per year for a local records re-grant program to be administered by the State Archives. A filing fee should be established for all filings with county recorders throughout the state. This fee could be used to help defray the cost of the care and preservation of local historical records.

Regional repositories/research centers would be particularly useful as some rural counties in the state face severe financial

times which, in some instances, have led, and may continue to lead, to courthouse closings. Regional research centers would provide better care of local permanent records than is now available, and they would make those records more accessible to the public than is now possible.

A re-grant program would improve local conditions in small organizations that hold archival material but do not have adequate staff or resources to arrange, describe, store, conserve, and make available their holdings. Re-grants could also be used to fund internships, attendance at workshops or archival meetings, or to hire consultants with specialized expertise--all of which would increase archival skill and knowledge within the state. A small annual program with limited overhead could produce significant salutary results throughout the state. In particular, it would raise the quality of finding aids, increase knowledge of, and access to, collections, and facilitate a coordinated collection development strategy.

FINDING

6. Competition for historical records and manuscripts creates tension between records repositories, fragments collections, and often results in archival materials being placed in inappropriate and inaccessible locations.

RECOMMENDATION

Competition for historical records and manuscripts, perhaps unintended or unrecognized, should be reduced by the gradual

development of a coordinated state-wide collection development strategy. Such a strategy must be built on a knowledge of what is already available as well as a sensitivity to areas of the state's history that are inadequately documented. A cooperative approach can only be achieved gradually and must be done with the active involvement of repositories that collect material. A collection development policy of so large a scope must be built on mutual trust and shared values; it cannot be legislated. The size of their collections, and their state-wide responsibilities, dictate that the State Historical Society and the State Archives lead the way in this venture.

FINDING

7. Missourians generally lack an understanding of and appreciation for historical records.

RECOMMENDATION

The State Archives and State Historical Society of Missouri should work closely together to coordinate an active program of outreach and education. Such coordination should be reflected in a written agreement or memorandum of understanding after adequate discussion not only with representatives from these two agencies, but also with the active involvement of the Secretary of State and the University of Missouri System Vice President for Academic Affairs. There is an obviously close relationship between the two units, but potential areas of conflict or overlap exist as well. No matter who takes responsibility for what, more

resources will be required. Organizational shifts and restructuring will provide little relief without a realization that additional resources, public and private, state and local, will be required. Sharing those costs at least spreads the financial burden and provides benefits to participants comparable to the level of resource commitments.

FINDING

8. There is insufficient formal contact between Records Management and Archives personnel resulting in, among other things, the lack of historical perspective in the creation of retention schedules and, thereby, the destruction of historically-significant records.

RECOMMENDATION

Involve Archives personnel in regular formal meetings with records analysts regarding plans and priorities for agency projects. Increase Archives staff contact with agency personnel.

There is no ongoing formal contact between Records Management and Archives which is sufficient to bring about an integrated perspective on issues of common concern. This is nowhere more evident than in the records scheduling process, despite the existence of an in-house review panel. Due to the limited number of Archives personnel, they are only involved in the <u>review</u> of already-established records schedules, rather than in the <u>creation</u> of records schedules. Archives personnel are consulted from time to time by Records Management personnel, but

do not have any regular contact with state or local government agencies or familiarity with the nature and usefulness of current agency records. As a result, archivist participation in schedule establishment and review is not always sufficient to guarantee proper agency documentation. Agency records retentions continue to be reviewed and reduced without appropriate and well informed archival input. This input cannot be provided, however, under existing staffing patterns. Proper involvement of Archives personnel in the establishment and review of state and local records schedules will require a greater legislative commitment to archival manpower than has been evident historically.

FINDING

9. There is no general schedule for records commonly found in most state agencies, resulting in inconsistencies in disposition instructions.

RECOMMENDATION

The Archives and Records Management Divisions of the Office of the Secretary of State should develop a general records retention schedule for agency administrative, financial, personnel, and other records commonly found in state offices. Implementation of a comprehensive general schedule for state agencies would at once provide coverage for about thirty percent of series produced by state agencies and bring to bear a considerable amount of consistency in dealing with them. Time and effort could then be freed up for scheduling records unique to agency functions and activities.

FINDING

10. There is no central place or source that researchers can go to discover what archival repositories throughout the state hold what kinds of materials.

RECOMMENDATION

The Missouri State Archives should establish a state-wide database of information about archival repositories, their collections, policies and procedures. Likewise, the Archives should become the state's archival information clearing house for information exchange.

The elements of the database should be drawn, at least as a beginning, from the completed questionnaires returned to the various task forces that worked on the NHPRC assessment project. The database should be compiled in conformity with a national database currently being created by the Society of American Archivists. Once established, the database can be updated and new information added so that state-wide guides can be developed. The database could also be used to determine the needs of institutions holding historical records. This information could be used for planning and analysis to do the following:

A. Determine the content of workshops or other educational programs based on needs reflected in the data.

B. Decide the location of workshops based on the location of those expressing the greatest need for such training.

C. Assess the extent of preservation efforts by type of repository (e.g., educational institutions or historical repositories).

D. Prepare specific informational reports tailored to the needs of the Missouri Historical Records Advisory Board (MHRAB) or other organizations.

E. Monitor progress in different areas over time (e.g., growth in collections, staff, or budget).

F. Measure resources available in various combinations to deal with the many problems associated with collecting and caring for historical records.

G. Provide the basis for analysis necessary for the ongoing work of the State Records Advisory Board

FINDING

11. The State Archives lacks a meaningful preservation program, beyond such basic maintenance activities as foldering and boxing records in acid-free containers.

RECOMMENDATION

The Archives should seek funding to conduct an in-depth preservation survey, with outside consultant expertise, to determine the nature and extent of Missouri State Archives needs. Currently, the Archives lacks proper facilities for extensive preservation work and also has insufficient staff and in-house expertise. Given the limited funds available for Archives needs, consideration should be given to the formation of a regional

preservation network that would allow Missouri to share resources and expertise with other Midwestern archives.

III

LOCAL GOVERNMENT RECORDS

Local governmental records are one of the lifebloods of American democracy. Drawn from the grassroots foundation of representative government and reflecting the nation's pluralism within a republican framework, local records illuminate our past, promote the efficient functioning of government, and help to safeguard our rights and liberties. Where these records are lost, neglected, or sequestered, the people suffer. In their preservation and availability lies a challenge for custodians and users alike. The absence of effective actions today will have unfortunate consequences for future generations, just as we have profited or suffered from the policies of our forebears. Where necessary, remedial measures must be implemented, and a vigorous state-wide program should be adopted, to ensure that the records of the present become the resources of the future.

The Local Government Records Task Force of the Missouri State Historical Records Assessment and Reporting Project was charged with examining the condition of local governmental records in Missouri, determining where problems and shortcomings exist, and formulating policies which will provide for the needs of the future. To fulfill this mission it met several times as a group, sent detailed questionnaires to appropriate local officials, visited courthouses and other repositories where the records are stored, and interviewed local custodians and state-wide officials who must deal with the preservation and use of

these documents. This report presents the findings and recommendations which developed from the evaluation process.

The history of local governmental records in Missouri is a checkered one, and all too often the bad has outweighed the good. Traditionally these records have been subject to the whims of the local officials who created them, as well as the unexpected actions of politics, nature, and war. Courthouse fires and other natural disasters have left huge gaps in many record series. During the Civil War many valuable records were destroyed, while others were removed, often in good faith, for "safekeeping," but were never returned to the re-established government. Over the years records have been given away, "loaned," lost, or even stolen from their proper repositories. On the state level things were nearly as bad, culminating in the great Capitol fire of 1911. In 1965 the General Assembly passed the "Public and Business Records Law," placing the basic legislation for public records in Chapter 109 of the Revised Statutes of Missouri. However, it was not until 1972 that additional legislation placed local records under the protection of state law. The amendments and additions created a Local Records Board, and since that date there has been an increased interest and effectiveness on the state-wide level in dealing with local governmental records. The implementation of a limited Local Records Analyst program in 1986 has already had a noticeable and salutary effect. Nevertheless the situation is far from satisfactory, and an additional commitment and resources are needed at both the state and local levels to provide the proper care for documents of permanent value.

Coordinated action has been hindered by the fact that many local governmental records actually fall outside the authority of legislative and executive action. Many judicial records, such as those of the Circuit and Probate courts, are maintained at the county level, but are ultimately controlled by the Supreme Court of Missouri, by authority of Chapters 109 and 483 of the Revised Statutes of Missouri. A State Court Administrator's Office and State Judicial Records Commission implement and disseminate the rules of the Supreme Court in regard to these records. However, the courts have cooperated to a great extent with the Local Records Management Program and have utilized microfilming services offered by the Records Management and Archives Division.

A final complication in the legal and administrative status of local records is the fact that in some localities significant bodies of records have been legally removed from the custody of agency heads and placed under the control of other agencies within the same building or governmental entity, or in privately controlled repositories. In most cases this has been done for the convenience of custodians and users alike, since the records involved usually are of particular importance to historians and genealogists, and are on neither the Local Records Board's nor the Courts Administrator's permanent retention schedules (or have been replaced by certified micrographic copies). It is the opinion of task force members that these are no longer official records, although we encourage the current custodians to allow public access and use under the conditions outlined by Chapter 109 of the Revised Statutes of Missouri.

Perhaps the most promising state-wide initiative has been the Local Records Management Program established in 1986 by the Records Management Division of the Office of the Secretary of State. Although understaffed and underfunded, it has sent five part-time local records analysts to 27 courthouses throughout the state, where the Analysts have advised and assisted local custodians on the proper creation, use, arrangement, storage, and preservation of records. Under this guidance these courthouses have been able to discard outdated records, organize archival storage areas, and make usable inventories of the material at hand. The task force applauds this creative and economical use of scarce resources by the Records Management Division to fulfill its state-wide mission. The Records Management and Archives Division has also offered to microfilm probate records at minimal or no cost to the local agency. Approximately 20 counties have taken advantage of this service.

At the local level little has been done to ensure the preservation of local governmental records in Missouri. Local records historically have been, and still are, threatened by destruction, loss, theft, and neglect. The State Records Law has seldom, if ever, been enforced against custodians who were incompetent or wilfully violating the law. Although the great majority of local officials are concerned and responsible administrators, they have given the preservation and use of records a low priority, citing a lack of funds, space, expertise and public concern for the task. Although in some jurisdictions, and particularly in the larger and more prosperous agencies,

adequate programs are in place, the general picture is gloomy, and past performances indicate that little initiative can be expected from the local level in the future.

On the state-wide level the picture is considerably brighter, and even in the least successful areas a firm base has been laid for future development and improvement. Under the protection of the Local Records Board, disposition schedules have been prepared for at least eighteen local governmental entities. The most recent editions of these schedules contain excellent summaries of records management and archival procedures, and include the complete texts of Missouri's laws concerning local records. The Local Records Board has also published two useful manuals concerning "Guidelines for Local Records Microfilming" and "Disaster Planning for Vital Records." Each custodian in the state should have copies of the appropriate manuals.

The State Courts Administrator's office, likewise, has distributed rules concerning the disposition of court records, as published by the Supreme Court of Missouri. These regulations allow the microfilming of records, and the removal of records no longer needed for current business. The rules specifically require the local custodian to offer outdated records to the Missouri State Archives and, if refused, to local museums and historical and genealogical societies before they are destroyed. Where such procedures have been followed the loss of historically valuable resources has been negligible.

The Local Government Records Task Force, through its use of questionnaires, visits, interviews, and inquiries, has determined

that, while conditions vary widely throughout the state, and many positive initiatives are under way, there are some significant problems and shortcomings concerning the care of local governmental records in Missouri. This report will identify and describe these difficulties, and will suggest appropriate short- and long-term state-wide responses to these challenges.

The results of the questionnaires were particularly instructive. The local officials who responded indicated that they were aware of the historical value of the records in their custody, but that they lacked the time, space, money, and expertise to deal with the problems presented by long-term archival care. On the whole they welcome a state-level concern for the records, supporting (by roughly a two to one margin) the concept of "local records regions" featuring centrally located repositories, and convenient workshops and seminars for instruction in records management and archives techniques. Those who have utilized the services of the local records analysts have, in general, been pleased with the results. The major fear expressed was that cooperation with state-level programs would require local expenditures of funds both now and in the future. In summary, it is likely that a comprehensive state-level (and state-funded) local records program would be favorably received at the local level.

The specific findings and recommendations of the Task Force, organized by general subject category, are on the following pages.

LEGISLATION

Missouri's Public and Business Records Law (Chapter 109 RSMo) is the basic state law which governs the treatment of public records at all levels of state government. It provides, among other things, for the orderly transfer of records from an officeholder to his or her successor; the recovery of records removed from official custody; the transcribing, rebinding, and duplication of records; the availability of records for public inspection; and the establishment of a Records Management and Archives Service, a State Records Commission, and a Local Records Board. It requires "agency heads" to comply with state laws concerning records; allows the director of the Records Management and Archives Service to "assist and advise" the legislative and judicial branches of government; and allows for the establishment of regional or state-wide repositories for the records of local governmental agencies.

It is, on the whole, a good law, broad in its scope and supportive of a wide range of actions on both the state and local levels. It gives authority, both explicit and implied, to the Secretary of State through appointive powers and programming latitude. Recognizing this stewardship responsibility which has devolved upon the office of Secretary of State, the Task Force adopted the following resolution:

> The Secretary of State and the Records Management and Archives Service have a public records management role, the purpose of which is primarily to abet the efficient and economical operation of government. Their responsibilities for state records management are explicit in law. With regard to local records, their responsibility is also informal and implied. The Secretary of State and the Records Management and

> Archives Division have demonstrated a spirit of stewardship for all of Missouri's records, to the end that the State's heritage documented there be preserved for history. Various initiatives in recent years have expressed that stewardship. A prime example is the Local Records Analyst program. The Local Government Records Task Force endorses and applauds that stewardship, directed as it is to the preservation and utilization of public records for historical as well as governmental purposes.

In practice the Public and Business Records Law has had only partial success, limited greatly by shortages of funds and personnel, and by the inevitable fragmentation of authority on the local level. Each of Missouri's 114 counties has at least five major elected officials, each of whom creates records peculiar to his or her own office. Hundreds of municipalities, special service districts, boards, and commissions add to the proliferation of individual custodians and repositories. State-wide action to date has consisted largely of formulation and distribution of records disposition schedules for each local agency by the Local Records Board, and the establishment of a Local Records Management Program, in which part-time (two days per week) employees of the Records Management Division advise local officials concerning procedures and requirements. The Secretary of State has not attempted to force the assistance of the local records analysts upon any local official, but most local records custodians welcome the guidance and support of state-level programs.

As briefly outlined above, the task force has found that the basic legislation concerning local governmental records is adequate. The shortcomings that exist fall largely in the areas of funding, execution, and programming, and not in the laws

themselves. Narrow legislation on specific topics is often unwise, and is in any case difficult to obtain. However, the task force does recommend that the General Assembly enhance the state and local records law in the following manner:

RECOMMENDATIONS

The Public and Business Records Law should define the role of the State Archives, as well as the State Archivist in the preservation of historical records. The law should also define the State Records Center. These additional definitions will amplify and clarify existing law.

The law should be amended to include judicial records. This will eliminate the division of authority which has hindered an effective and consistent state-wide local records preservation policy. The Secretary of State and the Records Management and Archives Division should be specifically recognized as the official officer and agency for the management and preservation of all public records.

The law should specify that the directors of Archives and Records Management shall "establish recording and storage standards in compliance with the American National Standards Institute recommendations." In order to ensure local compliance with applicable statutes concerning the preservation of local records, the law should be amended to increase penalties for noncompliance, and it should be rigorously enforced against custodians wilfully violating the law.

The law should be amended to allow the establishment and funding of permanent "revolving funds" for the support of records preservation. The function of such funds will be discussed in later sections.

There is no clear and consistent policy concerning access to certain public records. Some records have been closed or restricted for indeterminate periods through judicial or executive action. There is no systematic way to remove or alleviate these restrictions. Chapter 109 RSMo should be amended to provide that no record shall remain closed for a period longer than 75 years after its creation. Provision should be made to allow access to closed records by scholars and all researchers willing to abide by the law, provided that the confidentiality of the records is maintained in all notes, reports, and publications.

FUNDING

Severe lack of funds has been a constant in the history of local governmental records preservation in Missouri. Almost without exception local officials cite a lack of funds as a major obstacle to providing proper care for records. Officials often have little control over how funds are allocated, this being determined instead by legislation and local governing boards (mostly county commissions and city councils). On the state level, gains have been grudgingly made, and are in constant jeopardy due to budgetary "short-falls" and changing legislative priorities. Given present trends in the state concerning

taxation and demands for more visible services, it is unlikely that constraints in this area will ease. This lack of funds, on both the local and state-wide levels, has made remedial efforts difficult, and does not allow the implementation of new programs or dependable long-range support.

RECOMMENDATIONS

A fee dedicated to records management and preservation should be assessed on all official documents which will require permanent retention, storage, and/or micrographic duplication. The funds derived from this fee would be placed in a permanent revolving fund, and would support both local and state-wide preservation efforts. Missouri already has a similar arrangement by which a $3 fee is added to the filing fee on real property transactions. Twenty percent of this fee is retained in the county while 80% goes to the State and is ear-marked for the Department of Natural Resources to be applied toward the cost of surveys made in the State. The law stipulates a portion of this fee goes to the county, for "storage, microfilming, and preservation of records." Net proceeds from the duplication of documents by the Records Management and Archives Division also could be dedicated to the proposed revolving fund.

Some economies can be realized through increased use of micrographic reproduction and stricter adherence to established disposition schedules. Local records analysts, funded at the state level, can be helpful in this area.

EDUCATION AND TRAINING

Very few local records custodians possess the expertise to maintain records in accordance with accepted records management and archival practice. This has led to the improper care of records, even where space and funds are available for adequate maintenance. The addition of brief summaries of records management and archival principles in the local records manuals is a commendable first step in the education process, but the task force recommends that more rigorous, "in person," workshops and courses are needed.

RECOMMENDATIONS

The Records Management Division's Local Records Analyst program should be expanded, to increase the availability of analysts to advise and assist local records custodians. A toll-free "Records Hot Line" should be established, to give advice over the telephone to local records custodians. In many cases this would be just as effective, but far less costly, than sending a local records analyst directly to the scene.

Records management and archives workshops should be provided to local officials, on a regional basis, if possible. These could be offered to all local officials at one time in convenient locations, or through the various associations of local officials at their annual meetings.

Local governments with sufficient resources should hire professional archivists to maintain non-current records.

SPACE

Another problem cited by local officials in the care of records is a nearly universal lack of space. Many courthouses, now more public monuments than efficient sites for public business, are simply inadequate for environmentally appropriate storage, even where physical space exists. Adequate facilities are expensive to build and maintain, and the seeming "mountain of records" eventually overwhelms most offices and agencies. The Records Management Division through its Local Records Analyst Program, the Local Records Board through its published disposition schedules, and the State Archives through its microfilming program have all addressed the problem, but the task force has found that these efforts cannot eliminate the root of the difficulty at the local level. There are simply too many records to be stored in too little space.

RECOMMENDATIONS

The state, through the Records Management and Archives Division, should establish a network of at least five regional archival facilities for the storage, maintenance, and use of local governmental records of permanent value. Funded through the dedicated document preservation fee and other sources, these centers should be professionally staffed, environmentally controlled, and conveniently available to local officials and the general public. Staffing could be supplemented by student interns and/or volunteers. These repositories could be located on regional state university campuses (as in Illinois and

Wisconsin), or in suitable buildings centrally located in each local records region. Certain historical research centers, such as the proposed "Portal of the West" museum in St. Joseph, might also be appropriate sites. The areas served by the regional archival facilities and by the local records analysts should coincide. The repositories should be archival in nature, under the supervision of the State Archivist, and not used for records management functions. The repositories could also serve as centers for archival training for records custodians, and as sites for preservation and micrographics laboratories.

The Local Records Management Program and the micrographics program should be enhanced, and disposition schedules should be followed more closely in an effort to reduce the physical bulk of the records.

Jurisdictions with sufficient resources should provide adequate archival facilities, off-site if necessary, for the long-term maintenance of records.

STATE-WIDE LEADERSHIP AND COORDINATION

As described briefly in the Historical Summary, for most of the state's history, Missouri's local governmental records have accumulated with little state-wide planning or direction. Comparatively recent legislation and programming have now erected a basic framework for a coordinated, consistent, and effective local records policy. These efforts have been described earlier in this report, and the preceding recommendations have been based to a great extent upon the enhancement and elaboration of

existing laws and programs. In this final subsection the task force will recommend actions of a more general and innovative nature, with a view toward a future in which local governmental records creation, management, preservation, and use are integrated into a coherent and systematic state-wide network.

Missouri lacks a comprehensive state-wide local records policy which includes the active participation of each group or entity involved in the complete "life cycle" of records. The state is unprepared for new technologies in the field of records management and archives, and suffers from a lack of coordination among creators, users, and custodians of records.

RECOMMENDATIONNS

The Local Records Board should take a more active leadership role. It should be enlarged, to include additional representatives of historical and genealogical societies and the historical profession. Careful consideration should be given to expanding the list of records designated for permanent retention, recognizing the historical as well as administrative value of the records. Important examples include county court minutes, tax lists, and Men of 1918 books. The board should also consider publishing an occasional newsletter and hiring a full-time executive secretary.

Missouri needs a state-wide local governmental records survey, similar in scope and intent to the WPA records surveys of the 1930s and 1940s. Locations of records should be specified and the records themselves listed or inventoried. Former public

records now held outside of official custody also should be located and described.

There should be established an automated, state-wide, local records network, in which records are listed and described in a consistent manner, preferably in accordance with the **MARC-AMC** (Machine Readable Cataloging--Archives and Manuscripts Control) format established by the Library of Congress.

All public records now held outside of official custody should be located and brought into compliance with state law. Records which are legally removed from official custody should be covered by a three-way memorandum of agreement between the originating agency, the new custodial agency, and the State Archivist. This agreement should recognize the state's ultimate ownership of the records and provide for continued public access to the records. Local records analysts should be allowed to advise the new custodians regarding the preservation of the records, and provision should be made for the appropriate disposition of the records, should the new custodial agency no longer be able to care for them. Records disposition manuals should include instructions on how to transfer outdated records to appropriate nongovernmental custodians.

The task force recommends that a study be made of the effect of new media, such as electronic and optical storage devices, upon the creation, use, and storage of local governmental records. A state-wide policy concerning new technology should be adopted and followed.

The size and complexity of records from the state's major metropolitan areas must be carefully considered as a part of any comprehensive state-wide local records management and archives plan.

The entire state-wide local records management apparatus should be expanded to encourage the participation of a wider range of interested parties, such as the University of Missouri-Columbia's Governmental Affairs Program, the legal and real estate professions, and the state-wide local officeholders' associations. Local citizens' advisory groups, including representatives of local historical and genealogical societies, should be formed to provide support for preservation efforts. The general public should be informed about the importance of local records and their preservation.

Additional federal, state, local, and grant funding should be sought to provide remedial relief in crisis situations and to fund educational and "pilot" programs in the area of local records preservation.

SUMMARY

The state of Missouri can be proud of the progress it has made in recent years concerning the preservation of local governmental records. However, as this report points out, much work remains to be done. Funding must be found to support the efforts that are required. The Local Government Records Task Force is confident that affordable solutions exist, and that the public will support an enhanced local records program. To summarize the major recommendations of this report, they are:

1. The Public and Business Records law should be amended to enlarge its coverage and allow for the establishment of permanent "revolving funds" to support enhanced state-wide preservation efforts.
2. A dedicated document preservation fee should be assessed on all official documents which will require permanent retention. The funds collected in this manner would be placed in permanent revolving funds.
3. The Local Records Management Program should be expanded. Local records analysts should become full-time employees. Workshops and seminars should be provided on a regular basis to local records custodians.
4. The state should establish local records regions, each to be serviced by a centrally-located regional archival facility for the storage and maintenance of records of permanent value.
5. The Local Records Board should be expanded and encouraged to take a more active leadership role in the state-wide effort to preserve local governmental records.

IV

STATE GOVERNMENT RECORDS

Missourians share a rich heritage. The state's unique blend of peoples, cultures, and traditions, its strategic geographic location in the American heartland, its close association with many national movements and major historical developments, and its economic, political, and social diversity make its story an especially significant part of the national epic. In describing Missouri as the "most American of states," historian Lawrence Christensen recently concluded that "Missouri is truly a microcosm of the nation, and its history mirrors the complexity that characterizes the country's history."

As the guardians of that valuable historical legacy, the people of Missouri have a special responsibility for seeing that the state's priceless documentary records are properly preserved for future generations. The mission is not a new one. In 1820 Missouri's First General Assembly instructed the Secretary of State "to carefully preserve in his office, the original rolls of all acts and resolutions of the general assembly." Through the years the Secretary of State's record keeping duties have been expanded significantly. Missouri is a far different place than it was in its pioneer days, and the proliferation of records in an age of computer automation poses problems far beyond the imaginings of the state's founders. But the basic obligation set forth in that initial legislative enactment remains unchanged.

Mindful of the importance of that continuing responsibility, the Missouri State Historical Records Advisory Board initiated the Missouri State Historical Records Assessment and Reporting Project, with the support of a grant from the National Historical Publications and Records Commission. As a part of that project, the State Government Records Task Force was formed to assess current conditions in the state records program, identify any problem areas, frame potential solutions for those problems, and outline short-term and long-term recommendations for the state records program. Following the completion of a preliminary review of current operations and procedures in the Records Management and Archives divisions, the State Government Records Task Force devised a questionnaire soliciting additional input and opinions concerning the current program from state officials, archival staff members, and agency personnel. With the information from that survey in hand, the task force authorized the employment of Roy Tryon, the State Archivist of Delaware, as a special consultant to review the task force's preliminary findings and to conduct an on-site inspection of Missouri's records management and archival operations. The recommendations in this report are based upon the results from the task force questionnaire, Tryon's report of April 30, 1988, and task force discussions.

BACKGROUND

For many years, the state's records and archives received only sporadic attention. Attempts by state officials to address

the problem were undirected and piecemeal. Disastrous Capitol fires in 1837 and 1911 destroyed many valuable records from the state's earliest period, and those that remained extant were often sorely neglected. During the 1930s, state officials launched a project to rehabilitate Missouri's deteriorating archival records with support from the Works Progress Administration. That program was discontinued in 1945, and the situation remained basically unchanged until 1965 when the Missouri General Assembly enacted a comprehensive Public Records Law (Chapter 109 RSMo) authorizing the establishment of a Records Management and Archives Service for the efficient and economic management of state records. That enactment also created a State Records Commission to approve retention schedules for records kept by all state-wide elected officials, and all state agencies, with the exception of the University of Missouri's four-campus system. The public records law excludes the legislative and judicial branches of government, although it specifies that the same services afforded the executive branch shall be provided to the other two branches upon request.

The Records Management section of the Division of Records Management and Archives serves over 90 state agencies and their various divisions. The program provides record storage in a warehouse environment, microfilming of millions of state documents and destruction of records whose retention times have been met. The division is divided into four major areas: (1) a micrographics division which is a complete microfilming and microfiche production unit, (2) a warehouse facility which houses

inactive, semi-active and permanent paper records, (3) an analyst unit serving state agencies with expertise on record keeping, length of retention, and alternatives to paper storage and retrieval needs, and (4) a Local Records Program which provides records expertise to county government through part-time field analysts.

The Missouri State Archives has 11,500 cubic feet of holdings in its stacks, approximately one-half of which is fully processed. Somewhere between fifty and seventy-five percent of the total volume in the Archives is under some form of intellectual control. Another 20,000 cubic feet of archival materials is currently being stored in the Records Center because of the lack of Archives stack space. The Archives provides basic reference services for persons seeking information in the state's public records. The vast majority of requests are for genealogical materials, but inquiries are also handled for state and local governmental agencies and for historical researchers. The Archives staff has recently embarked upon a program to increase public awareness of the state's rich heritage and to encourage greater use of its archival collections by researchers, genealogists, and educational groups. Especially noteworthy are the Secretary of State's televised spots, "Moments in Missouri," featuring information from the Archives, and the publication of Missouri: Images from the Past, a documentary collection for use in the public schools prepared with the assistance of noted Missouri historian, David D. March.

In 1986 Missouri took another major step forward with the General Assembly's approval of an appropriation for the construction of a new State Information Center. When completed, this new facility will provide the Records Management and Archives Division with much needed space and the environmental controls necessary to preserve the state's archival holdings.

FINDINGS AND RECOMMENDATIONS

After many years of neglecting its state records, Missouri has recently made important strides in remediating a number of long-standing problems. In many ways the state is further along in dealing with its state records than it is in resolving serious archival management problems in other areas. Nonetheless, there is still much that can be done to strengthen and enhance the existing archival and records management programs for state government. With work already underway on a new State Information Center, the State Government Records Task Force members believe that this is an especially opportune moment for Missouri to move ahead with the development of long-term programs and policies that will ensure the preservation of the state's precious documentary heritage for future generations. The following findings and recommendations are offered in the hope that they will assist in achieving that objective.

LEGISLATION

Missouri's Public Records Law (Chapter 109 RSMo), adopted in 1965 and revised in 1972, needs to be updated.

RECOMMENDATIONS

We recommend that current state statutes be revised with attention given to the following proposed changes:

1. Include the legislature and the judiciary as subject to all provisions of the public records law.
2. Provide a penalty for wilful non-compliance with provisions of the public records law.
3. Give the state records program the right to transfer any records from agency custody which it considers in danger of deterioration, damage, or destruction. This presupposes that the program will have the right to inspect agency records at any time.
4. Require each agency head to appoint a records officer to act as liaison with the state program on all agency records matters.
5. Allow access to confidential records under specified conditions. For example, allow use of records by qualified researchers who would not be permitted in their writings to refer to specific individuals, and establish a date for opening such confidential records (e.g., after 75 years).
6. Give the state records program the right (presently held by agency heads) to determine the nature and form of agency records, especially in cases where permanent records are concerned.
7. Make specific mention of the State Archives and the role of the State Archivist in selecting and preserving records of historical value.

8. Revise the current statutory provision regarding microfilm sales by the Archives to allow for charges at full cost and establish a separate revolving fund in which sale proceeds may be deposited.

FACILITIES

The current facility housing the Archives and Records Management operations located at 1001 Industrial Drive in Jefferson City is woefully inadequate, but when the new State Information Center Building is completed, it should provide adequate and safe storage.

RECOMMENDATIONS

We recommend that every effort be made to expedite the completion of that new structure and to facilitate the relocation of the State Archives and Records Services in adequate and secure quarters within that building.

STAFFING

Within the framework of the present budgetary constraints, the archival and records management staffs are providing essential services, but the opening of the new State Information Center and the expanding operations of the state's records management and archival services make it clear that in future years increased allocations and expanded services will be essential for meeting the mandate of caring properly for state records.

RECOMMENDATIONS

To maximize the return on the state's expenditures and to ensure the continuation of an efficient archival and records management program we recommend the following:

1. Conduct a full-scale classification/compensation review of all Division positions, making reference to other state programs of comparable size and responsibility. Present report to Department management for action.
2. Move mid- and lower staff positions from appointed to merit status.
3. Increase training and travel opportunities for all professional staff, encouraging participation in state, regional, and national professional associations.
4. After study of similar programs in other states, develop and submit a request to the legislature for increased staffing in support of a fully-developed state and local records management and archives program.
5. Review all staff functions/activities in support of better resource allocation. For example, positions dedicated to routine filming jobs in the central microfilm unit could be reclassified to Archives or records analysis and the microfilm work subcontracted to a local firm or sheltered workshop under state supervision.

INTEGRATION OF RECORDS MANAGEMENT AND ARCHIVAL FUNCTIONS

Although all of the units of the Records Management and Archives Division appear to be carrying out their assigned tasks efficiently, both records management and archives would benefit if their operations were more fully integrated. As Dr. Tryon noted in his report,

> There are obvious differences in the orientation and interests of records managers and archivists. The former concentrate on contributions to government economy and efficiency through records destruction, while the latter are concerned with ensuring adequate documentation of government activities.

Both groups need to be involved in the decision-making process regarding records scheduling and retention. There is a similar need for better coordination between the records analysts and personnel in the various state agencies with record keeping responsibilites. The responses to the task force questionnaire indicate that many individuals in state agencies would welcome more assistance and guidance from members of the records management and archives staff. In addition, our findings also reveal that many state agencies maintain separate archives totally independent of the state archives and records operations.

RECOMMENDATIONS

To ensure a better integration of the state's records management and archival functions we recommend:

1. Integrate records management and archives activities, especially in the area of records retention scheduling, agency contacts, agency files, forms and controls, computer applications, and machine-readable records

initiatives. Hold regular meetings to more fully involve Archives staff in the creation of records retention schedules.

2. Strengthen the archival component and weight in records retention decision-making.
3. Increase staff meetings in support of program integration and good communication.
4. As staff additions or reallocations become possible, expand the responsibility of records analysts to include greater advisory and related services to agencies.
5. Involve Archives personnel in regular formal meetings with the analysts regarding plans and priorities for agency projects.
   a. Increase Archives staff contact with agencies.
   b. Expand the state agency contact area beyond Jefferson City into other parts of the state.
   c. Provide archival workshops for records management personnel.
6. Hold regular workshops and seminars for state and local government representatives on aspects of records management and program requirements.
7. Survey the state agencies that operate their own archives to determine if, in some instances, those records could be better protected at less cost to the state by bringing them under the direct supervision of the Records Management and Archives Division.

MACHINE-READABLE RECORDS

The increased use of electronic records-creating and maintenance systems represents an area that deserves immediate attention. In the absence of well-defined policies and procedures for handling archival computer data, there is a clear and present danger that valuable records may be lost or that agencies will find themselves forced to maintain costly and inefficient parallel hardcopy records. Missouri must move to develop adequate policies governing the creation and management of machine readable records.

RECOMMENDATIONS

To expedite the development of a coherent and coordinated policy we recommend that immediate steps be taken to:

1. Develop a machine-readable records action plan for state and local government based upon an integrated archives/records management approach.
    a. Review progress of the National Archives and such states as Kentucky and New York.
    b. Make use of advice/assistance from computer experts in various state agencies and from the state central data-processing department.

RECORDS MANAGEMENT OPERATIONS

The three constituent parts of records management--records center, records scheduling, and microfilming--work well and meet most of the basic state agency needs. The records center is

particularly well-developed, with available space and a computer program to enhance control. Records scheduling relies heavily on agency input and has an exceptionally high rate of coverage. No physical inventories are presently required. There is currently no general schedule for records commonly found in most state agencies. Microfilming is also an important activity. Over 13 million images were filmed in fiscal year 1987. While the unit carefully maintains quality control for its own product, the quality of individual state agency operations and local government compliance with recognized standards remain matters of concern.

RECOMMENDATIONS

Based upon the consultant's finding we recommend the following:

1. Develop or update written policy procedures for all essential records management functions.
2. Review all forms for possible combination, simplification, or deletion. For example, the Records Center transfer form could be redesigned for use in any records transfer activity, specifying Archives, Microfilming, and Records Center action.
3. Examine the current practice of unique numerical identifiers employed by Records Management (ageny number) and Archives (record group number) either to require employment of one standard numbering scheme or to develop a "cross-over" listing. Without a change,

any future combination of files or computerized life-cycle tracking of records may be difficult or impossible to accomplish.

4. Prior to implementation of any new computer application in a Division unit, reference should be made to the potential impact/benefit on other units. Implementation should be subject to senior staff review/approval.
5. New computer applications should be adopted only after assessing the need for conformance to national descriptive standards, especially MARC-AMC (Machine Readable Cataloging--Archives and Manuscripts Control), and the desirability of future commitment to recognized databases, e.g. OCLC (On-line Computer Library Center) or RLIN (Research Libraries Information Network).
6. Incorporate physical inventory by agencies into the schedule development process.
7. Develop a general records retention schedule for agency administrative, financial, personnel and other records commonly found in state offices.
8. Expand the state records manual beyond its present details of how to secure Division storage, scheduling, and microfilm services, to include a broader treatment of records management.
9. Additional authority and resources must be given to the Division to properly monitor independent state and local government agency microfilming operations. This will ensure proper quality control.

a. Require publication of state microfilming standards (beyond the present local government "guidelines") regarding all aspects of microfilming activity, from records preparation and targeting to storage.

10. Require analysts to engage actively in identifying potential state agency microfilm applications, especially those with high information management potential. (This presumes increased staff complement and training opportunities.)

11. Transfer one camera operator to Archives, subject to the technical review/assistance of the central microfilming unit, for use in ongoing in-house microfilming projects.

    a. Require the Archives to develop its own written procedures for historical records microfilming and a regular production schedule.

ARCHIVES OPERATIONS

The Archives serves its predominantly genealogical clientele very effectively. It is, however, under-utilized for many other kinds of research. Lack of stack space in the current building has prevented the processing of 20,000 cubic feet of archival material currently stored in the Records Center. The task of processing and making these additional holdings available for use by researchers will be a formidable undertaking. At the present time preservation activities are limited to foldering and boxing records in acid-free containers. Current Archives procedures

have not been spelled out in written form. The statutory provision mandating a $5 per microfilm roll charge for copies from its holdings does not allow the Archives to recoup actual expenses for staff time, materials, and replacing master film.

RECOMMENDATIONS

Based upon the consultant's findings we recommend the following:

1. Develop written policy procedures for all essential archives functions.
2. Assign a high priority to securing state/federal funding in support of a summary guide to Archives holdings.
3. Conduct an in-depth preservation survey, with outside consultant expertise, to determine the nature and extent of Missouri State Archives needs.
   a. Develop an action plan for presentation to Department management.
4. Combine all accession recording in one register location.
5. Revise the current statutory provision regarding microfilm sales by the Archives to allow for charges at full cost and establish a separate revolving fund in which sale proceeds may be deposited.
6. Expand the type of research use at the Archives by increasing outreach to universities, government agencies, and other organizations and groups. This should include formal presentations, publications, tours, and special research project support.

7. Publish a brochure on the state's archival holdings.
8. Develop an ongoing microfilming program under the technical supervision of the Division's microfilm unit.

V

HISTORICAL RECORDS REPOSITORIES

Much of Missouri's written history is housed in repositories that cannot provide optimum care of the written records. The reason for this unfortunate neglect relates directly to inadequate revenue sources. Without adequate funding, many historical repositories (particularly the small historical societies and museum agencies) cannot provide proper oversight, processing, finding aids, conservation, or security and climatic controls. Some repositories are staffed by non-professional volunteers who attempt to properly perform their duties. In some instances, however, the non-professional volunteers find their effectiveness limited through lack of knowledge, skills or supplies necessary to adequately preserve the written holdings under their control. These general observations are the result of the work of the Historical Records Repositories Task Force.

The Historical Records Repositories Task Force was formed to fulfill the requirements of a National Historical Publications and Records Commission State Board Assessment and Planning Grant received by the Missouri Historical Records Advisory Board. Each of the task force members has written either books, monographs, or articles for professional journals on the history of Missouri and Missourians. Either for their writings or their teaching assignments, the members of the task force have personally used a number of the historical repositories in the state for research purposes.

The charge of the task force was to obtain information on current conditions of historical records repositories in the areas of organization, policies, procedures, collecting programs and facilities. As one of its first items of business the task force decided to review written reports of other states that have completed the assessment process. Each of the states in this category used a questionnaire as its principal information gathering device. During work sessions, Missouri's task force examined these questionnaires and developed a set of questions that it believed would provide the type of information it sought. After it decided the questions to be asked, the task force determined that a glossary of terms should be appended to the document in case some terminology might not be understood by all who filled out the questionnaire.

When the questionnaire and glossary of terms were completed, a portion of a work session was devoted to compiling a mailing list of repositories. This list included agencies, organizations, associations and businesses (both public and private) believed to possess archival/manuscript materials. In mid-May, 1987, some 890 questionnaires were sent out in a first mailing (20 were returned because the organizations were no longer in existence). A cover letter explaining the task force's charge was attached. The librarian, archivist, curator or volunteer answering the questionnaire was asked to return it to the Missouri State Archives no later than June 3, 1987.

By June 11, 221 questionnaires had been returned. Before the month of June ended, that number increased to 277. Thirty-

nine were returned only partially filled out either due to the lack of interest or the belief that the institution possessed no archival/manuscript material.

The task force then decided that follow-up telephone calls should be made to certain organizations that had not returned answered questionnaires but were known or suspected of having manuscripts/archives. Another copy of the questionnaire or reminder notice was mailed to 62 first-time, non-responding repositories. Nineteen were returned. Therefore, 296 questionnaires, or 34% of the total, provided the task force with its primary information. In addition, members of the task force, either individually or collectively, visited repositories throughout the state. For example, Dr. Linda Pickle made contact with religious organizations in the St. Louis area; Mr. Lynn Morrow and Dr. James Giglio visited or telephoned historical repositories in Southwest Missouri and the Ozarks. On one occasion the task force visited and conferred with staff at the archives and manuscript collections located at the University of Missouri-Rolla, and the Missouri Geological Survey office located in the same community. Besides these and similar activities, Dr. James Goodrich, in pursuing a State Historical Society project prior to the acceptance of the grant, spoke with staffs and visited a number of the local historical societies in the state to review holdings and collection policies. Members of the task force also consulted with scholars and students from around the state who had used certain repositories.

The task force met on several occasions, collectively or in groups of two or three, to discuss the returned questionnaires and the results of other personal investigations. The chairman of the task force participated in a forum concerning the needs assessment at the Missouri Conference on History in the spring of 1987 and also at an open meeting held during and in conjunction with the Mid-America History Conference, held in Springfield during the fall of 1987.

In preparation for the latter meeting, each member of the task force selected responses from subgroups: local historical societies/museums/genealogical societies; private corporations and religious organizations, private museums and federal agencies; state agencies; academic and public libraries; and, for want of a better "catch-all" term, miscellaneous organizations. Responses to these questionnaires paint a drab picture of the care of historical records, a picture that appears to be worse than in several other states of comparable size and wealth.

GENERAL FINDINGS

LOCAL HISTORICAL/MUSEUM/GENEALOGICAL ASSOCIATIONS

Overwhelmingly, local historical societies are a twentieth century phenomenon. Only eight percent were founded before 1900; more than 50% were founded since 1960. The majority of local historical/museum/genealogical associations are staffed by volunteers with little or no formal training in archival/ manuscript administration or preservation. They have a deep

interest in local history, but no formal training in the care and preservation of archival and manuscript material. A few have learned what little they know from membership in an archival association, contact with archivists at established institutions, or through occasional workshops. As one respondent for a local historical society aptly commented: "Our organization is limited by the fact that all work is up to volunteers. Although willing, time is limited, expertise isn't always available, and funding is limited." Besides a lack of adequate personnel and sufficient funds most local repositories also possess inadequate space, security and climatic control.

While more than a third of the respondents consider the archival/manuscript program a primary function, more than 45% of those institutions responding in this category do not possess a written statement of authority. Only slightly more than half of the institutions maintain a donor file. Less than a third have developed a written acquisition policy. From these observations it is evident proper archival/manuscript administration does not exist in many of the local repositories. Similar conditions exist in a number of small academic libraries.

The two areas that local historical/museum/genealogical societies rank as their highest priority in the cooperative ventures on a non-profit cost basis are collections processing and technical advice. In the latter service, local records repositories are particularly interested in assistance in records management, microforms and photographic preservation.

CORPORATIONS

Only six of the 55 corporations contacted responded to the questionnaire and only one of them filled it out beyond the first few questions. Of the remaining five, each indicated that its archival holdings was considered "private in nature," and most were not available for public use.

RELIGIOUS ORGANIZATIONS

Fifteen religious organizations returned questionnaires. Only one of the institutions considered its archival/manuscript program a primary function. All of the responding institutions operate with staffs small in number. Most of these staffs are not academically trained in archival/manuscript administration. More than half of the staffs have on-the-job experience or have attended workshops pertaining to archives and manuscripts. None of the institutions function under a written statement of authority and purpose. A third of the respondents do have a written acquisition policy and maintain donor files.

The most pressing needs listed by these respondents are in the areas of conservation and equipment. In spite of these needs and lack of adequate financial support, the group expressed little interest in joining cooperative ventures to resolve some of their problems.

PRIVATE MUSEUMS AND FEDERAL AGENCIES

Most of the private museums and federal agencies, identified by the task force to receive the questionnaire, find themselves

in better overall condition than the majority of the repositories previously mentioned. In terms of staff, more institutions of these two groups have full or part-time paid staff or volunteers who have received archival/manuscript training or attended workshops on these subjects. Two of the thirteen museums contacted consider their archival/manuscript programs to be a primary function of the institution. Six operate by a written statement of authority, seven maintain donor files and six have a written acquisition policy. Microfilming and technical advice are the two areas given the highest priority in terms of cooperative ventures on a cost only basis.

Not surprisingly, the federal repositories possess the most reliable budgets, more professional personnel, and better quarters and storage space than most of the preceding institutions discussed in this report. Four of the agencies maintain donor files and six are guided by a written acquisition policy. If services were available on a non-profit cost basis, most of the federal agencies would rank technical advice, collections processing and microfilming as areas in which they would wish to participate.

STATE AGENCIES

Seventeen state agencies, including nine historic sites, responded to the questionnaire. Four of the respondents considered the archival/manuscript operation as a primary function. Eleven of the agencies operate under a written statement of authority or purpose. Eight have a written acquisition policy and eleven maintain donor files.

Among these is the Missouri State Archives. The Records Management and Archives Division was created in 1965 under the Public Records Act (now Chapter 109 RSMo). The act authorized the division, through archival methods, to monitor the creation, utilization, maintenance, retention, preservation, and disposal of all official records of the State of Missouri.

Even with this authorization, the Archives suffers from several shortcomings. There is not enough space for storage or for present or future program activities. Many of the staff members have acquired their archival skills through on-the-job-training. Although the small staff is sufficient for the basic archival functions it performs for state agencies, the staff size prohibits its functioning as a full service historical repository. This, in turn, prohibits its acting as the coordinator and facilitator for the care and preservation of historical documents.

Half of the agencies employ one to four staff members in archival/manuscript activities, and the majority of their staff have some form of specialized training or education, or prior experience in an archival/manuscript program. Microfilming, technical advice and collection processing are the three highest priorities that this group would avail itself of on a non-profit cost basis.

ACADEMIC LIBRARIES

In Missouri, as elsewhere, libraries at academic institutions are an important component of the historical

documentation network. Many maintain the records not only of their parent organization, but also archives and manuscripts of local and state-wide significance.

Approximately 36% of the 143 academic libraries in Missouri replied to the questionnaire. More than half of this number (27 out of 52) received budget allowances of $50,000 or more a year. Most of the responding libraries have from one to four full-time, paid staff members associated with archival/manuscript programs. Eighteen academic institutions employ people who have taken graduate courses in archival/manuscript administration, while the majority of those reporting have personnel who have attended professional workshops.

Almost half of the respondents have in place a written statement of authority and purpose but only two consider the archival/manuscript program a primary function of the institution. One academic library's respondent remarked: "We hold no Missouri historical documents of an archival or unique nature." However, this library possesses an extensive microfilm collection of humanistic materials including microfilmed manuscripts on the history of science and mathematics. Less than 40% of these repositories operate with a written acquisition policy, but slightly over 50% do maintain donor files. Academic libraries, it should be added, also provide more descriptions of their holdings (in some form or other) at a higher percentage than that of institutions in other categories.

Whether large or small, all academic libraries experience space problems, whether for storage or personnel. Like all

repositories, except federal agencies, this subgroup entertains real or perceived funding problems. Technical advice, particularly in the area of conservation, is ranked by the majority of the respondents as the highest priority if such a service was available on a non-profit cost basis. Microfilming, collection processing and assistance with automated finding aids rank as the next three areas of highest potential participation.

It should be mentioned again that the smaller academic libraries appear to experience the same problems as smaller local historical/museum/genealogical institutions. Insufficient and/or untrained staff, inadequate storage and/or security/climatic control are problems faced by both types of institutions.

PUBLIC LIBRARIES

Of the 300 public libraries polled, only 48 responded, and 11 of those provided no information about their holdings. One public library's respondent reported that his "library has no historical documents or archival records." But the respondent added that the library did house records compiled by the local historical society and copies of original documents located in offices at the county courthouse. These comments exemplify similar statements by other respondents of public libraries. Such statements strongly suggest that more educational avenues to learn about what are considered historical materials must be made available to non-professionals working at public libraries and other repositories.

Three of the 37 public libraries that did fill out at least portions of the questionnaire reported that the archival/manuscript program was considered a primary function. Six of the public libraries function under a written statement of authority or purpose. Eleven are operating with a written acquisition policy. Only five of these public institutions maintain donor files. Technical advice and microfilming are the two services most highly ranked in terms of desirability if such services become available on a non-profit cost basis.

Sadly, the lack of adequate funding for services in many counties in Missouri is reflected in the comments of one northeast Missouri respondent:

> At a time when courthouses in N.E. MO are wondering if they will have to close before the year is out, this survey rubs salt in the wounds. Our budgets are to small to meet the demand for current services. Our salaries are pitiful. Our resources are shrinking and farmers will only pay so much in taxes.

MISCELLANEOUS REPOSITORIES

A miscellaneous category exists because five organizations did not fit into the definitions used to describe the aforementioned types of historical repositories. Three of the miscellaneous repositories are governed by a written statement of authority or purpose, and only one considers its archives/manuscript program to be a primary function. Two of the repositories possess a written acquisition policy. None of the respondents in this category reported that a donor file was maintained. Two of the respondents did report that paid staff worked in the program. Each repository noted needs in the areas of space, technical assistance, microfilming and funding.

SUMMARY

Taking into consideration all of the questionnaires received, two other pieces of information surface that are of interest. First, only 109 out of the 296 respondents reported that the repository actively sought acquisitions. Second, not one repository indicated or implied that it provided optimum service. Given more resources every repository could, naturally, accomplish more.

In summary, there is not one subgroup that has been previously mentioned that failed to include within its numbers organizations that are experiencing some problems as historical repositories. Many of these problems are major. Each subgroup contains examples, some more distressing than others, of repositories that attempt to perform their missions without adequate funding, without enough trained or highly experienced personnel, without adequate storage facilities or security/ climatic controls, without proper administrative or internal collections controls, without adequate or proper finding aids, or without conservation procedures or programs.

FINDINGS AND RECOMMENDATIONS

The initial findings listed below illustrate that a concerted effort must be made to correct a number of problems. Any suggestions that are or will be postulated now and in the future, will be nothing more than items on the proverbial "wish list" unless methods can be devised to provide the wherewithal to carry out the recommendations.

FINDING

Many of the underfunded and understaffed historical repositories are unaware of assistance that is already available within the state. Many of the historical repositories also have inadequate programs for preservation, conservation, and microfilming. They also have inadequate storage facilities, security/climatic controls, finding aids, and funding.

RECOMMENDATIONS

A first step to consider is to make underfunded and understaffed repositories more aware of assistance that is already available within the state. In addition, plans should be formulated to develop cooperative programs among the various repositories to insure that the professional and technical knowledge already present in Missouri becomes more easily accessible.

The less-than-satisfactory archival/manuscript programs, usually this way through no fault of the keepers of repositories, must be given some impetus to improve their programs if at all possible. If such improvement is not possible, then it may be advisable for those inadequate programs to transfer their holdings to other repositories that can better provide the needed care and processing for the archival/manuscript records.

To accomplish the goal of ensuring more appropriate preservation of archival/manuscript records in repositories, the State of Missouri should provide funding for workshops stressing

education in the areas of archival/manuscript care. Monies made available through a re-grant program could be obtained through direct appropriation, private foundations and document filing fees.

Funds should also be made available for a state-wide directory of archives and manuscript collections. This should not be just a simple listing of agencies, associations or organizations. The directory should also provide information on the general collection policy of each institution plus include information on major collections within the institution. Regional examples for certain areas of the state already exist. For instance, the **DIRECTORY OF ARCHIVES & MANUSCRIPT COLLECTIONS IN THE ST. LOUIS AREA**, compiled by the Association of St. Louis Area Archives, lists the general scope and contents of 112 area repositories.

FINDING

The Missouri State Archives Division of the Secretary of State's Office is currently understaffed, underpaid and lacking in professional training. If the Missouri State Archives is to perform as coordinator and facilitator for the care and preservation of historical documents, plus provide education for the conservators, changes must be made.

RECOMMENDATIONS

The Missouri State Archives needs to expand its staff and increase its professional training in order to perform as

coordinator and facilitator for the care and preservation of historical documents and provide education for the conservators. One vehicle for accomplishing this is placing the archives staff under a merit system. Present and newly hired staff members also should be provided the opportunity to attend professional workshops and meetings. Such opportunities will allow the staff members to enhance their knowledge and skills, and, in turn, better serve their patrons. Whether or not a merit system is instituted, the fact remains that additional personnel will be required to carry out the tasks.

FINDING

Certain departments and agencies of state government currently have their own archives, jeopardizing the care, processing, and retrieval of these records.

RECOMMENDATIONS

Earlier in this report it was suggested that inadequate programs should consider transferring holdings to other depositories that can take better care of the historical records. It may also be advisable to consider the transferral of holdings presently housed in certain departments of state government to the state archives. For example, the personnel, functions and records of the historic preservation section of the Department of Natural Resources could be transferred. Likewise, it may be more appropriate to transfer historical records from other state repositories to the state archives. The historical records

housed at state historic sites, for instance, could be transferred if adequate resources to provide for the care, processing and retrieval of the materials were also made available to the Archives Division of the Secretary of State's Office.

FINDING

Current funding is insufficient for the adequate care and preservation of records in historical repositories.

RECOMMENDATION

It will be necessary for Missourians in important positions to assist in seeking an improvement in funding at the local, state, and national level. Funding should be obtained by direct appropriation from the legislature, grants from private and public sources, and by document filing fees.

VI

STATE-WIDE SERVICES AND FUNCTIONS

State-wide Services and Functions is an ambiguous term which covers activities that cut across institutional lines and that relate to the needs of many programs. These activities include information sharing systems for historical records, education, training and professional development; building public support for historical records programs; and assistance and advisory services on program planning and on technical matters such as micrographics, conservation and automated records and data bases.

The survey of the State-wide Services and Functions Task Force was mailed with those of the Local Government Records Task Force and the Historical Records Repositories Task Force. Five areas of inquiry were covered: (1) identification of institutions and types of materials held, (2) preservation and conservation procedures, (3) storage and environment, (4) education and training, and (5) hopes for the future. Of the 1510 surveys mailed, 480 (32%) were returned. During the month of June 1987, the survey results were categorized by type of institution and tabulated. The four categories were libraries (academic, public and corporate), historical or genealogical societies/museums, city and county officials, and state and federal archives.

FINDINGS AND RECOMMENDATIONS

It was felt that the relatively high percentage of responses to the questionnaire itself indicated a high level of concern

with the present condition of historical records in the state of Missouri. It would seem that the responses, which represent most of the larger repositories in the state as well as a large number of smaller organizations, constitute strong evidence that those responsible for the day-to-day management of our documentary heritage are themselves responsible and aware of the problems that we are faced with.

Although the bulk of historical records in Missouri date from the late nineteenth and twentieth centuries, the basic preservation situation could accurately be described as poor. The questionnaires clearly demonstrated that few institutions have confidence that they are operating or can afford to operate a satisfactory preservation program to maintain the records in their custody. And if the situation regarding the preservation (simple maintenance) of records was not encouraging, even fewer institutions are in the position of being able to provide, either in-house or by contract, such conservation or high quality reproduction functions as paper cleaning or mending, paper humidification and flattening, deacidification and encapsulation of papers, book restoration or archival microfilming. Only 10% of the respondents have a written disaster plan. And a mere 11% anticipate a significant change in their preservation or conservation procedures in the near future.

Few institutions in Missouri can afford the expensive equipment and supplies needed to build a good preservation and conservation program. Many do not have sufficient staff with the educational or professional background necessary to design and

operate such a program. The overall situation however is the result of the fact that while we in Missouri are fortunate in having a multitude of historical libraries, societies and government agencies, staffed by people who clearly are anxious to conscientiously preserve our documentary heritage, the very number of such organizations has scattered the responsible people and diluted the necessary financial and material resources to the point where we are beset by serious problems.

HISTORICAL SOCIETIES AND MUSEUMS

There were 117 responses from organizations classified as historical societies and/or museums. However, four of them indicated that they had no pertinent materials at all and did not fill out the forms. They were discounted, leaving 113 responses to consider. Almost none of the questionnaires was completely filled out. Respondents ranged from the state's major private and public universities and museums to local historical societies staffed entirely by volunteers. Of the institutions responding, the age of their holdings was overwhelmingly post-1945 (86%), with the Civil War and Reconstruction period taking a significant second at 72%. However, so few repositories indicated the size of their holdings in linear feet that it was necessary to count the number of places indicating they had each type of material. The items most widely held were photographs, scrapbooks/newspaper clippings, handwritten paper documents and record books, printed bound volumes, newspapers and typewritten paper documents. The least widely held were architectural drawings, video tapes, motion pictures and computer tapes, discs or cards.

In terms of preservation and conservation procedures, of the 107 institutions which responded, only ten had plans for preserving machine-readable records. Only 25 had written procedures for preservation. And only 21 repositories anticipate significant changes in their preservation procedures in the near future. Thirteen repositories had in-house conservation facilities while seven had contracts for outside treatment services. Eighty-seven repositories reported that they placed original records on exhibit. Finally, 25 repositories, mindful of the need for preservation and conservation of their records, had undertaken surveys since 1978 to determine the condition of their collections. However, 93 repositories reported that they had not done this. Very few performed conservation on their materials, either in-house of by contract. The figures for the procedures listed are:

Procedure		in-house	by contract
dry cleaning		14	5
washing		1	6
tape removal		7	4
deacidification		5	5
paper mending	(total)	19	6
flattening	(total)	15	3
encapsulation		14	5
lamination		4	8
rebinding		6	10
fumigation	(total)	7	10

On the topic of storage and environment, the questionnaires reflected the use of a number of items from acid-free storage containers and file cabinets and shelving to bank lock boxes and plastic bags. Of the repositories responding only 22 had humidity control while 20 reported being susceptible to leaks or floods. As for electronic monitoring equipment, 21 reported having only thermometers, ten used recording hygrothermographs and one had a sling or aspirating psychrometer. Seven repositories reported having a disaster plan as opposed to 83 without one. Only eight repositories, however, reported having had an actual disaster.

In the category of education and training, it was only possible to count the number of institutions whose staff had particular types of training, rather than the number of people with each type. Forty-three institutions reported having staff members with graduate degrees; 44, undergraduate degrees; at 28 the staff had had academic courses; 31, specialized seminars; and 43, workshops. Twenty-nine institutions responded that staff members had attended single lectures and 30 institutions indicated that staff had attended annual meetings. Staff members at five institutions had had internships of one to two years and at 54 institutions, there were at least some self-taught (usually volunteer) staff. There was a clear preference for hands-on experience over formal training.

As for archival assistance and advice, 38 institutions responded that they had at some time requested outside help. The institutions responded that they would look for advice first to

state government, then to academia, the federal government, professional organizations, private consultants, private institutions and, finally, local government.

Concerns articulated by the respondents centered around a number of "lacks," which were repeated over and over in the comments: lack of funding, lack of space, lack of staff, lack of knowledge and lack of local interest in the organizations. Not only do they need more space but they need better space. Many are housed in areas susceptible to leaks and general dampness. In addition, many rely almost exclusively on volunteer help and some cited factionalism between groups as a concern. Many local historical societies cited an inability to attract new, young members and a declining membership due to the normal aging process.

RECOMMENDATIONS

Answers to the questionnaire made it clear that at this time there is minimal interest in formal academic training in archival management among historical society personnel in the state, other than in the major university and metropolitan museum areas. It appears that what would be of greatest value to the largest number of groups would be another type of education on several fronts. Consultants who could spend time evaluating space and storage conditions and making concrete recommendations would perform a valuable service. Workshops on a variety of topics would also be appropriate. A series of workshops on such matters as attracting, training and making the best use of volunteers;

obtaining grant funding, including writing proposals; management of collections; conservation; care of photographs; control of collections, including processing, cataloging, arrangement and description of manuscripts and finding aids; preparation of exhibits; and outreach to the community would all be beneficial. The workshops should not present impossible goals, but should address the reality of the local situation. Hotlines and the fostering of inter-institutional cooperation also are desirable goals.

In any of these solutions, the responses of the questionnaire make it clear that it would be very important to attempt to create an attitude that all groups and organizations involved in preserving the historical record in our state share common concerns and interests. We must guard against creating the impression that "experts" come out from Kansas City, St. Louis or Columbia and impose their opinions on others.

CITY AND COUNTY OFFICES

The city and county officials were represented by five offices: (1) associate circuit probate courts, (2) circuit courts, (3) circuit clerk and ex officio recorder, (4) county commissioner, (5) county clerk and recorder of deeds. There were a total of 216 responses. The city and county offices reported that 31% or more of their records dated from 1945. The highest percentage of responses indicated that the majority of records held were handwritten paper documents and records books. This category had 191 responses, followed by typewritten paper

documents with 164 responses and printed bound volumes with 154 responses.

Sixteen respondents reported producing silver halide microform masters in-house and 12 by contract. Nineteen respondents reported producing diazo, versicular or other microforms in-house and two by contract. The Missouri State Archives houses microfilm and microfiche masters from 46 counties. These microforms are routed to the Archives through the State Court Administrator's Office. The counties producing microforms in-house often do so on portable cameras borrowed from the Court Administrator's Office. Many times those microforms do not meet archival standards.

On the subject of preservation and conservation, 24 respondents indicated that they have procedures or plans for preserving archival computer data, but only 20 respondents claim to have computer tapes, discs or cards. Sixty-one respondents reported having written procedural guidelines governing preservation and conservation. On the whole, only 29 respondents anticipate significant changes in their preservation and conservation procedures in the near future.

Twenty-seven respondents claimed to have an in-house conservation facility, but of those only three indicated that they were doing treatment. Eight respondents reported having outside treatment contracts while 20 and 35, respectively, indicated that they had lamination and rebinding done by contract. Only ten offices reported having surveyed their collections since 1978. And several of those ten list their surveys as on-going.

The presence of proper storage and environmental control was sorely lacking in the questionnaires of city and county offices. The offices reported storing their materials in anything from untreated boxes, folders and tubes, metal files, cardboard boxes to holes in walls. A large number did indicate an ability to control temperature but only 17 reported being able to monitor the storage environment with a thermometer.

Only 30 respondents had a written disaster plan, but 38 responded that they had had a disaster. There have been 58 courthouse fires in Missouri. Recently, one county had a fire but the county official claims no records were destroyed. In the survey which the circuit clerk returned prior to the fire, he indicated that they had never had a disaster but the history of the county indicated the courthouse burned in 1870. One county listed a flood and two listed tornados.

The overwhelming majority of responses concerning education and training indicated the staff in their offices were self-taught through on-the-job training. Only 15 responded that the staff was self-taught using readings. Thirty-nine responded that they had staff with graduate degrees. Forty indicated undergraduate degrees. It is likely that most of the formal degrees are not in library science or archival management.

The majority of the city and county respondents had not called on outside assistance. Of those that had, however, the majority called on the state government. Seventy-seven respondents indicated that they had specific problems. The most pressing problems were space, conservation and archival management, money, staff and records management.

RECOMMENDATIONS

The state should develop an archival information clearing house to be housed in the State Archives. This clearing house could provide information to public and private organizations and individuals about a wide range of archival activities and available services.

The task force also supports the Local Government Records Task Force's recommendation of establishing a network of at least five regional archival facilities to alleviate the problems of storage, maintenance and use of local government records with permanent historical value. And that these repositories serve as centers for archival training for local public officials who will also be custodians of valuable permanent records.

The task force further recommends that the Missouri Historical Records Advisory Board seek ways to increase public awareness of the value and use of archival records. And that the Board develop a coordinated educational appreciation for the value of historical records.

STATE AND FEDERAL REPOSITORIES

Eight state agencies responded to the questionnaire--organizations with holdings ranging from the State Archives' 11,500 cubic feet of records through the Office of the Adjutant General's 867 cubic feet of paper documents to the "one shelf and one filing cabinet" of varied records in the custody of the Nature Interpretive Center at Bennett Springs State Park.

One of the eight, the Supreme Court, was disregarded because its permanently valuable records will eventually end up in the hands of the State Archives.

Two other respondents, the Legislative Library and the Nature Center at Bennett Springs Park, seem to maintain small collections of permanently valuable historic records.

The remaining five respondents consist of significantly larger historical collections: the State Archives, the Office of the Adjutant General, the University of Missouri Archives, the Central Missouri State University Archives and the Division of Geology and Land Survey.

It is clear that only the University Archives, and to a lesser degree, the State Archives, maintain anything like an adequate preservation/conservation lab. The questionnaires submitted by the other five organizations indicate that they are sorely lacking in adequate preservation/conservation facilities. Several are fortunate enough to be able to use the Records Management and Archives microfilm services, but several others operate in-house microfilming operations which may or may not be up to archival standards.

Despite a commendable level of formal educational achievement on the part of the staff at most of the seven significant responding institutions and a satisfying level of specialized training received by staff members at the State Archives, four agencies reported virtually no specialized training such as workshops or internships.

Most of the state organizations feel they would benefit from a program of readily available and affordable technical and professional assistance in the form of academic courses, seminars, workshops, lectures, professional meetings and internships and, perhaps, publication initiatives as well. All but two state respondents expressed some interest in a state-wide or interstate consortium or other service.

Of the ten federal institutions reporting, six hold some permanently valuable records which will be retained on site. Between them, the Harry S Truman Library and the National Archives, Kansas City Branch, probably account for well over 90% of the volume of the historically valuable federal records.

While the Truman Library and the National Archives branch have benefited from having staffs with substantial academic credentials and generally seem to be using approved procedures by means of either on-site or contract facilities, both expressed interest in enhanced educational opportunities, as did all but one of the other four institutions. All but two of the six reported that their staff had taken advantage of some specialized training. It is clear from the responses, however, that all feel they could definitely benefit from additional training and technical assistance. It is also clear that all six might be ready participants in any state-wide or interstate consortium which might be established and which might be the logical vehicle for a training and publication program.

RECOMMENDATIONS

There is no easy answer to the question of how we in Missouri should cope with our archival problems. However, we believe there is a way to surmount the problems outlined by the work of this task force. Fortunately perhaps, for us, several surrounding states have been wrestling with these same problems; several, like Missouri, have already made significant commitments at the state level to move forward. Under the aegis of the Missouri Secretary of State's Office, representatives from Missouri, Kansas, Nebraska, Iowa and Oklahoma met in Kansas City on August 10, 1987, to discuss the possibility of forming a consortium to further the preservation of their historical records.

The participants at this meeting concluded that while a single large conservation facility such as that operated by the Northeast Document Conservation Center was not feasible, a more decentralized approach to the common problems recognized by the committee is possible.

Each member of the consortium would develop one or more specialized services, such as deacidification of individual documents and books, bookbinding, microfilming, paper conservation or artifact conservation. The services would be provided to other consortium members on demand, on a reimbursable basis. A primary purpose of the consortium would be to provide the very best preservation and conservation advice and services, at the lowest possible cost.

This task force strongly recommends that the Missouri Historical Records Advisory Board formally advise the Secretary of State to:

1. Recognize that the State of Missouri has at this time a singular opportunity to take the lead in defining and operating a pioneering approach to the preservation of our documentary heritage.
2. Move as quickly as possible to gain the support of both the legislative and executive arms of Missouri government for active participation in the development of a multi-state consortium for preservation of historical records.
3. Continue his role as coordinator of the ad hoc committee currently at work on the establishment of a consortium.

VII

A FUTURE FOR THE PAST: CHARTING THE COURSE

Missouri stands at a crossroads in its development of a creative and effective records program. Decisions made within the next decade will chart the state's course for future generations. Possibility and promise are present on the horizon. Certainly the legislative commitment to build a new Archives and Records Center is cause for hope. However, the commitment to erect a structure to house Missouri's rich documentary heritage must be matched by an equal commitment to finance programs and personnel necessary to preserve that heritage. An archives with inadequately-trained personnel and ill-conceived programs is not an archives; it is a warehouse for the temporary storage of materials that will certainly be destroyed. Moreover, many of Missouri's most valuable historical records will be largely unaffected by the building of a new Archives, inasmuch as they will remain in local repositories.

The solutions to the problems identified by the participants in this project must begin with a public commitment to their resolution. That public commitment must manifest itself in a willingness to see public monies allocated for the preservation of historical documents. Without that commitment, nothing can be accomplished. Public records are a public responsibility. One generation's failure to heed that responsibility is a crime against all those generations that have preceded it, and all those that will follow. Historical records, once destroyed or lost, can rarely be recreated.

The stewardship of Missouri's historical records will be much enhanced by the reconstitution of the Missouri Historical Records Advisory Board, as outlined in this report. Once reconstituted, the MHRAB, using this report as a plan for action, should lead the effort to implement the recommendations contained herein. Indeed, this report should be the Board's plan of action for the foreseeable future. The Board should establish a priority list of recommendations to be effected over the next five years and assess its progress at the end of each of those years.

Simultaneously, the Board must be ever-mindful of the need to further educate Missourians about the need to preserve Missouri's documentary heritage. The Missouri State Archives must lead the way in this venture. The newly-created "Friends of the Archives" will certainly be of help in this process. Missourians will be willing to support the cause of records preservation to the degree that they understand the value of their irreplaceable historical records.

APPENDIX A

MEMBERS OF THE MISSOURI STATE ASSESSMENT

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APPENDIX B

CONSULTANT'S REPORT

FOR THE

LOCAL RECORDS TASK FORCE

AND

STATE GOVERNMENT RECORDS TASK FORCE

BY

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1988

I. INTRODUCTION

This report concerns the state and local records management and archives programs of the Missouri Secretary of State. It is based on a Request for Proposal (RFP B 801498) which includes, but is not limited to, evaluation of the following:

1. Current statutory authority
2. Existing allocation of staff, space, and equipment, and the physical layout of space and equipment to meet the statutory mandate.
3. Both records management and archives efforts relating to machine-readable records.
4. Policies, procedures, forms, etc., for appraising, accessioning, maintaining physical and intellectual control, retrieval, and use of records in both the records center and archives, including potential applications of computer technology to the functions.
5. Materials preservation efforts.
6. Planning, reporting, and program documentation.
7. Program production for resources expended.
8. New programs or changed program emphasis.

Based on a three day visit (from the evening of March 27 to the afternoon of March 30, 1988) to the state of Missouri, this report reflects conversations with twenty-six individuals on-site and by telephone, as well as review of records status; NHPRC Assessment Project task force reports, minutes, and questionnaires; and numerous program forms, reports, publications,

retention schedules, and related material. There was an inspection of the Records Center and Archives Building in Jefferson City and visits were made to three state agencies in the capital area, to the Moniteau County Courthouse, and to the Northwest Genealogical Society Library, St. Joseph, to inspect facilities and interview staff members. The resulting report is designed to assess present conditions, identifying areas in need of attention and development to ensure a more well-integrated, active, and effective program.

This is not an exhaustive study. It does not enter into a detailed analysis of activities, reporting relationships, and accomplishments. Rather, it describes conditions, with an emphasis on areas of weakness, and then proposes a set of specific recommendations to improve particular deficiencies.

The discussion of conditions (Part III) is divided into three sections: a general section concerning the overall institutional context and conditions shared by the state and local records and archives programs; a state records section, subdivided into discussions of issues specific to records management and to archives activities respectively; and a section on local records conditions. This three-part format is also used in the final portion of the report, Recommendations (Part IV).

Roy H. Tryon

II. EXECUTIVE SUMMARY

Despite severe resource constraints, Missouri's records management and archives program is delivering significant services to state and local agencies and to the public. Changes in certain aspects of current operations as well as additional resources are needed, however, to make the program more active and effective. This conclusion is based upon a three day visit to the state, March 27-30, 1988, which included interviews with program managers, staff, patrons, task force members, state and local government officials, and the review of numerous reports, memoranda, retention schedules, meeting minutes, and publications.

The concentration of this report is on the assessment of the current program for state and local government records, with special concern for statutory authority; resources; machine-readable records; controls and potential computer applications; preservation; planning; reporting; and documentation; program production/success; and new programs. Being a critical review, the report necessarily dwells on program weaknesses. Recommendations are based upon the premise that Missouri is committed to establishing a fully developed and integrated records management and archives program for state and local government.

The report is divided into two major parts: a description of present conditions followed by a series of recommendations for each area. The major recommendations of the report are the following:

1. Revise the Public Records Law to include the legislature and the judiciary, allow access to confidential records under certain conditions, specify the roles of the State Archives and the State Archivist, set a penalty for non-compliance, require agency appointment of records liaison officers, strengthen the program in its dealings with agency heads regarding records issues, specify compliance and monitoring of state microfilm standards, and establish an Archives revolving fund.
2. Move expeditiously in the construction and occupancy of the new Information Center building and thereby provide safe and secure storage, offices, and public space for records management and archives activities.
3. Integrate records management and archives activities, especially in the area of records retention scheduling, agency contracts, agency files, forms and controls, computer applications, and machine-readable records initiatives. Hold regular meetings to more fully involve Archives staff in the creation of records retention schedules.
4. Strengthen the archival component and weight in records retention decision-making.
5. Require records inventory information (detailing records quantities, expected increases, legal and fiscal values, etc.) as the basis for all agency retention schedules.
6. Develop a general records retention schedule for state agencies.

7. Reallocate existing staff as well as request additional positions in order to increase the coverage, activities, and effectiveness of records analysts and archivists. Provide ongoing staff development opportunities.
8. Request state/federal funding to move forward more expeditiously with the local analyst program in the state's counties and establish a county user's fee to defray costs of records preservation and/or storage.
9. Establish regional archives research centers for deposit of local government historical records. These should be located on college or university campuses and only upon formal agreement with the state Division of Records Management and Archives.
10. Request state/federal funding to produce a summary guide to archives holdings and to conduct a full-scale study of preservation needs.
11. Increase outreach activities both with government agencies and the public.
12. Enlarge the Local Records Board to include more historical and genealogical representation.

III. CONDITIONS

A. GENERAL

Missouri's state and local records program is poised at a crucial point of its development. It has an excellent base from which truly significant accomplishments may develop in the next few years. In addition, it has the active interest and support

of top management, including the personal involvement of the Secretary of State, committed to fashioning the program into one of the best in the country.

The Missouri state records program is run by the Division of Records Management and Archives. Its constituent sections include a records center, central microfilming, records retention scheduling, and archives. The first three sections constitute Records Management, and report to the Division Director. The Archives reports to the state archivist who in turn reports to the Division Director. All activities are presently housed in the Records Center and Archives Building in Jefferson City. The Division launched a local record analysts program in 1986, with five part-time analysts, each assigned to a designated region in the state. The local records analysts report to the Division's senior records analyst in charge of records retention scheduling.

This general section of the report details existing conditions in the state and local records and archives programs which need to be addressed. It is complemented by separate treatments of conditions specific to state records (Section B, 1, Records Management, and B, 2, Archives) and local records (Section C0.) The final portion of the report consists of specific recommendations designed to deal with the problems identified in these three descriptive sections.

Statutory Authority

Missouri's existing public records law (Chapter 109 RSMo) covers many of the areas requiring attention to ensure the proper

administration and care of public records. For instance, the law defines a public record, specifies the duties of agency heads, and establishes state and local records commissions and their authorization of records retention schedules. There are several areas, however, that affect the state and local records programs and include both records management and archives, in which the existing legislation is deficient. (See Sections B,1, B,2, and C for recommendations specific to records management, archives, and local records.)

Perhaps the most obvious deficiency in the Missouri public records law is that it does not extend to the legislature and the judiciary. But beyond this, there are a number of other areas which should be addressed in a coordinated fashion. Provision for an effective penalty clause is needed and the responsibility of the state program to protect and preserve Missouri's documentary record be strengthened.

Facilities

The present Records Center and Archives Building is manifestly inadequate (see Section C for a discussion of local records needs). There is not enough space for storage or for many present and future program activities, and the building is subject to leaks after rain or snowfall. The Archives is particularly hard-hit in the matter of space: the public research room is exceptionally small and crowded for the more than 3,000 visits made to it each year. Lack of archives shelf space requires that some 20,000 cubic feet (representing about

two-thirds of total holdings) be stored in the Records Center. A new building is planned, with drawings already completed. In developing the building plans, a great deal of effort has been expended in determining records management and archives needs and in reviewing the best facilities elsewhere in the country.

Staffing

The entire staff of the state and local records management and archives programs, from the Director on down, are appointed, not merit, employees. This combined with the low salaries paid to virtually all of the Division's employees, makes it difficult to maintain morale. Despite this problem, the Division is fortunate to have the interest and support of Department management and such a uniformly dedicated staff.

Many of the staff members have acquired their professional skills through on-the-job training. Though the Director and the State Archivist are encouraged to travel and attend professional meetings and training sessions, there is no ongoing staff development activity extended, for example, to the Division's records analysts and archivists.

While the Division's staff complement is sufficient for the very basic functions it performs for state and local government, it is hardly sufficient for a fully developed government records program. Missouri is confronted with the need to increase its staff complement and/or to reallocate existing positions to meet growing records requirements.

Services Are Too Basic

The services offered to the state and local governments and to the public are performed very well, but they are very basic ones. This is certainly the result of having such a small staff and trying to work most effectively within such a constraint. Little is done in the area of assisting agencies in enhancing office operations or engaging the interest of the public. (It should be noted here, however, that the Secretary of State's Office is now broadcasting television spots about the Archives and has developed instructional packets for the schools.)

Moreover, comparison of the Division's reports with the program reporting guidelines of the National Association of Government Archives and Records Administrators (NAGARA) reveals a significant lack of activity in the areas which are commonly very important in other state programs. This regards such traditional activities as holding agency training sessions, conducting records inventories, and engaging in preservation activities, to the management of electronic media for appropriate disposition.

Functions Not Intergrated

Based on interviews with client agencies and researchers, every unit of the Division of Records Management and Archives is doing an excellent job within its resource constraints. The impression one gets, however, is that all would work even better if Division operations were more well-integrated. The relationship between Records Management and Archives is a case in point. (This is no reflection on the abilities of present staff

or managers, since such integration has proven difficult to achieve in other state programs due to the inherent differences in orientation and interests of records managers and archivists.) The former concentrates on its contributions to government economy and efficiency through records destruction, while the latter is concerned with ensuring adequate documentation of government activities.

The problem in Missouri is that there is no ongoing formal contact between Records Management and Archives which is sufficient to bring about an integrated perspective on issues of common concern. This is nowhere more evident than in the records scheduling process, despite the existence of an in-house review panel. Due to the limited number of Archives personnel, they are only marginally involved in records scheduling. Archives staff are not active in the review process and do not seem very knowledgeable about final retention decisions. For the most part, Archives personnel work diligently in providing access to the Division's oldest records. They are consulted from time to time by Records Management personnel, but do not have any regular contact with state and local government agencies or familiarity with the nature and usefulness of current agency records. As a result, archivist participation in schedule review is not always sufficient to guarantee proper agency documentation. Agency records retentions continue to be reviewed and reduced without appropriate and well informed archival input.

Controls

The forms, manuals, reports, and related program documentation and controls appear quite well-conceived and adequate for the present program, but the move to a new building and further development of the Division's programs will find these wanting in many respects. Much of current Division procedures are not in written form, though Records Management seems to have relatively better documentation than Archives. Existing forms and records control numbers have been developed separately by Records Management and Archives, without much thought for the interrelated aspects of the Division's activities and the possibilities of combined usage.

Regarding computer applications, the only significant application is for the records center control. Again, this was developed solely with records center use in mind. Discussions about other new or contemplated applications revealed a concentration on specific applications (e.g., archives accessioning, book cataloguing) without reference to other information management needs of other units within the Division or reference to national descriptive or access standards.

B. STATE RECORDS

1. Records Management

The three constituent parts of records management--records center, records scheduling, and microfilming--work well and meet most of the state agency needs. The records center is particularly well-developed (holding over 100,000 cubic feet of

records), with available space and a computer program to enhance control.

Records scheduling for state agencies relies heavily on agency input and has an exceptionally high rate of coverage. No physical inventories are presently required. (Such inventories are a standard procedure in most other states, providing details on records quantities; expected increases; legal, fiscal, administrative, and historical values; and related information.) Agencies simply list series, often with no further description, for review and approval by the State Records Commission. Division records analysts serve as the first point of contact and review with the agencies. However, the lack of physical inventory and more detailed series information makes retention decision-making very difficult right from the start. In addition, there is no general schedule for records commonly found in most state agencies. Each schedule lists the same records as may be found in many other agencies, but often without any consistency in disposition instructions. (Recent guidelines do list a few types of records and typical disposition instructions.) With local government records scheduling, however, the general schedule approach has been adopted in dealing with the various county office and municipal records. Implementation of a comprehensive general schedule for state agencies would at once provide coverage for about thirty percent of series produced by state agencies and bring to bear a considerable amount of consistency in dealing with them. Time and effort could then be freed up for scheduling records unique

to agency functions and activities.

Microfilming is also accorded considerable importance, filming over 13 million images (including 4.6 million checks) in FY 86-87. Filming is done primarily for state agencies and on a cost free basis. Recent legislation extends microfilming services to local government offices on an "at cost" basis, but the unit microfilms free of charge all historical local records, including a major county probate microfilming project now underway. Preparation of historical state and local records for microfilming is usually performed and/or overseen by Archives staff so that special standards for research use will be met. There have apparently been some problems in the past regarding compliance of microfilm unit staff to Archives filming requirements. The difficulties stem primarily from the different orientations of the two units, with one concerned about high production figures and the other more concerned about meeting research use requirements. Close monitoring by the Archives has improved the situation significantly.

The state microfilm unit does not have legal review/approval authority over the purchase or rental of microfilm equipment by state agencies. This is performed by the Office of Administration. Nor are there any published state microfilming standards which agency programs, by statute, have to meet. (The Division did publish a Guidelines for Local Records Microfilming in 1986.) Most microfilming is for space saving and involves records with long-term retentions. Roll film applications predominate, with fiche and jacket also well-represented. There

is apparently no significant "selling" of microfilming applications in state offices, and no involvement by central microfilm services in developing computer-assisted microfilm retrieval (CAR) installations. This is not the result of a Division policy, but rather reflects the lack of resource support by the legislature and/or budget office for implementing such projects in state agencies. While the unit does an admirably thorough job in quality control of its own product, there is concern about the quality of individual state agency operations and local government compliance with reorganized standards. These concerns relate not only to production but also to proper storage of camera negatives.

2. Archives

The Archives does a good job in meeting the basic needs of its overwhelmingly genealogical clientele. Those interviewed were quite satisfied with available hours (increased in 1986) and service. There was a concern, however, that microfilm use was no longer available on a self-service basis. But the Archives is a virtually untapped resource for a great deal of other kinds of research.

Of the 11,500 cubic feet in its stacks, about one-half is fully processed. Somewhere between fifty and seventy-five percent of the total volume in the Archives is under some form of intellectual control. Though the intellectual control is not complete, it is significant. In addition to box lists and some series descriptions, there are also a considerable number of

agency histories available. Most of those were produced as part of student intern processing projects. The Assistant State Archivist has over the years also been creating agency history information files in which she deposits useful information to help explain agency functions, changes in organization, etc. These all provide a good base of information for a more comprehensive future organization and description of Archives holdings. In anticipation of the move to their new building, staff are now developing the first ever shelflist of records in the Archives stacks. Hitherto, such information resided only in the minds of individual staff members.

The Archives forms are quite good, especially the descriptive inventory sheet. Accession records, however, are somewhat cumbersome, requiring consultation of three different locations to insure complete coverage of all accessions. Control of state documents is growing. However, many researchers may not be aware of their existence (except those advertised as in microform), since access is available only through a catalog in the second floor Archives office area.

Because of lack of Archives stack space, there are another 20,000 cubic feet of Archives holdings stored in the Records Center. There is no intellectual control of this material beyond records transmittal forms, and virtually all of it is unprocessed. In all, the Archives has an impressive size--31,500 cubic feet--and an even more daunting job ahead of it to process, describe, and make available those records for research use.

A major deficiency of the Archives operation is the lack of

any preservation program beyond such holdings maintenance activities as foldering and boxing records in acid-free material. Lack of sufficient staff and in-house expertise appear to be the major reasons for the absence of any activity in preservation of holdings. This is bound to be an even greater problem once the 20,000 cubic feet of Records Center holdings are transferred to Archives custody.

Finally, the Archives continues to operate under statutory provisions mandating a $5 per microfilm roll charge for copies from its holdings. This charge fails to take into account the expense of actual staff time, materials, and replacement of master film by the Archives. Not only is the amount well below actual cost, but the proceeds from such sales also go into the state general fund rather than be recycled for the purchase of new film, to support the cost of duplication, or to purchase new equipment. Regarding the need for equipment, the Archives is especially in need of a new copier and map shelving.

C. LOCAL RECORDS

The preceding sections contain methods of involvement of the state records and archives program in providing services to local governments. These include records manuals and schedules for counties and municipalities, microfilming guidelines, at cost microfilm services, a special long-term probate microfilming program, and a local analyst program. This last element is perhaps the most useful approach to dealing with the records problem's in Missouri's 114 counties. Unfortunately, the

analysts distributed in five regions of the state work only two days per week and are hard-pressed to deal with the myriad problems faced in each county. (Over the past two years, analysts have made substantial progress in 26 counties.) As yet, little has been done with the state's municipalities and perhaps rightly so, given the magnitude of the difficulties posed by county records.

Discussion of county records now is centering on the concept of regional archives centers to house the records no longer wanted by the counties. (This is particularly timely as some small rural counties in the state face severe financial times which may even lead to courthouse closings.) Though local historical and genealogical groups interested in these records are willing to store them, this does not appear to be a long-term alternative ensuring permanent preservation and access.

Missouri is indeed fortunate to have engaged the interest of many citizens from all over the state in assessing its local records conditions and needs. The local records task force of the NHPRC Assessment Project has been particularly active. Its reports have not only accurately described conditions and needs, but have also formulated eminently viable solutions. In all, Missouri is moving in the right direction in dealing with its local records problems and is doing a remarkable job given present staffing and storage constraints. What is needed are more resources to deal more effectively and expeditiously with the extensive and formidable records needs of the state's counties and municipalities.

IV. RECOMMENDATIONS

A. GENERAL

1. Statutory Authority-Changes Required in Public Records Law

These recommendations are intended for both state and local governments. Implementation of any of these recommendations will require additional and appropriate resources for the state records program.

a. Include the legislature and the judiciary as subject to the state's records management program and subject to all provisions of the public records law.

b. Provide a penalty for wilful non-compliance with provisions of the public records law.

c. Give the state records program the right to transfer any records from agency custody which it considers in danger of deterioration, damage, or destruction. This presupposes that the program will have the right to inspect agency records at any time.

d. Require each agency head to appoint a records officer to act as liaison with the state program on all agency records matters.

e. Allow access to confidential records under specified conditions. For example, allow use of records by qualified researchers who would not be permitted in their writings to refer to specific individuals, and establish a date for opening such confidential records (e.g., after 75 years).

f. Give the state records program the right (presently held by agency heads) to determine the nature and form of agency records, especially in cases where permanent records are concerned.

g. Make specific mention of the State Archives and the role of the State Archivist in selecting and preserving records of historical value.

2. Facilities

a. Provide adequate and secure records and archives storage, offices and public space in the projected Jefferson City facility.

b. Move expeditiously to complete construction and begin occupancy of the new building.

3. Staffing

a. Move mid and lower level staff positions from appointed to merit status.

b. Conduct a full scale classification/compensation review of all Division positions, making reference to other state programs of comparable size and responsibility. Present report to Department management for action.

c. Increase in training and travel opportunities for all professional staff, encouraging participation in state, regional, and national professional associations.

d. After study of similar programs in other states, develop and submit a request to the legislature for

increased staffing in support of a fully-developed state and local records management and archives program.

e. Review all staff functions/activities in support of better resource allocation. For example, positions dedicated to routine filming jobs in the central microfilm unit could be reclassified to Archives or records analysis and the microfilm work subcontracted to a local firm or sheltered workshop under state supervision.

4. Services and Program Integration

a. Increase staff meetings in support of program integration and good communication.

b. Subject to staff changes (detailed above, A,3,e), expand responsibility of records analysts to include greater advisory and related services to agencies.

c. Involve Archives personnel in regular formal meetings with the analysts regarding plans and priorities for agency projects.

1) Increase Archives staff contact with agencies.

2) Expand the state agency contact area beyond Jefferson City into other parts of the state.

d. Develop a machine-readable records action plan for state and local government based upon an integrated archives/records management approach.

1) Review progress of the National Archives and such states as Kentucky and New York.

2) Make use of advice/assistance from computer experts within the Department of State and from the state central DP department.

e. Hold regular workshops and seminars for state and local government representatives on aspects of records management and program requirements, and for the public on program activities and holdings.

f. Publish newsletters, flyers, and brochures on records management and archives activities requirements to increase visibility, recognition, and credibility.

5. Controls

a. Develop or update written policy procedures for all essential Division records management and archives functions.

b. Review all forms for possible combination, simplification, or deletion. For example, the Records Center transfer form could be redesigned for use in any records transfer activity, specifying Archives, microfilming, and Records Center action.

c. Examine the current practice of unique numerical identifiers employed by Records Management (agency number) and Archives (record group number) either to require employment of one standard numbering scheme or to develop a "cross-over" listing. Without a change,

any future combination of files or computerized life-cycle tracking of records may be difficult or impossible to accomplish.

d. Prior to implementation of any new computer application in a Division unit, reference should be made to the potential impact/benefit of the enhancement on other units. Implementation should be subject to senior staff review/approval.

e. New computer applications ought to be adopted only after assessing the need for conformance to national descriptive standards, especially MARC-AMC, and the desirability of future commitment to recognized database, e.g. OCLC or RLIN.

B. STATE RECORDS

1. Records Management

a. Incorporate physical inventory by agencies into the schedule development process.

b. Develop a general records retention schedule for agency administrative, financial, personnel, and other records commonly found in state offices.

c. Expand the state records manual beyond its present details of how to secure Division storage, scheduling, and microfilm services, to include a broader treatment of records management.

d. Additional authority, possibly through legislation, and resources must be given to the Division to properly

monitor independent state and local government agency microfilming operations. This will insure proper quality control.

1) Require publication of state microfilming standards (beyond the present local government "guidelines") regarding all aspects of microfilming activity, from records preparation and targeting to storage.

e. Require records analysts to actively engage in indentifying potential state agency microfilm applications, especially those with high information management potential. (This presumes increased staff complement and training opportunities.)

f. Transfer one camera operator to Archives, subject to the technical review/assistance of the central microfilming unit, for use in ongoing in-house microfilming projects

g. Require the Archives to develop its own written procedures for historical records microfilming and a regular production schedule.

2. Archives

a. The highest priority must be given to securing state/federal funding in support of a summary guide to Archives holdings.

b. Conduct an in depth preservation survey, with outside consultant expertise, to determine the nature and extent of Missouri State Archives needs.

c. Combine all accession recording in one register location.

d. Publish a brochure on the type and extent of records held by the Archives.

e. Revise the current statutory provision regarding microfilm sales by the Archives to allow for charges at full cost and establish a separate revolving fund in which sale proceeds may be deposited.

f. Expand the type of research use at the Archives by increasing outreach to universities, government agencies, and other organizations and groups. This should include formal presentations, publications, tours, and special research project support.

g. Develop an ongoing microfilming program under the technical supervision of the Division's microfilm unit (see III B and IV, B,1,f).

C. LOCAL RECORDS

1. The highest priority must be given to securing additional state/federal funding to expand the local analyst program so that all counties are given at least the same basic attention as provided under the present program.

2. Archives Research Centers must be developed in various regions of the state to receive local records of historical value from local government offices. The centers ought to be located on college or university campuses and required to meet standards for storage and access as specified by the State Archives.

3. Enlarge the Local Records Board to include more historical and genealogical representation. This requires a change in statute.

4. Establish a county user's fee (e.g., on deed transactions) to be deposited with the state records program and used by it in its efforts to properly preserve and/or store local government records.

Persons Interviewed by Roy Tryon

The Honorable Roy Blunt, Secretary of State

Tim Bardwell, Records Analyst

Mary Beck, Archives Research Room

Pamela Buerky, Senior Records Analyst

Dale Carlson, Presiding Commissioner, Moniteau County

Barrell Clarkston, Supervisor, Division of Revenue

Diana Craighead, Supervisor of Micrographic Services

Stuart Dunkel, Division of Records Management and Archives

Dr. William E. Foley, Central Missouri State University

Floyd Gilzow, Executive Assistant

Sally (Margaret) Groetsch, Highway Reciprocity Commission

Frances Duzan Herndon, Researcher

Dr. Gary Kremer, State Archivist

John Larkin, Records Analyst

Patsy Luebbert, Supervisor of Reference Services

Martha Marcum, Northwest Missouri Genealogical Society

Michael O'Malley, Archivist

Dixie Painter, Northwest Missouri Genealogical Society

Marvin Pierick, Supervisor, Warehouse Center

Janet Sapanas, Records Analyst

Billie H. Smith, Assistant State Archivist

Dr. Mark Stauter, Western Historical Mss Collections, Rolla

Sandra Walls, Archives Research Room

Don Webb, Records Analyst

Mary E. Wildeisen, Records Supervisor, Workman's Compensation Division

Betty Harvey Williams, Missouri State Genealogical Assn.

APPENDIX C

CONSULTANT'S REPORT

FOR THE

HISTORICAL RECORDS REPOSITORIES TASK FORCE

AND THE

STATE-WIDE SERVICES AND FUNCTIONS TASK FORCE

BY

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1988

INTRODUCTION

The National Historical Publications and Records Commission provided financial support for the Missouri Historical Records Advisory Board to undertake a historical records assessment and reporting project. Grant guidelines called for the project to address four general areas: (1) state government records, (2) local government records, (3) historical records repositories and, (4) state-wide services and functions. As part of its work the Board sought the assessment of consultants--one dealing with the first two areas and the other with the two remaining areas. This consultant's report focuses on findings and recommendations regarding historical records repositories as well as statewide services and functions.

The work of the task forces, their solicitation of information through questionnaires, site visits, and final reports provide much of the specific documentation upon which the consultant's findings and recommendations are based. In addition to this information, the consultant met jointly and individually with a number of key personnel whose experience is essential for understanding the current status of historical records in Missouri. All of those listed below gave generously of their time, were uniformly cooperative, and were forthcoming in their responses:

Roy D. Blunt, Secretary of State

Stuart Dunkel, Director, Records Management and Archives Service

Gary R. Kremer, Director of Archives

James Goodrich, Director, State Historical Society of Missouri

Benedict K. Zobrist, Director, Harry S. Truman Library

Nancy Lankford, Associate Director, Western Historical Manuscripts Collection, Columbia

Alan Perry, Assistant Director, National Archives - Kansas City Branch

Warren M. Hollrah, Director, Winston Churchill Memorial

Charles F. Bryan, Jr., Executive Director, St. Louis Mercantile Library Association

Patricia Adams, Associate Director, Western Historical Manuscripts Collection, St. Louis

Sharron G. Uhler, Curator, Hallmark Cards Historical Collection

Peter Michel, Head of Library and Archives, Missouri Historical Society

Holly Hall, Head of Special Collections, Washington University

Linda Pickle, Professor of Foreign Languages, Westminster College

Beyond the information provided by these individuals, the consultant reviewed several assessment reports from other states as well as other publications, especially Documenting America: Assessing the Condition of Historical Records in the States. The recommendations also reflect the consultant's work in Wisconsin, which has an extensive historical records program, and his research into the experience of other states presented at annual meetings of the American Association for State and Local History and the Midwest Archives Conference.

Although the consultant is grateful for the assistance provided by the individuals and their staffs noted above, the report that follows is his own assessment. Because of his

knowledge of comparable work in other states, he has tried to provide recommendations that promise the greatest success, given Missouri's experience and resources. The report seeks not to assign responsibility for the alarming condition of the state's historical records, but to suggest a future plan to ameliorate those conditions. For that reason, less stress is placed on findings than on recommendations. Those recommendations are guidelines for what should be done; they are not blueprints to be mechanically followed. In some instances, the recommendations include illustrations of how or what things might be done. Prescribing too specifically risks defeat before the substance and ideas are adequately discussed. Implementing these recommendations, even in revised form, will require the imagination of political leaders, the talent of trained administrators, and the energy of everyone interested in Missouri's history. With that commitment, Missouri can move to the front ranks of states in preserving the past for use in the future.

FINDINGS

In an age of media hype, short attention spans, and "bottom line" management it is difficult to imagine anything less likely to capture public attention and support than historical records. Except on ceremonial occasions they are seldom noticed and then only as an adjunct to other activities. Their enduring importance is overlooked as the public moves from one new technique, discovery, or event to another in rapid succession. Their value is recognized occasionally when rare documents are stolen or sold at auction. Unfortunately, even if these attitudes subsequently change, there may be few surviving historical documents to recover. The ravages of time and abuse have already taken a heavy toll. If, as John Adams wrote 200 years ago, "we are a nation of laws, not of men," then we must preserve the written record that reflects the origin, interpretation, and implementation of those laws. If democracy depends on an informed electorate, then historical records must be maintained for the benefit of all citizens.

Because of Missouri's age and place in the development of the history of the United States, its historical records are both important and endangered. Within the state, historical records are essential because they uniquely document the growth of the state from territorial days to the present. They document the myriad aspects of political, cultural, ethnic, social, legal, urban, business, religious, and educational history of the state. They form the collective memory of society. They represent our cultural patrimony; we disregard them at our peril.

In one of his wry comments Missouri's Mark Twain advised "First get the facts; you can always distort them later." In order to obtain the facts about the current state of historical repositories and the need for statewide services, two task forces queried historical societies and museums, educational institutions, religious organizations, public libraries, and businesses throughout the state. Responses to those questionnaires paint a drab picture of the care of historical records, a picture that appears to be worse than in several other states of comparable size and wealth.

Historical Societies and Museums: Most local historical societies are staffed solely by volunteers. They have a deep interest in local history, but no formal training in the care and preservation of archival and manuscript material. A few have learned what little they know from membership in an archival association, contact with archivists at established institutions, or through occasional workshops. Records of such societies are poorly housed in inadequate space, lacking minimal temperature and humidity control. A third of the respondents consider archives and manuscripts important to their program yet nearly half of them do not have written gift or acquisitions policies or legal deeds of gift. Typical comments from historical societies around the state illustrate these statistics. One noted, "We have several problems. Our museum is open only 6 months a year. Our museum curator wants no part of the county records...." Another reflected a common pattern and problem: "We are a new

organization of over 100 members and have few people in our society with expertise or volunteer time. Money is not available in any great amount." Lack of space and adequate preservation were frequently mentioned. One society explained that "Our library is in the courthouse basement. It houses the old tax records back to 1880 and old school records as old as 1873. They are in poor and deteriorating condition...."

In a national study--A Culture at Risk: Who Cares for America's Heritage?--published by the American Association for State and Local History, authors Charles Phillips and Patricia Hogan describe in detail the current status of local historical repositories. Overwhelmingly, local historical societies are a twentieth century phenomenon. Only 8% were founded before 1900; more than 50% were founded since 1960. Nearly 40% of all historical agencies have no paid staff. In 1983 more than 60% of the institutions surveyed operated on a budget of less than $50,000; one-third had less than $10,000 a year. More than 80% had fewer than 500 members; nearly the same percentage charged less than $10 per year for membership.

In spite of this three-fourths of the societies maintain an archives. Among those that claimed to have an archival collection, few budgeted any funds for acquisitions or upkeep. Another 10% allocated less than $1,000 for archives. Thus, while historical agencies may play an important role in preserving local history and cultural heritage, "the majority are doing so without the money, people, and technical know-how they need. Because they lack adequate resources, the physical remains of

America's past...are in peril." The authors conclude with the rhetorical question: "if the small, community-based historical organizations cannot care for an essential part of America's heritage, who will?"

Academic Institutions: In Missouri as elsewhere, archives at academic institutions are an important component of the historical documentation network. Many maintain the records not only of their parent organization, but also archives and manuscripts of local and statewide significance. Half of the survey respondents received budgets of $50,000 or more a year. Staffing varies from one to four full-time professional staff. Many staff have taken graduate courses in archival/manuscript administration, while the majority of them have attended job-related regional or national workshops.

Nearly half of the academic archival repositories responding have written statements of authority and purpose, but fewer than half have written collection development policies. Academic archives provide more complete finding aids for their processed collections than most other types of repositories. They usually have limited temperature and humidity control, but inadequate space to house the collection and staff to process the mounting backlog of accessions and acquisitions. Small colleges have the fewest resources and their archives consequently are in poor condition. One such college reported that "Our archival collection is housed in an area of the library which provides limited access to our patrons. The area has water leakage from

the roof and has no humidity control. Presently our archivist is a volunteer...who works in the archives one day a week...."

An extensive 1981 survey of higher educational institutions in the United States conducted by Nicholas Burckel and J. Frank Cook provided information to construct a "typical" academic archives. Because most of Missouri's academic archives are located at public institutions, an examination of Burckel and Cook's findings for public institutions is illuminating:

> A typical archives at a public university was established within the last 15 years on a campus whose 1979-80 enrollment was nearly 11,000 students. The archives is staffed by one full-time professional and a few student assistants and has no volunteers or personnel on grant money, but perhaps has a part-time clerical worker. The professional is probably a member of the Society of American Archivists and a regional archival association and might also be a member of a regional library or historical association. The professional has a master's degree either in library science or history and has taken an archival course a well as attended archival workshops. Reimbursement to attend professional meetings averages about $160 a year or less than 50 percent of the archivist's expenses. The entire annual budget including salaries, supplies, and expenses, but excluding overhead and indirect costs, is $23,500.
>
> The archives at this typical public university has slightly less than 1,000 cubic feet of records occupying 80 percent of the available stack space. About 20% of the holdings are unprocessed....The archives is supervised and open to patrons 40 hours a week with students, faculty, community users, and administrators comprising the major users--in that order....The staff spends most of its time on arrangement and description, reference, and appraisal, and it considers the size of the unprocessed backlog and lack of space to be its main problem.

<u>Other Institutions</u>: After state and local government repositories, whose conditions is addressed in a separate consultant's report, local historical societies and academic

institutions account for the largest number of institutions with recognizable archives. Although religious institutions, businesses, and public libraries throughout the state were contacted, few responded; the few completed questionnaires that were returned provide little substantive data. Only one of the respondents from religious institution, for instance, noted that its archival/manuscripts program was a primary function. Only five corporations in the entire state responded even partially to the solicitation; none of them completed the questionnaire beyond the first few questions! Fewer than 15% of the 300 public libraries throughout Missouri returned partially completed questionnaires. It is meaningless to generalize from so small a sample. The small returns in each of these categories may suggest, however, that few institutions maintain an archives, a fact that may be more alarming than the sorry state of archives that at least exist in some form in historical societies and academic institutions.

Statewide Services: Questionnaires used by one of the task forces also sought to determine what kinds of services or programs would be of most benefit to various historical repositories. While the pattern varied slightly with the type of institution and to a somewhat greater extent with the size of the institution, the major desired services were similar to those sought in other states. In Missouri about 90% of the respondents, including federal, state, and county agencies, reported that they did not have procedures or plans for

preserving machine-readable data. Similarly they do not have written guidelines for preservation and conservation and do not have any in-house conservation facilities. There is little knowledge of current conservation practices or use of outside treatment facilities on a contract basis. Original documents are routinely placed on display without adequate protection and treatment. Collections at these repositories have not been surveyed to determine their physical condition. Nearly half do use acid-free containers for storage of material and about the same number have air conditioned quarters for the collection. About 10% have humidity controls and filtered lighting. Approximately 90% have no disaster preparedness plan although 10% had experienced some form of disaster.

The questionnaire designed to elicit information on statewide services specifically asked respondents their need for education and training. Returns indicate a strong preference for practical, hands-on training in workshops rather than formal courses offered through academic institutions. A significant number also felt that consultants could provide needed specialized expertise. Typically historical societies that have sought outside help have turned to state government, followed in order by academic institutions, federal government, professional organizations, and private consultants.

Another area of concern dealing with statewide services was micrographics. Here the greatest apparent need for standards, training, and equipment was within state government and among those responsible for local public records. Larger historical

societies that perform some limited filming or contract for such services would also benefit from assistance developed at the state level.

RECOMMENDATIONS

Board Changes: The Missouri Historical Records Advisory Board should be reconstituted to provide expanded representation and the services of a full-time coordinator. The new Board should then use the final assessment report as the basis for strategic and long range planning.

1. Missouri should profit from the experience of most states that have already prepared assessment reports that, though valuable in their content, will not have a substantial impact on the future of historical records. One of the major reasons for that failure is the lack of broad-based high-level involvement in the project from conception to implementation. From this point forward the success of this assessment project--implementation of its recommendations--will rest in the hands of those who are not professional archivists. For this reason the Missouri Historical Records Advisory Board should be reconstituted to include a wider range of interests. It should be created by statute rather than executive order. At minimum the Board should include significant leaders from the business, university, historical genealogical, and political communities. Regular

rotating terms should be established. It should be possible to locate a prominent retired chief executive officer from a major Kansas City and St. Louis firm. Similarly it would be important to have representatives from the two state supported university systems, preferably at the level of system vice president of vice chancellor of one of the major campuses. Major private historical societies should be represented by one or two slots. One slot each should be reserved for genealogical, religious, and ethnic groups as well as from the county clerks. Finally, political representation should be bipartisan and could be drawn from current or past legislators or the executive branch.

2. The Missouri Historical Records Advisory Board should be staffed by a full time coordinator working under the direction of the state archivist. Most of the recommendations that follow are dependent on a stronger and more active Board supported fully by an energetic professional. Without such support to assure follow-up and to provide background research and documentation, little can be achieved. Already heavily committed archival staff cannot be expected to carry the additional responsibility. The position could perhaps be partially funded by the National Historical Publications and Records Commission as part of a state implementation grant.

3. The Missouri Historical Records Advisory Board, once reconstituted, should use the final assessment report, including the reports of the task forces and consultants, as the basis for developing a long-range plan. Developing strategic and long range plans is a difficult challenge, especially for a volunteer board that cannot meet frequently. The Board, therefore, should consider the use of a facilitator who has experience in this area. The University of Missouri Business School faculty is a obvious source to tap for assistance.

The plan should first be built on a statement of mission and goals. The plan should enumerate specific measurable objectives for the next two to three years, as well as strategies for achieving them. More generalized objectives for an additional two to three years should also be developed. This plan should be updated annually and should be reflected in the annual report of the Board. It should be given wide circulation, not merely among the historical community, but to the general public.

Resource Commitments: Good will without resource commitments is form without substance. Years of benign neglect have taken their toll on Missouri's once rich documentary heritage. It will take years to halt the deterioration and reverse the trend. A modest combination of public and private funding will provide the needed impetus. Appropriations for a re-grant program, cooperation with the Missouri Humanities Council, and contacts with appropriate foundations should assure a successful broad-based historical records program.

4. The Board should seek a regular state appropriation of between $50,000 and $100,000 per year to establish and operate a re-grant program. Such a program would improve local conditions in small organizations that hold archival material but do not have adequate staff or resources to arrange, describe, store, conserve, and make available their holdings. Re-grants could also be used to fund internships, attendance at workshops or archival meetings, or to hire consultants and specialized expertise--all of which would increase archival skill and knowledge within the state. The program could be developed in such a way that it would require some comparable level of commitment, either in resources or in-kind services, to match the state grant. A small annual program with limited overhead could produce significant salutary results throughout the state. In particular it would raise the quality of finding aids, increase knowledge of, and access to, collections, and facilitate a coordinated collection development strategy.

5. The Board should survey existing foundations within the state to see which might support archival projects. Those whose purpose and funding priorities appear to permit imaginative archival projects should be contacted by the chair of the Board and an appropriate Board member to discuss options and possibilities. Results of these meetings may not bear immediate fruit, but they begin to

build the linkage necessary to mount successful future programs.

6. The Board should approach the Missouri Humanities Council about funding archivally-based projects and encourage applications by institutions and organizations preserving archival material. Discussions should begin informally with the chairperson and executive director of the Council and the chair of the Board. After preliminary discussions, the Board should develop a plan of action and set of recommendations for consideration by the Council.

Cooperation: Restructuring of the Missouri Historical Records Advisory Board and infusion of funds to protect the state's documentary heritage will go a long way toward rectifying the previous neglect. When combined with cooperative statewide efforts, success and efficiency should be assured. An important demonstration of tangible cooperation would be establishment of regional public records repositories for county records. These regional repositories, if properly staffed, would serve as the base from which services could be extended to surrounding communities. In particular these repositories could facilitate a coordinated collection development strategy that assures adequate documentation of all aspects of Missouri's history. Cooperation can be further fostered by reducing the isolation of those working in small, widely dispersed repositories through a statewide association of archivists.

7. A statewide network of regional local public records repositories should be established as soon as possible. The University of Missouri and the State Historical Society of Missouri already have in place a highly successful coordinated network involving university archives and Western Historical Manuscripts Collections at each of the four campuses. Local public records repositories need to be established for the 114 counties of the state. The logical, though not the only, location for these repositories would be the campuses of the Missouri State University system. They are geographically dispersed, making it possible to place the historical records of adjacent counties in the appropriate university. That would permit easy access for citizens and county officials without risk of local destruction of important local records because of lack of space or centralization that might overwhelm the state archives. Placing these records on campus would also provide readily accessible material for research and instruction. Such a system would require at minimum a half-time person, plus student assistants at each campus. Similar networks operate in many midwestern states, most notably Wisconsin, Illinois, Minnesota, and Ohio.

8. Competition for historical records and manuscripts, perhaps unintended or unrecognized, should be reduced by the gradual development of a coordinated statewide collection

development strategy. Responses to questionnaires, plus additional data that can be collected, provide a base on which to build. A strategy must be built on a knowledge of what is already available as well as areas of the state's history that are inadequately documented. A cooperative approach can only be achieved gradually and must be done with the active involvement of repositories that collect material. A collection development policy of so large a scope must be built on mutual trust and shared values; it cannot be legislated.

9. Working with and through local historical societies, profit and not-for-profit institutional archivists, municipal archival associations (Association of St. Louis Area Archivists and the Kansas City Archivists Association), the Midwest Archives Conference, the Society of American Archivists, federal archivists, university historians, local genealogists, and historic preservationists, the Board should facilitate the formation of a statewide archival association. Such an organization could provide a mechanism for sharing information and creating the broad-based geographically dispersed constituency necessary to secure needed resources. Dues could be nominal and meetings could be held in conjunction with the annual meeting of the State Historical Society or other appropriate statewide association.

Statewide Services: If knowledge is power, then those involved with collecting and preserving records need to utilize available information to gain the knowledge that will influence resource allocators and serve the public. This can be done first by developing a reliable statewide database and then by creating an archival information clearing house for information exchange. Beyond that, the State Archives and the State Historical Society of Missouri should increase their cooperation across a broad range of activities to assure the best utilization of resources and the highest quality of service to the state's citizens.

10. One of the first tasks of the coordinator or staff member serving the Historical Records Advisory Board should be to oversee the building of a statewide database to be updated periodically. The elements of the database should be drawn from the completed questionnaires returned to the various task forces that worked on the assessment project. It will be necessary to work with a person who has a knowledge of statistics, preferably one familiar with the Statistical Package for the Social Sciences (SPSS). Before constructing the database the coordinator should contact the Society of American Archivists. The Society is constructing a national database that will permit analysis across a wide range of data elements. It may be possible to have the Society generate a tape of Missouri institutions that have contributed information. Depending on the uses of the database, a random sample or comprehensive coverage may be

appropriate. Once established, the database can be updated, and new information added so that statewide guides can be developed. The database could be used to determine at any time the needs of institutions holding historical records. This information could be used for planning and analysis to:

A. Determine the content of workshops of other educationalprograms based on needs reflected in the data.

B. Decide the location of workshops based on the location of those expressing greatest need for such training.

C. Assess the extent of preservation efforts by type of repository (e.g. educational institutions or historical repositories).

D. Prepare specific informational reports tailored to the needs of the Board or other organizations.

E. Monitor progress in different areas over time (e.g., growth in collections, staff, or budget).

F. Measure resources available in various combinations to deal with the myriad problems associated with collecting and caring for historical records.

G. Provide the basis for analysis necessary for the ongoing work of the State Records Advisory Board.

11. Given the decentralized arrangement of archival repositories it is essential that the state develop an archival information clearing house. This clearing house could logically be housed in the State Archives and could provide

information to public and private organizations and individuals about a wide range of archival activities. These might include:

A. Information about the location of various records.

B. Information about archival techniques and published literature.

C. Referrals to or from state, county, and municipal offices and historical societies.

D. Depository for material about archival collections and issues, including unpublished reports, guides, self-studies, as well as publications that could be lent or copied for distribution.

E. Information about available educational programs, workshops, professional meetings.

F. Information about consultants, their areas of expertise, and availability.

12. The State Archives and State Historical Society of Missouri should work closely together to coordinate an active program of outreach and education. Such coordination should be reflected in a written agreement or memorandum of understanding after adequate discussion not only with representatives from these two agencies, but also with the active involvement of the Secretary of State and the University of Missouri System Vice President for Academic Affairs. There is an obvious symbiotic relation between the two units, but potential areas of conflict or overlap exist

as well. No matter who takes responsibility for what, more resources will be required. Organizational shifts and restructuring will provide little relief without a realization that additional resources, public and private, state and local, will be required. Sharing those costs at least spreads the financial burden and provides benefits to participants comparable to the level of resource commitments.

13. Certain activities require substantial financial resources or professional expertise, and so are best coordinated centrally for the state. Again, the State Archives and the State Historical Society need to develop a modus operandi for such essential elements as:

A. Education: Providing workshops, in-service training,professional advice and consultation.

B. Preservation: Developing statewide and local disaster preparedness programs, basic supplies and techniques, preservation facility (either intra- or interstate).

C. Communications: Preparing guides to collections, directories of repositories, newsletters, and resource directories.

D. Standards: Establishing and maintaining standards for preservation, micrographics, care of, and access to, collections, linkage with national databases, automated records.

E. Purchases: Coordinating bulk purchases of archival supplies and instructional material for institutions around the state.

State Archives: The State Archives is pivotal to the future of any successful historical records program in Missouri. For it to function as it should, positions within the agency should be designated as merit positions. Archival records held by other state agencies should be consolidated physically and administratively within the State Archives.

14. To assure program continuity as well as the recruitment and retention of qualified personnel, all positions in the Records Management and Archives Division should be designated as merit positions. Such a change in legislation should permit incumbents to be "grandfathered" into the merit system or should convert these positions at the time the incumbent resigns. It should also facilitate legislative support for necessary expanded staffing and salary adjustments by eliminating the charge that such expansion is designed to increase partisan political influence by extending patronage appointments.

15. Within state government, consolidation of archival material in the State Archives, along with the transfer of relevant personnel, would provide more efficient and coordinated service. For agencies headquartered in Jefferson City, such

as the Department of Revenue, the Department of Highway and Transportation, the Office of Historic Preservation in the Department of Natural Resources, the Highway Patrol in the Department of Public Safety, and others, consolidation makes sense. It also helps the State Archives establish its proper role as custodian of the state's historically significant public records.

Education and Publicity: The archival profession in the last two decades has become increasingly specialized, and that in turn has required greater training and education. Formal coursework has replaced the apprentice system. Missouri needs to embrace that shift by assuring quality graduate archival education within the state. At a more general level the State Records Advisory Board should seek ways to increase public awareness of the value and use of archival material, in all its forms. The Board needs to link its planning objectives to historical commemorations in order to increase public awareness. Its assessment report should be widely disseminated and publicized to generate interest in the future work of the Board. These efforts will help assure success in the years ahead.

16. Those involved in formal and informal archival education should meet to discuss minimum standards for such programs. Especially for formal college or graduate-level courses institutions should adhere to the recently published archival education guidelines. The School of Library and

Information Science at the University of Missouri-Columbia should play a key role in this effort. A related, but separate, issue is the certification of archivists by the Society of American Archivists. The certification process will begin in 1989.

17. The Board should develop a coordinated educational campaign to encourage understanding and appreciation for the value of historical records. This could be done by building on the program already initiated by the State Archives which has developed and distributed teaching packets of archival material. Additional activities might include:

    A. Purchases and lending of archival slide, video, and film programs dealing with various aspects of archives. A recent award-winning example of this growing body of material is "Slow Fires," a film presentation about preservation funded by the National Endowment for the Humanities and the Council on Library Resources.

    B. Development of a specific slide/tape or videotape of the condition of Missouri's documentary heritage for use throughout the state. Funding for this project could probably be secured from foundation sources.

    C. Annual sponsored activities that utilize archival material and that can be recognized through certificates and awards at teacher conferences or historical association meetings.

18. In order to generate sufficient interest in historical records and the work of the Board, the Board should select an appropriate celebratory occasion to announce its plans. At minimum it should provide information on its activities to gubernatorial candidates and their staffs. Preserving the state's documentary heritage is a non-controversial subject that most citizens support. That support should be tapped. The Board should also try to tie completion of major projects or goals to appropriate commemorative occasions, such as the anniversary of the discovery of America, ratification of the Constitution, purchase of the Louisiana Territory, establishment of the capital, or founding of the university. The effort should attempt to provide a lasting monument beyond the celebrations of the moment.

19. After the assessment and reporting project has been completed, the Board should invite representatives of other important groups to a meeting to present the recommendations of the report and invite the participation and assistance these groups. Organizations should include the State Library and the Missouri Library Association, the agency that has responsibility for historic preservation, the State Historical Society, the two University systems, regional archival associations, the state genealogical society, the state legislature and judiciary, members of the press and,

of course, task force members. Such a presentation should be well-coordinated, widely publicized, and convened by the Governor and Secretary of State, and perhaps held at the Governor's official residence.

APPENDIX D

MISSOURI STATE HISTORICAL RECORDS ASSESSMENT AND REPORTING PROJECT QUESTIONNAIRES

Local Government Records Task Force

Roy D. Blunt, State Coordinator

Q·U·E·S·T·I·O·N·N·A·I·R·E

The Missouri Local Government Records Task Force is collecting information concerning the condition of records under the custody of various local officials. The task force is interested in the preservation and restoration of historical local records which are important to the cultural heritage of Missouri. This questionnaire will help the task force in making its assessment.

I. Local government background information

A. 1. Name of county/city (circle one) _____

Name of office _____

2. Person completing this form _____

Title _____ Date completed _____

B. When you assumed office, were you aware of the nature and extent of records under your care? ☐ Yes ☐ No

C. Do you now consider the records under your care to have historic importance? ☐ Yes ☐ No

D. 1. Are you aware of the WPA Historical Records Survey conducted between 1935 and 1942? ☐ Yes ☐ No

2. Do you know that the inventories are available at the State Historical Society in Columbia? ☐ Yes ☐ No

E. Rate your knowledge of Missouri state law governing records, including their care and disposition:

☐ Very good ☐ Good ☐ Fair ☐ Poor

F. Has there been an inventory of the records under your care since 1942? ☐ Yes ☐ No

II. Disposition of records

A. What are the earliest dates of records under your care?

☐ Prior to 1800 ☐ Prior to 1850

☐ Prior to 1810 ☐ Prior to 1860

☐ Prior to 1820 ☐ Prior to 1870

☐ Prior to 1830 ☐ Other (specify) _____

☐ Prior to 1840

B. If you have a vault or attic containing records which have accumulated over the past several years, do you feel that they are adequately stored to protect them from deterioration?

☐ Yes ☐ No ☐ Not applicable

C. 1. The storage facilities for historical records maintained by my office are

☐ Very good ☐ Good ☐ Fair ☐ Poor

2. The condition of the records maintained by my office is

☐ Very good ☐ Good ☐ Fair ☐ Poor

D. If the above answer is "fair" or "poor," it is due to (check all that apply)

☐ Lack of space

☐ Lack of funds

☐ Combination of both

☐ Other (specify)_____

_____

E. If you have an accumulation of records in a vault or attic, is it due to any of the following reasons?

1. ☐ Lack of time to sort records
2. ☐ Lack of information as to what can be destroyed and what must be preserved
3. ☐ Reluctance to accept responsibility for records destruction, because of public reaction
4. ☐ Belief that records could be of some value

F. 1. Have any pre-1920 records been removed from your office? ☐ Yes ☐ No

2. If "yes," where are these records stored? _____

_____

_____

_____

3. Who has custody of the stored records? _____

_____

4. Are the records accessible for use by researchers and the public? ☐ Yes ☐ No

5. Under what rules or regulations may the records be used?

☐ During regular courthouse hours _____ a.m. to _____ p.m.

☐ Other (specify)
- ☐ Mornings only
- ☐ Afternoons only
- ☐ Specific day of week _____

☐ Supervision by staff or volunteer

☐ No access allowed

☐ Staff retrieves for researcher

☐ Researcher allowed free access to vault.

☐ Other _____

6. Have any records of your office been destroyed? ☐ Yes ☐ No ☐ Don't know

III. Local records programs

A. Do you have enough confidence in microfilming to destroy original records if (a) so authorized; (b) no group desires said records; and (c) said records may be disposed of since they have been microfilmed?

☐ Yes ☐ No ☐ Other (explain)

B. Does your office have microfilm copies of the records that have been microfilmed? ☐ Yes ☐ No

C. What equipment does your office presently have?

1. ☐ Microfilm reader
2. ☐ Microfilm camera
3. ☐ Microfiche reader
4. ☐ Specialized conservation equipment _____
5. ☐ Other (specify) _____
6. ☐ Copying equipment for documents
7. ☐ Copying equipment for photograph
8. ☐ Computer output microfiche

D. May researchers request copies of materials from holdings? ☐ Yes ☐ No

E. Reproduction charges for copies: _____ Photocopy _____ Microfilm

_____ Photographs _____ Microcopy _____ Microfiche

_____ Other

F. 1. What is the yearly budget for your office? $ _____

2. Do you expect a budget increase over the next three years? ☐ Yes ☐ No

3. If "yes," what will be the primary source of the increase?

☐ Internal funding ☐ Grants ☐ Other _____

IV. Options and services

A. 1. If the state implements a free program to assist you to update past and present records in your office which need to be retained or destroyed, do you feel that each official will in the future be able to continue this practice on a yearly basis?

☐ Yes ☐ No ☐ Other _____

2. If "no," what do you feel would be the reason?

☐ Lack of time

☐ Staff retrieves for researcher

☐ Researcher allowed free access to vault.

☐ Other _____

6. Have any records of your office been destroyed? ☐ Yes ☐ No ☐ Don't know

III. Local records programs

A. Do you have enough confidence in microfilming to destroy original records if (a) so authorized; (b) no group desires said records; and (c) said records may be disposed of since they have been microfilmed?

☐ Yes ☐ No ☐ Other (explain)

B. Does your office have microfilm copies of the records that have been microfilmed? ☐ Yes ☐ No

C. What equipment does your office presently have?

1. ☐ Microfilm reader
2. ☐ Microfilm camera
3. ☐ Microfiche reader
4. ☐ Specialized conservation equipment _____
5. ☐ Other (specify) _____
6. ☐ Copying equipment for documents
7. ☐ Copying equipment for photograph
8. ☐ Computer output microfiche

D. May researchers request copies of materials from holdings? ☐ Yes ☐ No

E. Reproduction charges for copies: _____Photocopy _____Microfilm

_____Photographs _____Microcopy _____Microfiche

_____Other

F. 1. What is the yearly budget for your office? $ _____

2. Do you expect a budget increase over the next three years? ☐ Yes ☐ No

3. If "yes," what will be the primary source of the increase?

☐ Internal funding ☐ Grants ☐ Other _____

IV. Options and services

A. 1. If the state implements a free program to assist you to update past and present records in your office which need to be retained or destroyed, do you feel that each official will in the future be able to continue this practice on a yearly basis?

☐ Yes ☐ No ☐ Other _____

2. If "no," what do you feel would be the reason?

☐ Lack of time

- ☐ Lack of help and finances
- ☐ Lack of knowledge unless training programs were held
- ☐ Other _____

_____

_____

B. If storage of pre-1920 records is a problem, which would you prefer?

- ☐ Help from Records Management & Archives to weed out no longer needed books
- ☐ Moving the records to a nearby facility
- ☐ Moving the records to a regional facility under care of the Records Management & Archives
- ☐ Moving the records to a central facility such as the State Archives

C. Would you support the establishment of regional record centers for local documents? ☐ Yes ☐ No

D. If a choice was to be made between the establishment of four or five regional centers or one state center in Jefferson City, which would you prefer?

☐ Regional ☐ State

E. If state or regional centers are established, should microfilm copies of those records, considering the cost, be made available at the local courthouse? ☐ Yes ☐ No

F. 1. Have you asked Records Management & Archives for advice or help on any of the following?

- ☐ Clarification of directives or laws in regard to the records
- ☐ Purchase of microfilming equipment
- ☐ Purchase of photocopying equipment
- ☐ Microfilming guidelines and quality
- ☐ Making space by destroying no longer needed books/records

2. If "yes," on any of the above, how effective was the help provided? _____

_____

G. In the regulations and directives issued by Records Management & Archives Division, would you prefer a loose-leaf format so additional directives could be added? ☐ Yes ☐ No

H. 1. In what areas of local records management are improvements needed?

- ☐ Legislation
- ☐ Regulations
- ☐ Communications
- ☐ Guidance
- ☐ Services
- ☐ Other _____

2. What are your recommendations for the above? _____

_____

I. Would you attend a seminar on record regulations, care and storage if it were offered in your area by the Records Management & Archives? ☐ Yes ☐ No

J. How many miles would you travel to attend such a seminar?

☐ 25-30 miles ☐ 100-150 miles

☐ 30-70 miles ☐ 100-250 miles

☐ 50-100 miles

K. In principle, would your office be willing to assist in defraying the costs of the following services? (please check all that apply)

☐ Centralized microfilming
☐ Standard conservation practices
☐ Fumigation
☐ Shelving
☐ Storage boxes, etc.

L. Would you like to receive a copy of the results of this survey? ☐ Yes ☐ No

M. Comments:

State Government Records Task Force

Roy D. Blunt, State Coordinator

Q·U·E·S·T·I·O·N·N·A·I·R·E

I. Records Management

The Records Management Division is responsible for implementing Records Disposition Schedules for all state agencies. The program provides records storage in a warehouse environment as well as microfilming of state documents and the destruction of records whose retention times have been met. The program is administered through two boards: the State Records Commission and the Local Records Board. The entire records program falls under Missouri Revised Statute Chapter 109.

A. Does your agency use the State Record Center? ☐ Yes ☐ No

1. If "yes," please rate the following services (1= low; 10= high):

_____Records storage _____Microfilm processing/duplicating

_____Records retrieval _____Computer output microfilm (COM)

_____Document microfilming _____Records scheduling/disposition

B. How would you suggest the State Records Center improve its services?

_____

_____

C. Does your agency have a formal Records Disposition Schedule? ☐ Yes ☐ No

If "no," please answer the following:

1. How do you determine when to dispose of records? _____

_____

2. Is a Records Disposition Schedule now being developed? ☐ Yes ☐ No

3. Do you need help in setting up a formal Records Disposition Schedule? ☐ Yes ☐ No

D. Are you aware of Missouri's State and Local Records Law (Chapter 109, Sections 200-510, RSMo 1986)

as it relates to your agency? ☐ Yes ☐ No

Do you need help in implementing the State and Local Records Law? ☐ Yes ☐ No

If "yes," please explain:_____

E. In what area of records management could your agency use assistance?

☐ Records appraisal and scheduling

☐ Utilizing micrographic technology

☐ Machine-readable/computer-generated records

☐ Other (specify)_____

F. Is your agency currently creating machine-readable/computer-generated records? ☐ Yes ☐ No

If "yes," are the records included in your Records Disposition Schedule? ☐ Yes ☐ No

If "no," how do you control the retention of those records?_____

Does your agency create either paper or microfilm back-up copies of machine-readable/computer-generated records? ☐ Yes ☐ No

If "yes", are back-ups listed on your Records Disposition Schedule? ☐ Yes ☐ No

For printed records, have you considered using computer-output microfilm (COM) instead of paper printouts? ☐ Yes ☐ No

Would you want a representative of the state COM Division to make a complimentary visit to explain the program? ☐ Yes ☐ No

G. Would a visit by an analyst from the Records Management Division be helpful to your agency? ☐ Yes ☐ No

H. Comments:

II. Archives Division

The Archives Division is responsible for preserving and making available those records judged to be of permanent historic value. The Division will assist state agencies in determining the historic value of records upon request and arranging transfer of records to the Archives for preservation.

A. Does your agency use the Missouri State Archives? ☐ Yes ☐ No

1. If "yes," please rate the following services (1= low; 10= high):

_____Document preservation

_____Archival appraisal

_____Storage of historic documents

_____Provide copies of historic documents/research services

2. How would you suggest the Missouri State Archives improve services?

_____

_____

B. Did you know the Archives provides storage for historic agency records? ☐ Yes ☐ No

C. Are there historic records in your agency which could be housed in the Archives? ☐ Yes ☐ No

1. If "yes," have you referred to these records within the past five years? ☐ Yes ☐ No
2. If "yes," did your agency visit the Archives? ☐ Yes ☐ No
3. If "yes," was the Archives staff able to assist? ☐ Yes ☐ No

D. Are you familiar with the finding aids available for state records stored in the Archives? ☐ Yes ☐ No

E. Has a history of your agency been compiled? ☐ Yes ☐ No

F. In what areas of archival management could your agency use assistance?

☐ Appraisal of historic records ☐ Storage of historic records

☐ Document preservation ☐ Archival record descriptions

☐ Microfilm quality control ☐ Other_____

G. Would a visit by a state archivist be helpful in identifying historic records? ☐ Yes ☐ No

H. What is your most pressing need concerning state or agency records? _____

_____

I. Comments

Historical Records Repositories Task Force

Roy D. Blunt, State Coordinator

Q·U·E·S·T·I·O·N·N·A·I·R·E

I. Organization

The goal of the Historical Records Repositories Task Force is to obtain information on current repository conditions, including organization, policies, procedures, collecting programs and facilities. To assist those persons involved in this survey, a glossary of terms used in this questionnaire may be found at the end of the survey.

A. Name of organization _____

1. Address _____ Phone _____
2. Person completing this form _____

   Title _____ Date completed _____
3. Person in charge of archival/manuscript program _____

   Title _____
4. Year institution was established _____

   Year archival/manuscript program was established _____
5. Authority or policy-making body responsible for program _____
6. Is there a written statement of authority or purpose? ☐ Yes ☐ No

B. Please provide as much information as available concerning your budget.

1. Parent institutions total yearly budget $ _____
2. Total dollar equivalent for archival/manuscript activity (i.e., personnel, supplies, overhead, etc.) $ _____
3. Major source of archival/manuscript funding over past three years (by percentage):

   Parent institution _____% Grants _____% Endowments _____%

   State government _____% Local Government _____%
4. After inflation, has archival/manuscript program budget

   ☐ increased ☐ decreased ☐ stayed the same

   during the past three years?
5. Do you expect a budget increase over the next three years? ☐ Yes ☐ No

6. If "yes," what will be the primary source of the increase?

☐ Internal funding ☐ Grants ☐ Other

C. Staffing

1. Please give the number of full-time staff (40 hours/week; 12 months/year) for archival/manuscript program activities:

_____Paid staff _____Volunteers

2. Do any paid staff have specialized training or education:

_____Graduate course(s) in archival/manuscript administration

_____Workshop(s) in archival/manuscript techniques

_____Prior experience in archival/manuscript program

_____Regular attendance professional archival/manuscript meetings

3. Number of years of experience of staff (on-the-job training)? _____

4. Number of years of experience of volunteers? _____

5. During the past three years, has archival/manuscript program staffing

☐ increased? ☐ decreased? ☐ remained stable?

6. Is the archival/manuscript program considered a primary function of your institution? ☐ Yes ☐ No

II. Nature of collections

A. Please check the types of holdings you have in archival/manuscript program custody.

Type of Collection	Est. Size (cubic ft.)	Est. annual growth (past 3 yrs.)	No. of collections
☐ Manuscript collection			
☐ Institution's own records			
☐ Government records			
☐ Local records			
☐ Photographs			
☐ Oral histories			
☐ Printed books & pamphlets			
☐ Maps			
☐ Newspapers			
☐ Microforms			
☐ Other			
TOTAL			

1. Which holdings are most used? (rank top three)

_____Manuscript collections _____Oral histories
_____Institution's own records _____Local records
_____Printed books/pamphlets _____Maps
_____Government records _____Newspapers
_____Photographs _____Microforms _____Other

2. Do you have a written acquisition policy? ☐ Yes ☐ No
3. Do you actively seek acquisitions? ☐ Yes ☐ No
4. Do you maintain donor files, including Deed of Gift agreements? ☐ Yes ☐ No

III. Archival/manuscript procedures.

A. How are your historical records holdings described?
_____Card catalog _____Inventories _____Not described
_____Container list _____Register
_____Shelf Cards _____Repository guide _____Other

B. Do you regularly report your acquisitions and openings to:
_____NUCMC _____A computer data base
_____Professional journal _____(Please specify)
_____Do not report _____Other

C. Do you maintain information on users of your records?
_____Daily patron count _____Other (specify) _____None

D. How many daily patrons did you have last year other than visitors for tours or other non-research purposes?
_____ _____Don't know

E. Please rank users by estimated number in following categories:
_____Genealogy _____Scholarly research
_____Local history _____Other

F. What are the established times during which researchers can regularly consult your holdings?
_____Days per week _____Hours

G. Do you charge for access to do research?
_____Yes _____No _____Cost

H. May researchers request copies of materials from holdings?
_____Yes _____No

I. Reproduction charges for copies: _____Photocopy _____Microfilm
_____Photographs _____Microcopy _____Microfiche _____Other

IV. Facilities, equipment, special services

A. Does your primary storage area have: _____Humidity control
_____Temperature control _____Air conditioning
_____Security system _____Fire detection system

B. Are any of the following systems in use 24 hours daily?
_____Humidity control _____Temperature control
_____Air conditioning _____Security system
_____Fire detection system

C. How are most of your archival materials stored?

_____In archival-quality storage containers

_____In containers as received

_____In filing cabinets

_____Other (specify) _____

D. What equipment does your repository presently have?

_____Microfilm reader(s) _____Copying equipment for documents

_____Microfilm camera(s) _____Copying equipment for photograph

_____Microfiche reader(s) _____Computer output microfiche

_____Specialized conservation equipment _____

_____Other_____

V. Needs and services

A. Where do you presently go for advice and assistance on archival matters?

_____State agency (specify)_____

_____Professional organization (specify) _____

_____Publication(s) (specify)_____

_____Colleagues in other institutions

_____Equipment vendors

_____Paid consultants

_____Other (specify) _____

B. If the following services were available on a non-profit cost basis, please indicate those you would be likely to contract to use in the next three years. Please rank in order of interest for your program.

	SERVICE	RANK
_____	Collections processing	_____
_____	Microfilming of collections	_____
_____	Technical advice (indicate areas)	_____
	_____Records management	
	_____Arrangement and description	
	_____Conservation	
	_____Microforms	
	_____Photographic preservation	
	_____Other (specify)	
_____	Overall archival program evaluation	_____
_____	Participation in inter-repository loan system	_____
	_____Original documents _____Copies only	
_____	Cooperative purchasing of supplies	_____
_____	Shared central storage of originals/copies	_____
_____	Automated finding aids	_____

_____Other services (specify)_____ _____

C. For which of the above services would you join with others to create a program and support it on a cooperative basis?

List up to three in order of interest.

First _____

Second _____

Third _____

None _____

D. Choose those activities/functions you would most like to add/strengthen in your own program during the next three years. Please rank the three that are of highest interest for your program.

SERVICE	ADD	STRENGTHEN	RANK (3 ONLY)
Records management program	_____	_____	_____
Microfilm program	_____	_____	_____
Conservation program	_____	_____	_____
New/refurbished storage space	_____	_____	_____
Staff with professional archival qualifications	_____	_____	_____
Archival procedures	_____	_____	_____
Equipment and supplies	_____	_____	_____
Microfilm reader			
Copying equipment			
Conservation equipment			
Standard archival storage supplies			
Other_____			

E. Based on your current situation which (if any) of the three functions/activities listed immediately above do you expect to add or strengthen in the next three years: (Rank in order of degree of new activity.)

First _____

Second _____

Third _____

F. Please indicate the materials you are able to send with this questionnaire or under separate cover:

_____Annual report _____Copies of forms in use

_____Acquisition policy _____Handouts and brochures

_____Organization/staffing chart _____Statement of depository

_____Examples of finding aids _____Authority or mission

G. Briefly describe your major holdings (if so desired).

H. Comments

Glossary

Automated finding aids—A computer generated finding aid.

Card catalog—A listing, especially of books, made with a card for each item and arranged in alphabetical order.

Computer data base/operating system—A data base is a collection of carefully integrated files, usually stored in a central location and made available to several users simultaneously for a variety of applications. An operating system is a collection of software which permits operation of a computer system by controlling such functions as hardware, software, storage facilities, input and output, time sharing, etc. Examples: OCLC, MARC, etc.

Computer Output Microfilm (COM)—The process of directly transferring data from magnetic tape to microfilm.

Container list—Label on contents of box, filing cabinet, etc.

Cubic feet—A measure of volume for records, archives and manuscripts, 12"W x 15"D x 10"H = 1.25 sq. ft.

Deed of gift—A signed, written instrument containing a voluntary transfer of title to real or personal property without a monetary consideration.

Inter-repository loan system—An agreement between institutions to loan materials for patron use.

Inventory—A basic archival finding aid that is a description of a specific collection including such data as title, inclusive dates, quantity, arrangement, subject content, etc.

Manuscript—A handwritten or typed document, including a letter press or carbon copy. (Example: Personal letters of an individual.)

NUCMC—National Union Catalog Manuscript Collection.

Register—A list of collections in an organization including the donor, date received, type of records and the volume or size.

Repository guide—A complete or partial list of the holdings of an organization.

Shelf cards—A listing of the holdings of an organization with each collection on a separate card.

Statewide Services and Functions Task Force

Roy D. Blunt, State Coordinator

Q·U·E·S·T·I·O·N·N·A·I·R·E

The Statewide Services and Functions Task Force has been established to consider various ways to improve the preservation and conservation option, advisory services and education and training available to historical societies and agencies throughout Missouri. This questionnaire will help determine to what extent these services are currently available. The information collected by this survey will help clarify whether the need exists for statewide cooperative programs to expand the options available for those in Missouri who are responsible for the preservation of historical records.

I. Identification of institutions

A. Name of institution _____

Person completing this form _____ Title _____

B. Type of institution (check only the description that best describes your function)

1. Academic library ..... _____
2. Public library ..... _____
3. Corporate library/archives ..... _____
4. Historical society/museum ..... _____
5. City or county archives/manuscript collection ..... _____
6. State archives/manuscript collection ..... _____
7. Federal archives/manuscript collection ..... _____
8. Other (specify) _____ ..... _____

C. Age of holdings (by percentage)

1. Pre-1850 ..... % _____
2. 1850-1899 ..... % _____
3. 1900-1944 ..... % _____
4. 1945-present ..... % _____

D. Types of materials held (check all applicable categories)

		No. of linear feet
1.	☐ Handwritten paper documents & record books	_____
2.	☐ Typewritten paper documents	_____
3.	☐ Newspapers	_____
4.	☐ Printed loose documents (e.g. posters)	_____
5.	☐ Printed bound volumes	_____
6.	☐ Scrapbooks/newspaper clippings	_____
7.	☐ Photographs	_____
8.	☐ Works of art on paper	_____
9.	☐ Maps or charts	_____
10.	☐ Architectural drawings	_____
11.	☐ Motion pictures	_____
12.	☐ Sound recordings	_____
13.	☐ Videotapes	_____
14.	☐ Computer tapes, discs or cards	_____
15.	☐ Microforms	_____
16.	☐ Three-dimensional objects (artifacts)	_____

E. Do you produce silver halide microform masters in house? ☐ Yes ☐ No

By contract? ☐ Yes ☐ No

F. Do you produce diazo, vesicular or other microforms in house? ☐ Yes ☐ No

By contract? ☐ Yes ☐ No

II. Preservation and conservation procedures

A. 1. Do you have procedures/plans for preserving archival computer data (Machine-readable records)? ☐ Yes ☐ No

2. Do you have written procedural guidelines governing preservation and conservation? ☐ Yes ☐ No

3. Do you anticipate significant changes in your preservation/conservation procedures in the near future? ☐ Yes ☐ No

B. Do you have an in-house conservation facility? ☐ Yes ☐ No

C. Do you have a contract for outside treatment services? ☐ Yes ☐ No

D. Do you place original materials on exhibit? ☐ Yes ☐ No

E. 1. Has a survey ever been taken to determine the physical condition of your collection? ☐ Yes ☐ No

2. If "yes," please list the date of the survey _____

F. Are the following treatments performed by your institution? (check all that apply)

	In-house	By contract
1. Paper dry cleaning	☐	☐
2. Paper washing	☐	☐
3. Tape removal	☐	☐
4. Deacidification (Process: _____)	☐	☐
5. Paper mending		
Wheat/rice paste and tissue paper	☐	☐
Pressure-sensitive tape	☐	☐
Gummed glassine tape	☐	☐
gummed paper tape	☐	☐
Other (Identify: _____)	☐	☐
6. Flattening		
Press while dry	☐	☐
Humidification	☐	☐
Other (Identify: _____)	☐	☐
7. Encapsulation	☐	☐
8. Lamination (Material: _____)	☐	☐
9. Rebinding	☐	☐
10. Fumigation		
For mold	☐	☐
For insects	☐	☐
(chemical used: _____)		

III. Storage and environment

A. Storage containers used (check all applicable categories)

1. ☐ Acid-free boxes, folders or tubes
2. ☐ Non-acid-free boxes, folders or tubes
3. ☐ Other (specify) _____

B. Check all applicable conditions regarding the storage area

1. ☐ Air-filtered
2. ☐ Temperature controlled (heat and air conditioning)
3. ☐ Humidity controlled

4. ☐ Susceptible to leaks or floods

5. ☐ Well-ventilated

6. ☐ Protected against ultraviolet light by filters

C. Do you monitor the storage environment by using (check all applicable categories)?

1. ☐ Sling or aspirating psychrometers

2. ☐ Recording hygrothermograph

3. ☐ Thermometers only

D. Do you have a written disaster plan? ☐ Yes ☐ No

E. Have you ever had a disaster? ☐ Yes ☐ No

If "yes," please explain in "comments" space at end of survey.

IV. Education and training

A. Indicate the number of individuals in your institution/operation who possess the following types of education or training:

1. Graduate degree ..... _____

2. Undergraduate degree ..... _____

3. Academic course(s) in archives administration, library science or museum studies ... _____

4. Specialized seminars ..... _____

5. Workshops ..... _____

6. Single lectures ..... _____

7. Annual meetings of professional organizations ..... _____

8. Internships ..... (duration of _____ years) _____

9. Self-taught ..... _____

On-the-job experience ..... _____

Readings ..... _____

B. Do staff members or your institution belong to the following? (check all applicable categories)

1. ☐ Society of American Archivists ..... _____

2. ☐ Midwest Archives Conference ..... _____

3. ☐ Association of St. Louis Area Archivists ..... _____

4. ☐ Kansas City Area Archivists ..... _____

5. ☐ American Association for State and Local History ..... _____

6. ☐ American Association of Museums ..... _____

7. ☐ Midwest Museums Conference ..... _____

8. ☐ Missouri Museum Associates ..... _____

9. ☐ American Library Association ..... _____

10. ☐ Missouri Library Association ..... _____

11. ☐ American Records Management Association ..... _____

C. In order to provide more education and training in archives and records management, preservation/conservation, and archives administration programs and services, what would you or your staff prefer? (please rank from 1 to 6)

_____Formal academic programs in Missouri universities

subject area (specify) _____

_____graduate level

_____undergraduate level

_____Visiting consultants

_____Workshops

_____Specialized seminars

_____Telephone "hot lines" to specialists

_____Cooperative/collaborative programs between institutions

D. 1. Have you called on outside assistance for archives/records management problems or questions that you may have? ☐ Yes ☐ No

2. If "yes," where did the assistance come from?

☐ Federal government

☐ State government

☐ Local government

☐ Academia

☐ Private institution

☐ Private consultant or contractor

☐ Professional organization

☐ Other (specify) _____

E. Does your institution provide any of the following to the public or to other institutions?

1. ☐ Evaluation of collections

2. ☐ Referrals

3. ☐ Consultations

4. ☐ Services (specify) _____

5. ☐ Records management

6. ☐ Materials information

7. ☐ Internships

8. ☐ Seminars or workshops

9. ☐ Other (specify) _____

F. 1. Are there specific problems you face? ☐ Yes ☐ No

2. If "yes," please explain in "comments" space at end of survey.

V. Hopes for the future

A. Would you consider participating in a statewide cooperative conservation consortium or other program which might involve either several regional conservation facilities distributed around Missouri or a centrally located facility? ("Participating" might mean buying a share in the operation, contracting with it to handle your high-level conservation work or any other participatory arrangement.)

☐ Yes ☐ No ☐ Maybe

B. Would you like to receive a copy of the results of this survey? ☐ Yes ☐ No

C. Comments: