A STUDY OF THE
MANAGEMENT PROCESSES IN
UNIVERSITY AND COLLEGE ARCHIVES
IN THE UNITED KINGDOM AND CANADA

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ABSTRACT

The objective of this thesis is a study of the management processes in university and college archives in the United Kingdom and Canada. Assumptions raised in the literature, which have not been systematically examined, were investigated. The archivists' responses to five external pressures were determined, namely, the electronic revolution, information management, new legislation, the increase in the volume of records and in the number of users. Three internal issues were also examined, namely, the image of archivists, the relationship between archives and libraries and the education and training of archivists.

Research methods were used to conduct the study. Two populations, university and college archives in the United Kingdom and Canada, were defined and stratified random samples were selected. Two instruments were used (a) an interview format containing questions about management processes and (b) a three-part questionnaire: (i) a climate survey of perceptions of the work environment and the amount of change required (ii) the most favoured aspects of work and the most serious problems and (iii) classification information. Copies of written policies and procedures were requested. A pilot project to pre-test the instruments resulted in some modification.
Arrangements were made to visit the head archivists of the selected archives and the two instruments were administered. The results were analysed by tabulation, content-analysis and the use of statistical tests. The quantitative and qualitative findings demonstrated the archivists' responses to external and internal pressures. Numerous similarities in the two groups were confirmed and some significant differences were identified. Many of the assumptions raised in the literature were verified; others, however, were not validated. The results of the various sections re-enforced one another. Conclusions and recommendations were presented. The study confirmed that systematic research provided explicit information regarding the management processes of the two populations.
ACKNOWLEDGEMENTS

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<td>Archives and Manuscripts</td>
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<tr>
<td>BQ</td>
<td>Business Quarterly</td>
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<tr>
<td>C&amp;R</td>
<td>College &amp; Research Libraries</td>
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<tr>
<td>CLJ</td>
<td>Canadian Library Journal</td>
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<tr>
<td>IDIJ</td>
<td>Information Development the International Journal for Librarians Archivists and Information Spec</td>
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<tr>
<td>HBR</td>
<td>Harvard Business Review</td>
</tr>
<tr>
<td>IFLAJ</td>
<td>International Federation of Library Associations Journal</td>
</tr>
<tr>
<td>JAL</td>
<td>Journal of Academic Librarianship</td>
</tr>
<tr>
<td>JELIS</td>
<td>Journal of Education for Library and Information Science</td>
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<tr>
<td>JLA</td>
<td>Journal of Library Administration</td>
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<td>JSA</td>
<td>Journal of the Society of Archivists</td>
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<tr>
<td>LR</td>
<td>Library Review</td>
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<td>LT</td>
<td>Library Trends</td>
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<td>RMJ</td>
<td>Records Management Journal</td>
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CHAPTER I: INTRODUCTION AND LITERATURE REVIEW

A. INTRODUCTION

A great deal has been written about archival theory and techniques related to the administration of archival collections. Until the late 1970s, however, very little space was devoted to the management of archives, that is, the planning, organizing, integrating and measuring of goals and objectives designed to improve the utilization of human, financial and physical resources.¹

Recently, however, more books and articles in the archival literature have emphasized the importance of managing resources more effectively. In 1992, William Maher published a volume devoted solely to the management of college and university archives.² A practical suggestion directed to archivists advised that 'you will be more effective and efficient if you plan, systematize and

¹ For example, there is very little information on the management of archives in J. H. Hodson, The administration of archives, (Oxford, Pergamon, 1972), in Carol Couture and Jean-Yves Rousseau, Les archives au XXe siècle (Montreal, Universite de Montreal, 1982), or in Michael Cook, Archives administration: a manual for intermediate and smaller archives and for local government (Folkestone, Kent, Dawson, 1977).

Since the 1980s in the United Kingdom the study of management has appeared more frequently in archival courses. A recent study emphasized the importance of strategic planning and training for university libraries.

One of the reasons for the increased interest in effective management is that archivists are faced with change and, as James G. Bradsher stated, change 'is unfamiliar; its uncertainties distress and unsettle us ... Archivists, in some respects, are the enemies of change.' To manage change effectively, the same author suggested that 'Planning, that is, determining what, when, how, and by whom work is to be carried out, is fundamental to an archival institution because it gives the institution its goals and sets up a procedure for reaching them.'

The theme of the Xth International Conference on Archives was The Challenge to Archives: Growing Responsibilities with Limited Resources. This theme

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7 Ibid., p. 255.
illustrated the increasing concern with the management of archives in an uncertain economic climate - the need to accomplish more with less.\textsuperscript{8} Several of the speakers reinforced the foregoing by referring to the need for change in managing resources; for example, 'they (archivists) will have to develop more efficient management techniques and a better use of manpower.'\textsuperscript{9} Another delegate, Michael Cook, noted, in describing the wide range of disciplines necessary to be understood today, that 'an archivist is no longer a sort of historian, because he or she is also a sort of sociologist or natural scientist;'\textsuperscript{10}

In 1992, Anne E. Pederson, also commenting on the need for better management of archives, recommended research and writing about archival programmes which would include examining the nature of organizations, programme planning, management and evaluation, as well as human resources utilization.\textsuperscript{11} The areas of research she proposed tend to be broad and undefined, and generally do not address aspects of archival management which might be the object of


\textsuperscript{9} Botho Brachmann, 'Third plenary session, response II, management and human resources' (Bonn, Xth International Congress on Archives, 1984), p. 3 (draft version in English).


\textsuperscript{11} Archival education: preparing the profession to meet the needs of society in the twenty-first century (Montreal, XIIth International Congress on Archives, 1992), p. 31.
systematic study utilizing processes such as operations research and research methods.

Part of the problem is that there is no consensus regarding the role of the archivist, and the need to investigate or change the way archivists manage their operations. In fact, there are several divergent views. One standpoint, discussed by Jan Brazier, expresses the need for archivists to maintain their traditional historical role, and to be familiar with new trends in historical research.\(^\text{12}\) An alternative view of archivists accentuates the importance of developing management expertise to operate effective programmes.\(^\text{13}\) A third suggestion is the conjugation of these two perspectives. Richard Huydo asked 'Is it not possible for an administrator of archives to articulate a larger conception of archives which embraces administrative and scholarly excellence?'\(^\text{14}\)

The question of why the archives community has not studied itself has been raised in the literature. One reason advanced by Mary Sue Stephenson in 1993 is that archivists are not usually trained in the research methods


\(^\text{14}\) Quoted by Tom Nesmith, 'Archives from the bottom up: social history and archival scholarship', \textit{Archivaria}, 14 (1982), p. 24.
This situation, however, is beginning to change: an example is a recent study, utilizing research methods, which investigated the qualifications desired by employers for entry-level archivists in the United States. The problem remains, however, that there is very limited rigorous research on how archives are actually managed and how archivists are responding to a changing environment.

The research process to gather information for this study followed the procedures and activities described as research methods. The process consists of a sequence of steps which may vary to some extent or overlap in some cases, depending on the research undertaken. The steps include: identifying the research problem and defining the objectives, reviewing the relevant literature on the subject, designing the methodology, identifying the population and determining the sample, administering a pilot project to fine tune the instruments, gathering and


analysing the data, discussing the findings and finally, drawing conclusions.\textsuperscript{18}

The objective of this thesis is to investigate and diagnose the management of archives and a number of related issues. Two groups of archivists will be selected in order to provide a comparison of the similarities and differences of their approaches. Data will be gathered on the processes utilized in the operation of archival programmes as well as the archivists' perceptions and concerns about their working environment.

The selection of the groups to be studied was carefully considered. Types of archives include various levels of government, private and semi-private businesses, institutions such as universities, religious associations as well as museums and historical societies.\textsuperscript{19} These archives are diverse in their collections, research constituencies and size, but they share the common purpose of identifying, appraising, processing, preserving and making available records of enduring value. Because of their significant differences, however, it was considered impractical to study the management practices of the various types of archives but rather, to concentrate on one type of archive.

\textsuperscript{18} A recent definition of population stated that 'We study a small sample in some detail and then we generalize to the entire set of observations, called the population, from which that sample was taken', from Annabel Ness Evans, \textit{Using basic statistics in the behavioral sciences}, 2nd ed. (Scarborough, Ontario, Prentice-Hall, 1992), p. 3.

University and college archives in the United Kingdom and Canada were selected as subjects. Frequently, creativity is a process of association. That is, investigating and comparing the similarities and differences of two populations is likely to be more productive than examining a single population.

The on-site research interview was chosen as the methodology because it provides a systematic data gathering technique. Asking questions directly to individuals or groups is more successful than mail surveys, particularly if there is mutual trust and goodwill. In addition, it is helpful if the interviewer has spent some time working on jobs similar to those of the participants prior to the interview.

B. CONTEXT, CHANGES AND ISSUES

The next section of the chapter consists of a discussion of the context of the archives to be studied. Firstly, the United Kingdom and Canadian university systems are reviewed. Secondly, there is a description of five major changes, largely external to archives, which are

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21 Ibid., p. 369. The writer has had work experience in a university archive, as well as a number of positions in libraries, including a large academic research library.
transforming the environment of the profession. Thirdly, an outline of three current archival issues is presented.

1. The United Kingdom University System

The university system in the United Kingdom is characterized by diversity with respect to the age, size and location of the institutions. Some are very old while others are relatively new, they range from small to large in size and their locations vary from country settings to very large cities.

The earliest universities, Oxford and Cambridge, were established in the twelfth and thirteenth centuries and were the only higher education institutions for several centuries. In Scotland four colleges were founded in the fifteenth and sixteenth centuries, St. Andrews, Glasgow, Aberdeen and Edinburgh. These six institutions changed and developed during the following three centuries.

In the first half of the nineteenth century the University of Durham was founded and a number of institutions merged to form the University of London, today an amalgamation of many separate schools, colleges and institutes. In the mid- and late nineteenth century technological colleges were established to meet the demand for trained personnel in the workplace.

The principal innovation during the beginning of the twentieth century was the development of 'university
colleges' attended largely by local students. After World War I there was little growth and student enrolment remained static in the 1920s and declined in the 1930s. The 'university colleges' were granted university status after World War II to meet the need for technological expertise.

There was a notion after the war that economic success depended largely on the availability of higher education and, in the early 1960s, the need for greatly increased student enrolment was expressed. As a response to this need there was a rapid expansion of United Kingdom higher education institutions: older universities were expanded, new ones were founded and many colleges were upgraded and granted university status. The Open University, a unique concept, was created during this period. While most areas of universities were enlarged and developed, the expansion was concentrated particularly on teaching and research, science and technology and the provision of postgraduate education.

Since the 1970s the growth of institutions of higher education in the United Kingdom has been less dramatic. There have been changes but they have consisted mainly of closures, mergers and linkages. In 1992, however, an important event was the granting of university status and the right to award their own degrees to polytechnics in England and central institutions in Scotland.

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Universities in the United Kingdom are independent, self-governing bodies with a large degree of constitutional autonomy guaranteed by charter or statute. They are, however, generally dependent on public funding to a very great extent; their actual autonomy is less a question of legal status but rather, hinges on the conditions that obtain to the funding.

For many years, the University Grants Committee (UGC), a semi-autonomous agency of the Secretary for State, was responsible for allocating funds to universities and there was little intervention from government. In the 1970s, however, as the costs of universities began to rise, more interest was expressed by the government in university affairs. In the 1980s the University Funding Committee (UFC), the successor to the UGC, proved to be more restrictive regarding financial support and, at the same time, there was increased interference. Recently, the UFC was replaced by the Higher Education Funding Councils, one for England, one for Scotland, one for Wales and one for Northern Ireland. The decline in funding was accompanied by a sharp increase in private funding, not always regarded as a totally reliable source.

In recent years, government intervention in higher education has been expressed as pressure for more efficient management of universities and the development of
performance indicators to measure productivity. This is frequently referred to as 'value for money'. The products of universities are difficult to define and develop because of the subjective and intangible nature of the outputs. Nevertheless, there has been continuing emphasis on a market forces philosophy to ensure the effective utilization of resources.

Assessment of the quality of research to determine annual research grants has been carried out by funding bodies since 1985; these have proven to be costly and time consuming exercises. One university principal noted that the required research assessment exercise resulted in 20,000 pages of paper and the time equivalent of eight working years.24

The government pressure for more accountability led to the monitoring and evaluation of other areas including financial performance, academic standards, teaching quality and staff performance. The process, called quality assessment, consists of a preparatory self-study by a department followed by a visit of an external audit team. After the visit the team prepares recommendations and a rating which affects the grant which the department will

23 Committee of Vice-Chancellors and principals, Report of the steering committee for efficiency studies in universities, London, Committee of Vice-Chancellors and Principals, 1985. (frequently referred to as the Jarratt Commission)

24 Sir David Smith, Principal of the University of Edinburgh, Times Higher Education Supplement, December, 1992, p. 3.
receive. In addition, the Higher Education Quality Council, established in 1992 to improve quality and accountability, has a quality enhancement division.

The reaction to monitoring activities has been mixed. On the one hand, there is concern that quality assessment may be out of control. On the other hand, after a teaching quality assessment, one staff member commented that 'there is much to respond to and think about, rather than necessarily to resent of fear.' It is clear that opinions abound on the merit and cost of these evaluation procedures.

The decline in funding and emphasis on effective performance has occurred at a time when student enrolment has almost doubled since 1980 and has risen dramatically since 1990. One estimate is a seventy percent increase in the seven years since 1986 to 1993. It is difficult to determine exact figures due to the number of part-time students, expressed by various methods of calculation as full-time equivalents. The trend has worrying results, for


27 Frans van Vught, 'Bigger but not better', Times Higher Education Supplement, October, 1994, p.5

example, there have been significant changes in teacher-student ratios, with more students for each teacher.

The steady decline in funding, the increase in student enrolment and the unsettling economic situation have resulted in serious problems in many United Kingdom universities. The elimination of tenure, a measure introduced to create more flexibility, represents another concern. A contemporary study examined the question of staff morale in these trying circumstances.\textsuperscript{29} One section of the report dealt with the difficulties which have arisen for library staff whose budgets has fallen by forty percent at the same time as student numbers have increased. The result has been extreme pressure on library staff members. Since many archives are located in and report to library systems they are directly affected by the declining funds.

Studies addressing the management of academic libraries have recommended how they might be more effective and efficient. One study suggested there should be improved organization and provision of training and staff development.\textsuperscript{30} Further, the report emphasized there should be special emphasis on training of managers, while recognizing the complex and changing nature of libraries today. Another recent study of academic libraries

\textsuperscript{29} Association of University Teachers, \textit{Goodwill under stress: morale in UK universities}, London, ABUT, 1990,

\textsuperscript{30} John Fieldon, \textit{Supporting expansion: a report on academic libraries for the Joint Funding Councils' Library Review Group} (London, John Fieldon Consultancy, 1994), p. 4

articulated the need for major changes and acknowledged that libraries are under considerable stress from declining resources and increasing enrolments.\textsuperscript{31}

In summary, the university system in the United Kingdom today is characterized by a wide variety of ongoing pressures and future uncertainties: less money, more students and a political imperative whose watchword appears to be - perform or perish.

2. The Canadian University System

There is great diversity not only in the age, size and location of Canadian universities but also in the languages of instruction. Canada has two founding nations, the French and the British. This has affected the languages of instruction; some universities are English-speaking, some are French-speaking and a few are bilingual.

In 1663, the first college was established in Canada, with the founding of the Séminaire de Québec, a forerunner of the Université de Laval. In 1789, the first maritime provincial institution was King's College, Nova Scotia and other schools of higher education were established in the late eighteenth and early nineteenth centuries, followed by institutions in Upper Canada, now Ontario and later in the western provinces.

In the nineteenth century most of the degree-granting institutions were controlled by various religious denominations, with a few exceptions, for example, Dalhousie University in Halifax and McGill University in Montreal which were independent. The language of instruction and the religious affiliations influenced the governance, and the structure and curricula were patterned after European models, especially those of pre-revolutionary France, England, Scotland and Germany and, to a lesser degree, the American liberal arts colleges.\textsuperscript{32}

The Canadian university system continued to evolve during the late nineteenth and first forty years of the twentieth century. The pace of development was steady and, as the population grew, to a great extent as a result of immigration, the universities expanded. There was, however, less growth after 1917 and in the 1920s. During the depression years of the 1930s enrolment declined.

There was major expansion in the Canadian university system during and after World War II. The need for highly trained manpower and the demand for post-secondary education from returning service men were two of the reasons for the rapid growth. A third reason was the concept that education was the key to economic productivity and prosperity. In the 1950s and 1960s extensive building programmes were

undertaken; older universities were enlarged and new universities were built.

Initially there was very little homogeneity between the various Canadian universities. During the past twenty-five years, however, there has been a gradual evolution to something like a common pattern of curricula, teaching methods, internal organization from an extremely diverse collection of institutions. This has been achieved in spite of the enormous distances between the provinces and territories. The capabilities of E-Mail and Internet as well as the Learned Society conferences have helped the process of keeping in touch. University and college archivists maintain contact by these methods as well as by publishing a biannual newsletter Archademe.

In spite of the vast distances between the Canadian university and college archives, the use of the repositories is not particularly localized. At almost any given time, it is possible to find - in Montreal, for example - visitors from other provinces, territories and countries as well as local researchers. The greatest current limitation to research is the acute diminution of funding.

With a few exceptions, including the Ryerson Polytechnical Institute in Toronto which now has university status, and the Technical University of Nova Scotia, Canada did not develop a system of polytechnics. The technical institutions and community colleges, developed for the most part after World War II, offered varied programmes of
vocational training. Initially they granted diplomas but, more recently, many have a system of credit transfer arrangements with universities which can lead to degrees.\footnote{33} Until the 1960s a very low percentage of Quebec's youth obtained secondary schooling and the curriculum was weak in scientific and technical training. In response to the Parent Report the system of 'classical colleges', private schools generally church sponsored and administered, was replaced by a network of Colleges d'enseignement general et professional (CEGEPs) which offered vocational training programmes as well as pre-university academic courses.\footnote{34}

Pre-confederation arrangements, in addition to respecting the language rights of the two founding nations, recognized the establishment of state and separate (Roman Catholic) elementary and high schools. Each province has developed its own solution to the issue of two school systems and a variety of different arrangements prevail today. While many of the universities and colleges were established by religious denominations, few maintain these affiliations today and there is no requirement for separate post-secondary education. Canadian universities are independent, self-governing bodies with a large measure of


\footnote{34} Quebec, Royal commission of inquiry on education (Quebec City, Government Printer, 1963). (frequently referred to as the Parent report)
autonomy established by charter and statutes (and, at least by definition, similar to those of the United Kingdom which were models for many Canadian universities).

The Constitution Act of 1867 made clear distinctions regarding the division of powers between federal and provincial legislatures. Education was assigned the exclusive responsibility of the provinces. Twelve autonomous systems have developed in the ten provinces and two territories. The funding of higher education and research, however, is provided, to a great extent, by the federal government. There is no national ministry of education or even a coordinating body within the federal government. This arrangement between the federal government and provinces is complex and has led to difficulties.

During the last forty-five years there has been a search for a satisfactory way of transferring funds to the provinces from the federal government. In 1951, as a result of a royal commission, the federal government gave direct grants to the provinces.\(^{35}\) This system of funding was replaced in 1966 by cost sharing arrangements with the provinces. In 1977 the direct financial role of the federal government was changed again by the Federal Provincial Fiscal Arrangements and Established Programs Financing Act (EPF). This includes the transfer of funds not only for

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\(^{35}\) Secretary of State, Royal commission on national development in the arts, letters and sciences (Ottawa, Kings Printer, 1951). (frequently referred to as the Massey commission)
higher education but also for health services. The transfer formulas are complex and, in recent years, the amounts have been reduced. Costs of higher education have increased during this period and the result is that many universities are now in deficit positions.

There are a number of current concerns in higher education: the difficult economic climate, the increasing costs of post-secondary education as well as the increasing pressure by the federal and provincial governments for accountability by universities. Both levels of government are seeking 'value for money'. Some universities were closed when their funds were cut off and there is continuing pressure on universities to close departments. The possibility of the elimination of tenure has also appeared as a threat on the academic horizon.36

In Canada, the increased control of universities by a variety of political and bureaucratic agencies is perceived as eroding the traditional university autonomy.37 The provincial and federal governments' imperatives to monitor university accountability is of particular concern. At this point mechanisms to accomplish this have not been established and advice was expressed recently from the United Kingdom that 'if studies of efficiency have to be

36 A proposal to abolish tenure in Alberta was discussed on a public affairs radio programme, Montreal, CBC, Sunday 22, 1994.

37 Canadian Association of University Teachers, Governance and accountability: the report of the independent study group on university governance (Ottawa, CAUT, 1993), p. 60.
undertaken, or performance indicators introduced, volunteer to do it yourselves rather than let a government department or other external body do the work! This advice has been heeded by many Canadian universities.

It had been expected that enrolment would decline in the late 1970s but this did not occur. In the 1980s enrolment increased thirty-five percent and, during the 1990s has risen approximately three percent each year. It is difficult to obtain exact figures because there are various methods of calculating full time equivalencies to factor in the many part-time students.

The diminishing budgets of universities have affected academic libraries and the concerns associated with retrenchment have created problems affecting many aspects of their operation. One of the solutions is thought to be restructuring to accommodate the many changes occurring in libraries today. Another solution is more active participation in university affairs by librarians elected to senate and other governing bodies.

In summary, the problems facing the Canadian university system are similar to those of many other countries: the

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failure of funding to keep pace with increased costs and enrolments, and the pressure for more effective accountability. In addition, Canada has several unique problems. There is the problem of access, the difficulty of providing 'distance learning' to a very large but sparsely populated country. Another concern is furnishing higher education to Canada's aboriginal peoples, the percentage of this minority group attending or completing university is extremely low.

3. The Changing Environment of the Archivist

Changes are transforming aspects of archival work so that the role of the archivist can be regarded, if not quite in the process of metamorphosis, certainly in transition. Five of the major changes are discussed below. They cannot really be considered in isolation but rather looked upon as a number of interacting variables, thereby exacerbating their consequences, frequently unanticipated, sometimes desirable and, at other times, less welcome.

a) The Electronic Information Revolution

The post-industrial electronic revolution is having a profound impact on archives. Significant changes in the way records are created has led to a wide variety of new formats. These include online and optical discs, magnetic tapes, film, data bases, computer-simulated audio and
images, hypermedia, and (technically) videotape products.\textsuperscript{40} In 1991, John McDonald outlined several concerns, including the uncertainty of the shelf life of magnetic media, the difficulty of finding appropriate storage environments as well as the need to provide compatible equipment to access the materials.\textsuperscript{41}

The future is not totally charged with problems, however, as electronic equipment may well provide information systems for highly efficient cataloguing and retrieval for the new types of records as well as the traditional textual ones. Today most archivists consider the computer as essential equipment, and many are either introducing or examining ways to streamline their programmes utilizing computer facilities.

b) Information Management

The emergence of information management has implications for archivists as well as other related occupations. David P. Best, in 1990, defined the field as 'The economic, efficient and effective coordination of the production, control, storage, retrieval and dissemination of


\textsuperscript{41} Corporate memory in the information age, presentation to the Annual Conference of the Canadian Access and Privacy Association, unpublished (Ottawa, April, 1991), pp. 1-2.
information...'. One of the consequences is that all information is considered important and constitutes a critical resource. In 1990, Pauline A. Oswitch identified over thirty different information professionals including familiar titles such as archivist and librarian as well as new designations such as 'technology transfer agent, knowledge counsellor and gatekeeper'.

The lines among the information professions have blurred and there are areas of common activity. Miriam Tees described attempts to harmonize these various areas to achieve a better coordination of professional work and education. A note of warning sounded by Richard M. Kesner is that, if archivists do not become involved 'or indeed, even acknowledge the need for their participation in the changing information management environment, their users will seek assistance elsewhere.' For example, if archivists are unwilling to learn about computer capabilities, other experts will do it for them. Archivists (and librarians) who continue to use outdated work methods and refuse to change are sometimes referred to as dinosaurs.

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43 'The role of the information professional in development', IDIJ, 6 (1990), p. 28.


45 'Whither archivy?: some personal observations addressed to those who would fiddle while Rome burns', Archivaria, 20 (1985), p. 143.
c) The Increase in the Volume of Records

More records of all kinds are being produced today, not only due to the increased population of the baby-boom, from the late 1940s to the early 1960s, but also due to the many social and cultural changes which have occurred during this period. Life-styles are different, people have become more mobile, and governments have introduced programmes such as national health care, unemployment insurance, and other social benefit schemes which have resulted in an increased number of records for each individual.

Multiple copies of all kinds of records are produced by increasingly sophisticated copy machines. While the use of microfilm has provided one way of storing a great many records in a small space, this process is generally used very selectively. It is a genuine concern that 'the overall volume of data (in all media) is growing at a staggering, geometrical rate."

Consequently, many archivists are concerned about having adequate storage space.

d) New Legislation

An important change has come from the political sphere where new legislation has influenced the way archivists and records managers perform their work. Some regulations relate directly to the nature of the records. For example, the records in a hospital archive are bound by specific

\[46\] Ibid., p. 142.
restrictions regarding the confidentiality of patient information. Another example are the different and sometimes varying constraints applied to the staff and student records kept in university and college archives. In addition, there are legal obligations regarding records: their creation, retention, disposal or assignment to the status of historical records.

Other legislation that has been instituted during the past decade is more global, and includes laws related to the freedom of information and the protection of privacy. The former concerns the public's right to know and the latter, the personal right to privacy of information. Archivists and records managers must be mindful of the legal implications of these laws which are sometimes difficult to interpret, and sometimes without precedent in their application. For instance, it can be time consuming to obtain a ruling about the new laws and to explain its application to researchers.

e) The Increase in the Number of Users

The users of archives have changed and the areas of research today are different and expanding, almost exponentially. The greatest percentage of patrons is frequently thought to be historians and scholars but family historians may be the largest user-group today. According to Elsie T. Freeman, impressions indicate that 'genealogists and bureaucrats appear to be the principal users of archives, with social scientists, publicists, film-makers,
lawyers, public policy planners, and other professionals following close behind."  

The possibilities for using archival materials for quantitative research have also multiplied, due largely to the capability of the computer to manipulate enormous quantities of data. The increased use of archives indicates more public awareness of archives, but there are negative aspects including the fact that fragile records may be damaged by frequent handling and copying. A current question for archivists is to determine who should be permitted to use archival materials.

4. Three Archival Issues

Three issues which are frequently discussed in the archival literature are reviewed below. The research will attempt to provide some insight into archivists' perceptions of these issues.

a) The Image of Archivists

There is abundant discussion in the archival and library literature concerning the unfortunate image of the two professions. In 1972, Hodson remarked that, 'As might be expected in a "new" profession like archives the members are rather self-conscious, constantly asking themselves and

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47 'In the eye of the beholder: archives administration from the user's point of view', American Archivist, 47 (1984), p. 115.
each other what are archives, what is an archivist? In 1994, more than twenty years later, archivists are still asking these questions. Librarians are struggling with the same difficulties; Patricia Glass Schuman found that 'librarians and libraries are viewed as foreboding, boring, complicated, largely inaccessible, or worse, irrelevant.'

The 1984 Levy Report investigated the image of archivists in the United States. The qualitative study endeavoured to understand how forty-four resource allocators perceived archivists. The findings showed that 'Summarizing the situation, it may be said that it is one weighed with 'niceness' - the archivists having the impotence of virtue, which is expected to be its own reward, leaving the allocators to address themselves to more pressing concerns.'

There is ambiguity among archivists concerning their role, who they are and what constituencies they serve - a lack of unifying conviction. It is not surprising, therefore, that there is limited concern about the work performed by archivists expressed by resource allocators; the same uncertainty is reflected by the general public.

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48 The administration of archives, p. 41.

49 'The image of librarians': substance or shadow?', JAL, 16 (1990), p. 87.


51 Ibid., p. iii.
b) Relationship between Archives and Libraries

The relationship between archives and libraries is complex, particularly in universities and colleges where many archives are located physically within library departments, and their administration is directed by the same authority. Discussion in the literature centres on the similarities, differences and shared problems of archives and libraries as well as the dynamics of the relationship.\(^{52}\) Many of the archives, and particularly those in the United Kingdom, traditionally have been kept in libraries and the deposited collections are more important than the administrative records. Moreover, attempts to establish independent archives units would probably be strongly resisted by library directors.

Archives and libraries have the same broad aims and similar missions. Both acquire recorded information, arrange and preserve it according to certain theoretical and practical principles, and use various systems to describe collections. Both are service-oriented, the ultimate objective being to provide information and effective assistance to patrons and researchers.

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\(^{52}\) Two thorough examinations of relations between archives and libraries are: Richard H. Lytle (ed.), Management of archives and manuscript collections for librarians (Philadelphia, Drexel University Graduate School of Library Science, 1980), and JLA, 7 (1986); the issue is titled Archives and library administration: divergent traditions and common concerns; all the articles are devoted to the topic.
There are a number of significant differences between archives and libraries. John T. Rizzo characterized archives and libraries as having different materials, different ways of arranging their holdings, and different types of users. There are many explanations for these differences, and David Gracy noted that the divergences 'spring from the nature of the material in the two types of repository and the treatment given it.'

Archivists concentrate on preserving the original arrangement of materials according to two principles. The first, provenance, is that 'records created or received by one record keeping unit should not be intermixed with those of any other.' Each new accession represents a unique unit; it is critical that the relationship of the items in the unit are not disrupted. The second principle is the concept of original order 'that records should be maintained in the order in which they were placed by the organization, individual or family that created them.' Together these principles provide the researcher with the maximum information value.

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53 'From the editor' JLA, 7 (1986), p. 15.
54 An introduction to archives and manuscripts, p. 1.
56 Ibid., p. 341.
Today librarians and archivists are facing similar problems. Both have economic difficulties and are rarely in a powerful position in the administrative hierarchy. The literature confirms that both professions have an unfortunate image. Two other shared concerns are the costs of conservation and the increasing volume of publications and records. Finally, the number of users of archives and libraries is increasing.

An important consideration for university and college archives is their location. In 1992, Maher noted a number of possible locations for archives including the library, academic departments and senior administrative offices.\(^57\) David Klaassen stated that there should be a symbiotic relationship when archives and libraries were administratively linked.\(^58\)

A less optimistic view by Robert L. Clark Jr. is that archives under library control experience budgetary and other negative prejudices.\(^59\) Ian Wilson concluded that archivists inevitably experience disappointment when they are placed in the library system; archives must adhere to the goals and objectives of the library, and there is little

\(^{57}\) The management of college and university archives, p.23.

\(^{58}\)'The provenance of archives under library administration: organization structures and organic relationships', JLA, 7 (1986), p. 35.

likelihood that a complete records programme will be instituted.\textsuperscript{60}

c) \textbf{Education and Training of Archivists}

Archival education, in the formal sense, began in several European countries in the first half of the nineteenth century. Schools were established in France, Germany and Austria. Two of these were founded in 1821, the École des Chartes in Paris and the Bayerische Archivschule in Munich. Unlike other professions, a training model which could be universally applied did not emerge; consequently, the processes and methods utilized are closely connected to the country's individual traditions and history. Consequently, there is limited consensus regarding education.

Formal training and education for the archival profession began in the United Kingdom shortly after World War II. In 1947 both University College London and the University of Liverpool instituted one-year diploma courses in archives administration, offered to candidates with a first degree. Within a few years two other universities established similar courses and in 1973, a fifth, University College Dublin, initiated a comparable programme.\textsuperscript{61}

\textsuperscript{60} 'Canadian university archives', Archivaria, 3 (1976-1977), pp. 17-27.

In 1970, the Society of Archivists' Training Committee was established. The Committee not only monitored its own programme but also the university courses. Recently, it was replaced by the Professional Development Panel whose members work together with representatives from the university courses to determine future training directions. Topics include ethics, professionalism, and the extent to which the study of management and communication skills is appropriate.  

In Canada archival education and training commenced in 1959 when the National Archives of Canada offered an archival training programme. During the 1960s several universities established archives administration courses in history departments, library schools and extension faculties. Several Quebec junior colleges organized training programmes for technicians in the 1960s. In response to the Social Science and Humanities Research Council report on Canadian archives in 1980, three universities established programmes in archival studies: the University of British Columbia, the Université de Montreal, and the Université de Laval.

The Canadian Council of Archives provides guidance and financial support for continuing education programmes for

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62 Ibid., p. 50.


64 Ibid., p. 106.
Canadian archivists. A national education strategy, jointly developed by the Association of Canadian Archivists and the Association des archivists du Québec, is currently concerned with ensuring the standardization of educational opportunities as well as continuing education programmes.

5. Conclusion

In conclusion, with respect to the context, changes and issues reviewed above, it is worth reiterating that university and college archives are being challenged today on many fronts. The funding situation is profoundly threatening - resources are scarce and likely to become scarcer. Increasingly rapid social and technological change is affecting many aspects of archival programmes. How can archives respond effectively to this turbulent environment? One solution would be more effective management, a positive and pro-active approach that would include building on strengths and opportunities.
CHAPTER II: METHODOLOGY

A. METHODOLOGY

Before describing the research method which was used in this thesis, a brief review of the various possibilities is presented. A number of research strategies were investigated to determine the most appropriate methodology to adopt for the study of some aspects of the management of United Kingdom and Canadian university and college archives. For example, one of the possibilities was an in-depth investigation of a single archive department. There are, however, a number of limitations to this type of research: two cases can rarely be compared, the single case-study is difficult to repeat, and perhaps most importantly, the results of case-studies offer a minimal basis for generalization.¹

An alternative method of research consists of studying a number of individuals or groups. The groups to be investigated must first be identified and when this has been completed, surveys, in the form of interviews and/or questionnaires are prepared and administered. The data collected is tabulated then analysed and the results are

¹ Allan C. Filley and Robert J. House, Managerial process and organizational behavior (New York, Scott, Foresman, 1969), p. 43.
used to compare the similarities and differences of the individuals or groups. If the sample is randomly selected the results can be generalized to the larger population from which the sample was chosen. "The concept of a population is fundamental to survey research. A population is any set of persons or objects that possesses at least one common characteristic." In addition, the survey can be replicated so that future applications and additional comparisons can be made.

Frequently, it is impractical or impossible to interview or survey an entire population. When this is the case, a proportion or sample is selected. As noted above, in order to generalize the results of the data gathered to the larger population, the sample must be randomly selected. That is, it cannot be predicted which members of the population will be included because all members of the population have the same probability or chance of being selected.

A simple way of selecting a random sample from a relatively small population is accomplished by putting each name on a separate slip of paper and drawing a predetermined

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2 Busha and Harter, Research methods in librarianship, pp. 57-57.

3 Filley and House, Managerial process and organizational behavior, pp. 42-46.

number of slips 'out of a hat'. The random sample is sometimes stratified, that is, the population is divided into two or more subpopulations, called strata, and the subjects are then randomly selected for the sample. If the random sample is stratified, the names of each member of the subpopulations are placed on slips of paper, and a predetermined number of slips from each group are drawn separately 'out of a hat'.

There are a number of ways of conducting surveys which consist of various instruments, devices, or processes. Described as methods to measure processes, objects or human behaviour, instruments include questionnaires, written or oral tests, and observational techniques. In some cases, existing instruments may be used and, in other cases, where no appropriate tools are available, it is necessary to design them.

Questionnaires can contain 'selected response' or open-ended questions, and sometimes a combination of both types. Selected response questions are answered by yes/no/maybe, or by checking a number which represents the response. Open-ended questions require a written or verbal explanation or opinion. Observational techniques consist of scrutinizing actions or activities in a general way, or using a checklist

to ascertain if certain patterns or predetermined elements are present or absent.  

Tabulating the results of selected response questions consists of coding the answers, generally represented by numbers or other answers converted to numbers, to score-sheets. The outcome is examined and comparisons are made. Open-ended questions provide subjective, qualitative information, and the answers have infinite variety and must be carefully and consistently analysed, utilizing a process called content analysis.

The administration of questionnaires may be by post, by telephone or during an interview. While the mail-out questionnaire is practical and inexpensive, it has a number of potential drawbacks. Firstly, no matter how carefully the questions are designed there is the possibility of the meaning being misinterpreted. Secondly, the return rate of questionnaires varies a good deal. Thirdly, even when questionnaires are returned, there is no guarantee that all questions will have been answered. The telephone survey overcomes some of these difficulties, but the process is not always satisfactory because it may be necessary to call a number of times to reach the participants, and the calls may be interrupted if the participants have to attend to urgent matters.

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Administering a questionnaire during an interview is the most satisfactory procedure, but it is expensive from the standpoint of the time and effort required. Questions can be explained and any ambiguities clarified, thereby avoiding misunderstandings. Furthermore, there is the possibility that additional ideas and opinions will be obtained. Interviews, however, require making arrangements concerning a suitable time and place for both the participant and the interviewer. Unanticipated events can occur and appointments may have to be changed, sometimes several times. Travelling, frequently considerable distances, can be costly and requires careful planning. The interview locations will often not be familiar to the interviewer. Arriving at the right place at the right time can be an adventurous undertaking.

B. DESIGN OF THE METHODOLOGY

The populations of United Kingdom and Canadian university and college archives, from which the random samples were selected, are described in some detail in Chapter III. The populations were divided into several strata so that comparisons could be made concerning the different sized groups. Four strata were identified based

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10 Wiersma, Research methods in education, p. 190.

11 Busha and Harter, Research methods in librarianship, p. 78.
on the volume of records and the presence or absence of a
full-time or part-time archivist in charge.\textsuperscript{12}

For this thesis an interview was chosen as the best and
most reliable method, in spite of the drawbacks regarding
the time and effort required.\textsuperscript{13} Two instruments or
processes were chosen. The first was an interview format
for a discussion of administrative processes based on a
series of questions. The second was a three-part
questionnaire which was completed by the participants after
the interview. The writer explained the second process and
remained while it was being filled out and answered any
additional questions before finishing the interview.

1). \textit{The Interview Format}

The interview format was designed to gain information
about the management practices of the participants. It
included seven sections and most of the questions in these
sections were of the selected response type, but a few were
open-ended. They were answered by the three archivists in
the pilot project first and, after some modifications to the
format, by the participants selected for the stratified
random sample.

\textsuperscript{12} Discussions with Professor Jane Sayers, School of
Library, Archival and Information Studies, London College
University, and Dr. Patricia Methven, College Archivist,
King's College, London, regarding terms of reference and

\textsuperscript{13} Wiersma, \textit{Research methods in education}, p. 190.
The questions in the interview format were part of the logical sequence of the management process, for example, in an ideal situation the mission statement would be formed first, followed by the establishment of goals and objectives, and the documentation of policies and procedures. For the purpose of this research, however, because the degree of interest in management practices was not known, it was considered prudent to ask questions about policies and procedures first, because they would be known and understood, whereas mission statements, for example, might be less familiar to the participants. The original and revised interview formats are presented in Appendixes 1, 2 and 3. The sections in the revised format were presented in the following sequence:

**Background** - questions relating to the background and current reporting relationships of the archives.

**Policies** - questions concerning the presence or absence of policies and whether they were documented or undocumented.

**Procedures** - questions relating to a number of procedures in the archives and whether or not they were in written form.

**Organization, Administration and Communication** - this was the longest section, and was divided into a number of sub-sections, and contained questions relating to the management processes of the archives.

**Training and Development** - questions concerning the types of training and development opportunities, if any, that were available for archivists and staff members.
Funding - questions dealing with internal and external funds, budgets and related issues.

Trends - one open-ended question which requested information about future trends in archives.

After the first part of the interview the archivists were given a list of written materials relating to the administration of the archives, and were asked if copies of any were available. Copies of the lists are provided in Appendixes 4, 5 and 6. The documents received were compared and composite examples were prepared as illustrations.

The interview format was analysed by tabulating the responses to the selected response questions and grouping the open-ended questions. The results were compared for similarities and differences among the groups of different sized archives in the random samples.

2) The Three-part Questionnaire

The three part questionnaire was selected to augment the information gathered from the interview. It was considered important to obtain information about how the archivists perceived their work environment. It was also considered important to obtain information relating to the factors the archivists liked most about their work and the problems they perceived. Questions relating to biographical or classification information were included to acquire data about such items as the background, education and training of the participants.
Part I of the questionnaire was a climate survey. The term has been defined as an individual's perceptions, attitudes and opinions, of various elements of their work environment. Another explanation is that 'climate describes the characteristic behavioural processes in a social system at one particular point in time'. The particular survey selected was developed by the Behavioral Research Institute of Texas Christian University. The writer has had previous experience utilizing the survey during a consultancy. There were two sections, one concerned the archivists' perceptions of their work environment and the other concerned how much change, if any, was required to make the situation what it realistically ought to be. Scaled, fixed responses were used to measure the intensity of the opinions which included five possible responses to the perceptions of the work environment from 'strongly agree' to 'strongly disagree', and five possible answers to the amount of change required from 'no change' to 'extensive change'. There was a total of eighty-four

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16 Saul B. Sells, unpublished climate questionnaire (Fort Worth, Texas, Institute of Behavioral Research, Texas Christian University, 1968). For an assessment of the work of the Institute, see Steven G. Cole and Robert G. Demaree (eds.), Applications of interactionist psychology: essays in honor of Saul B. Sells (Hillsdale, New Jersey, Lawrence Erlbaum Associates, 1988).

17 Busha and Harter, Research methods in librarianship, p. 74.
questions in the pilot project and ninety-three in the revised questionnaire. In the pilot project twenty dimensions were measured and two extra dimensions were added to the revised questionnaire. Copies are given in Appendixes 7, 8 and 9. A dimension is regarded as some aspect of the work environment such as 'communication downward' or 'promotions', for example. Definitions of the dimensions are described following a description of Parts II and III of the questionnaire.

Part II consisted of four open-ended questions which asked for a description of the three factors the archivists favoured most about their work, and the three most serious problems in their archives, and the probable causes of, and possible solutions to the problems. Copies of the questions are supplied in Appendixes 10 and 11. As noted above, this open-ended type of question allows participants to express their opinions and views more readily than in questions restricted by selected responses.\textsuperscript{18}

Part III consisted of questions relating to classification information. Initially queries were included about the archivist's background, education and training, salary, prior experience, current title and years in that position, and number of employees supervised. Some modifications were made after the pilot project and reproductions are provided in Appendixes 12, 13, 14 and 15.

\textsuperscript{18} Ibid. p. 70.
After the answers to Part I were scored and coded on the computer, statistical tests were administered to ascertain the similarities and differences among the groups of archives. Part II was analysed by applying content analysis. The aspects of work that were most favoured by the archivists were grouped into categories. Similarly, the problems identified by the archivists were categorized as were the probable causes and possible solutions. The answers to Part III were tabulated and compared.

Definitions of the twenty-two dimensions measured in Part I of the questionnaire are as follows:

Availability of training (AT) - questions describing how effectively training is organized as well as its availability when required.

Benefits (B) - questions regarding the benefit package (insurance, vacation, etc.) and special benefits compared with other universities and colleges.

Changes to the University or College (C) - questions dealing with the desirability of any recent changes, the manner in which the changes were introduced, including smoothness and lack of disruption.

Downward Communications (DC) - questions describing the extent to which employees are kept informed of relevant short-term and long-term plans, results, evaluation or performance, and other matters affecting their work, well being, and welfare.

Decision-making (DM) - questions concerning the promptness, deliberation, consistency, firmness, and wisdom of the administration's decisions and their
effect on work, compared with procrastination, inconsistency, lack of firmness, and incorrect or unwise decisions.

*Image of University or College (I)* - questions concerning the prestige, position, reputation, and standing of the university or college in the community.

*Inter-Functional Cooperation (IFC)* - questions referring to the extent to which employees perceive that other functions of the total institution cooperate with each other toward the overall success of the university or college.

*Individual Responsibility (IR)* - questions concerning the extent to which individuals perceive they are allowed, encouraged, or expected to assume individual responsibility in their work and to use their own judgment.

*Openness (O)* - questions with respect to the freedom that employees perceive to speak frankly, to disagree with the administration, policies, or work methods compared with the extent they feel they are expected to withhold their opinions.

*Organizational Structure (OS)* - questions to determine if the structure promotes integration and enables the completion of the institution's mission, objectives, and goals, or if there are too many or too few layers to achieve results.

*Pay (P)* - questions related to the institution's pay package, whether or not it keeps abreast of the cost of living and compares with other universities.
Personal Influence (PI) - questions with respect to the extent to which employees perceive that their supervisors pay attention to their opinions and expressed needs in the work situation.

Promotions (PR) - questions concerning opportunities to pursue a successful career in the university or college by being aware and able to apply for promotions, through the policies of promotion from within and through the interest shown in their career development as opposed to a lack of opportunity, policies, and interest in their careers.

Quality Standards (QS) - questions regarding whether the administration emphasizes the maintenance of high standards, makes efforts to improve quality and the control of quality, or conversely, accepts second-rate work and compromises standards.

Reward System (RS) - questions relating to the existence of favoritism in granting raises and promotions, recognition, and reward for good work, and general fairness in reward for merit.

Risk-taking (RT) - questions referring to the administration as being slow, safe, sure and cautious as compared with being innovative, decisive, and prepared to take reasonable risks.

Roles and Responsibilities (RR) - questions dealing with the clarity of job definition and assignment of responsibility and decision authority.

Supervisor's Influence (SI) - questions referring to the extent to which employees perceive that their
supervisors have influence with higher level administration in the institution.

**Systems and Procedures (SP)** - questions dealing with the presence or absence of red tape, administrative controls, or excessive paper work.

**Upward Communication (UC)** - questions describing the administration's interest, efforts and effectiveness in keeping informed of the problems, needs, and performance of employees compared with disinterest and ineffectiveness in trying to understand employee's recommendations and ideas.

**Working Conditions (WC)** - questions dealing with the work environment such as noise, work areas, essential privacy as well as provisions for comfort, safety, and health of employees.

**Work Environment (WE)** - questions concerning the extent to which the work atmosphere is friendly, relaxed and pleasant or conversely, where the people are cool and distant.

C. **CONCLUSION**

The methodology which is described above was carefully selected, with a view to avoiding some of the pitfalls associated with mail and telephone surveys. It was recognized that there is no one 'right way' to proceed when research is undertaken. Even if the planning is conscientiously carried out, there can be unanticipated occurrences. Every effort was made to avoid difficulties and anticipate potential problems.
CHAPTER III: THE SAMPLE SELECTION AND VISITS

One of the first considerations was to define the populations of United Kingdom and Canadian university and college archives from which to select random samples. The institutions in the two countries have developed very differently; for example, there were notable disparities in age and size.

In order to divide university and college archives into categories, criteria were determined.\(^1\) First, however, it was necessary to obtain as much information as possible about the two populations; for example, the size of the archives and whether or not there was a qualified archivist in charge. This task involved a literature search for previous surveys to identify the populations of university and college archives. A number of surveys of archives had been conducted for both groups. The results of these surveys provided useful data which is described below.

A. THE UNITED KINGDOM POPULATION OF UNIVERSITY AND COLLEGE ARCHIVES

In 1967 a survey of United Kingdom archives was proposed to the Society of Archivists, and accepted by the

\(^1\) Discussions with Sayers and Methven.
Society's Council to be implemented the following year. The survey was designed to assess the archival situation which had changed considerably in the prior twenty years. Two questionnaires were sent out, one a full version (A), and the other a modified version (B). There were ten question areas including several items covering identification and background, control and finance, physical details, staff, collections, use of the repository and the inter-relationship of repositories.

The number of archives surveyed was not reported, but ninety-three replies were received for version A, and thirty-six for version B. Of these totals, there were nine responses from universities to version A, and six to version B. The remaining answers from other types of archives included joint schemes, boroughs, society or special repositories, and county council record offices. While the replies received were not uniform, several positive aspects of the 1968 survey were perceived. The results provided an overview of local archives services, some indication of the role of the archivist, and a foundation for establishing policies dealing with a number of elements of the management of archives.

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3 Ibid., pp. 308-312. Society of Archivists survey, 1968, Appendix A, Version A (which indicated the questions that were omitted in version B).

In 1973 the Royal Commission on Historical Manuscripts produced a list of repositories which included twenty-four universities. In a critique of this list, it was noted that this represented greater than half the more than forty universities or degree-granting institutions in Britain, and reflected the diversity of the collections. The author also mentioned the fact that, in the 1968 survey discussed above, about half the archives were located in libraries whereas in 1973 the proportion had increased. The main focus of the survey review was devoted to the situation of modern records in universities, and the author concluded that it seemed probable that the archivists would have to take the initiative in developing a close relationship between the archivists and the university administration which permits the systematic transfer of inactive records for preservation as archives.

Records management in university archives was the topic of a survey carried out in 1977, with the results published the following year. The posted questionnaire covered a variety of aspects of records management including types of university records held, title and training of the custodian, location and administration of the records, procedures applied, regulations on access, and general

6 Ibid., p. 189-190.
7 Michael Bott and J. A. Edwards, Records management in British universities, a survey with some suggestions (Reading, University of Reading Library, 1978), p. 32.
Sixty universities were canvassed and fifty-six responded, most by forwarding completed surveys and a few by sending explanatory letters. Almost eighty-nine percent reported having university records, the files and other papers created by the university. The majority of these were housed in the library. In addition to a detailed analysis, the authors presented many comments and practical suggestions, and concluded that comparatively simple records management programmes can result in substantial savings.\(^8\)

Another survey was undertaken by the Royal Commission on Historical Manuscripts in 1985 and distributed to one hundred and eighty-seven national, county, district and university repositories. The enquiry requested information from 1979 and 1984 on the following topics: finance, storage arrangements, holdings and acquisitions, finding aids, conservation, and facilities for researchers.\(^9\) An analysis of the one hundred and thirty-seven responses, which included thirty-four universities, was published and again, a good deal of information was gathered but some was considered too indefinite for detailed analysis.\(^10\)

\(^8\) Ibid., pp. 14-26.

\(^9\) Ibid., p. 22.


A report was published in 1989 of a survey of university and college archives in the United Kingdom.\textsuperscript{12} The method used to elicit information was a questionnaire which included the following topics: collecting and records management policies, funding and staffing, research, procedures, and holdings.\textsuperscript{13} The report does not mention the number of questionnaires sent out but 142 replies were received. The results re-iterated the diversity of the archives, not only in the holdings but also in the way they were administered. Some similarities, however, were noted. For example, most repositories were based in the library. The responses were summarized, together with recommendations, followed by general findings, discussion of regional responses, item by item analysis, and several in-depth case studies of individual archives. Reviews of the report commented very favourably on the value of the findings.\textsuperscript{14}

The 1989 survey represented a recent and complete list of university and college archives and it was used as the population of the United Kingdom university and college archives in this thesis. After a first review of the one hundred and forty-two archives, it was found that a number of the institutions had small or very small archives and for


\textsuperscript{13} Ibid., pp. 73-80.

\textsuperscript{14} Kate Thompson and M. S. Moss, 'The role and resources of university repositories - two views', \textit{Society of Archivists Newsletter}, 54, (1990), p. 22.
a few, there was no information reported regarding holdings. The chart below shows a summary of the United Kingdom university and college archives.

**CHART 1: UNITED KINGDOM POPULATION OF UNIVERSITY AND COLLEGE ARCHIVES**

<table>
<thead>
<tr>
<th></th>
<th>Other English</th>
<th>Cambridge</th>
<th>London</th>
<th>Oxford</th>
<th>N. Ireland</th>
<th>Scotland</th>
<th>Wales</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large</td>
<td>6</td>
<td>2</td>
<td>4**</td>
<td>1</td>
<td>0</td>
<td>4</td>
<td>1</td>
<td>18</td>
</tr>
<tr>
<td>Medium</td>
<td>8</td>
<td>2</td>
<td>2</td>
<td>4</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>19</td>
</tr>
<tr>
<td>Small</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>10</td>
</tr>
<tr>
<td>Very Small</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>9</td>
</tr>
<tr>
<td>Excluded</td>
<td>19</td>
<td>11</td>
<td>20</td>
<td>26</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>86</td>
</tr>
<tr>
<td>Total</td>
<td>37</td>
<td>18</td>
<td>30</td>
<td>36</td>
<td>4</td>
<td>10</td>
<td>7</td>
<td>142</td>
</tr>
</tbody>
</table>

** This number included the three archives that participated in the pilot project.

At this point it became clear criteria should be established to provide strata for both populations. To accomplish this the population is divided into categories from which random samples are selected. Busha and Harter stated that 'This refinement produces a more representative sample with less variation.'

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15 Research methods in librarianship, p. 60.
It was decided to use size (that is, the volume of holdings) to divide the population into large-sized, medium-sized, small-sized and very small-sized archives. To be included in the populations each archive had to have a specified quantity of university records. A further definition was that archives designated as large-sized or medium-sized archives must have a full-time, qualified archivist in charge, whereas for the small-sized and very small-sized it was not mandatory to have a full-time, qualified archivist in charge.  

It was agreed that the sample would be randomly selected as follows: eight archives from each of the large-sized and eight from the medium-sized, three from the small-sized, and two from the very small. The criteria and sample size are shown in the following chart.

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16 Discussions with Sayers and Methven.

17 Ibid., discussions regarding the type of sample and the sample size.
**CHART 2: CRITERIA AND SAMPLE SIZE OF THE UNITED KINGDOM POPULATION OF ARCHIVES**

<table>
<thead>
<tr>
<th>Combined Records l.m.*</th>
<th>University or college Records l.m.</th>
<th>Full-time Archivist Required to Qualify</th>
<th>Total Number</th>
<th>Sample Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large</td>
<td>1000+</td>
<td>Yes</td>
<td>18</td>
<td>8</td>
</tr>
<tr>
<td>Medium</td>
<td>300-999</td>
<td>Yes</td>
<td>19</td>
<td>8</td>
</tr>
<tr>
<td>Small</td>
<td>150-299</td>
<td>No</td>
<td>10</td>
<td>3</td>
</tr>
<tr>
<td>Very Small</td>
<td>50-149</td>
<td>No</td>
<td>9</td>
<td>2</td>
</tr>
<tr>
<td>Excluded**</td>
<td></td>
<td></td>
<td>86</td>
<td>0</td>
</tr>
<tr>
<td>Totals</td>
<td></td>
<td></td>
<td>142</td>
<td>21</td>
</tr>
</tbody>
</table>

* l.m. - linear meters
** Those archives which did not satisfy the criteria, they were either too small, did not have a sufficient quantity of university or college records, or had no information regarding holdings.

B. THE CANADIAN POPULATION OF UNIVERSITY AND COLLEGE ARCHIVES

In order to derive a sample of Canadian college and university archives it was necessary to define a population similar to the one used for selecting the United Kingdom sample.\(^{18}\) Two types of sources were identified from which this information might be obtained. One source was the surveys of university and college archives carried out during the last twenty-five years. In 1966 the Society of American Archivists provided an early survey of United States and Canadian college and university archives.\(^{19}\)

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\(^{18}\) SCONUL and Society of Archivists, *The role and responsibility of university archives*, pp. 73-80.

Three surveys of Canadian university and college archives were undertaken by Donald Baird in 1975, 1980 and 1985.\textsuperscript{20} The results of these surveys were reviewed and some of the data was tabulated, for example, information relating to the size, number of archivists and other personnel, and the location of the archives either as part of a library or as an autonomous department reporting to senior administration.

The results of this undertaking were interesting in that they clearly indicated the increase in the volume of records in many archives during the past twenty years. There were, however, a number of difficulties encountered. While a core of archives was present in each of the four surveys reviewed, many were not consistently included, were noted as not responding, or as not having archives. These surveys, particularly the Baird initiatives, represented a remarkable undertaking. For example, the last one, carried out in 1985, consisted of 137 questions but the editor noted that, while a large quantity of information was compiled, many questions were not answered and he concluded that, 'as a group, university archivists need to communicate with each other much more than heretofore'.\textsuperscript{21} The information from the four surveys was compiled and summarized into one of the following categories: 1) has archives, 2) not listed in survey, 3) no response but listed in survey, 4) listed


only, no comment in survey, 5) no archives but noted in survey.

The second source was the various lists and directories relating to Canadian archives. These proved to be helpful but were not comprehensive. It appeared that there was no one source or even a combination of sources that would provide a reliable list from which to obtain the Canadian population. The solution seemed to be to start afresh and, to this purpose, the Association of Universities and Colleges of Canada/Association des universités et collèges du Canada (AUCC) was contacted and the need for a list that contained only degree-granting institutions was explained. A list was received that contained ninety-two colleges and universities; each of these either grant degrees, hold their degree-granting powers in abeyance, or hold their degree-granting powers in abeyance except for

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22 Canadian Council of Archives/Conseil canadien d'archives, Directory of Canadian archives/annuaire des services d'archives canadiens (Ottawa, Canadian Council of Archives/Conseil canadien des archives, 1990): in the Thematic Index there are three relevant headings: Education (consisting of board of education archives), Education - Colleges (consisting mainly of the archives of two or three year colleges that do not grant degrees, and a few colleges that do grant degrees), Education - Universities (consisting of the archives of fifty universities), Association of Canadian Archivists, Association of Canadian archivists membership directory 1990-1991 (Ottawa, Association of Canadian Archivists, 1990) and the mailing list for Archademe, newsletter of the University and College Archives Special Interest section of the Association of Canadian Archivists.
theology. A decision was made to mail a questionnaire to each of these institutions.

A survey was designed, in the form of a one-page letter, in which the following four questions were asked:

1) whether or not there was an archive
2) if yes, was a full-time or part-time archivist employed
3) the total size of the archive collections
4) the amount of that total devoted to administrative (university and college) records.

A copy of the letter is provided in Appendix 16.

Copies of the letter and a stamped addressed envelope were sent to the English-speaking institutions in September, 1991. Sources which listed the names and addresses of specific archivists were used whenever they were available as it was hoped this would speed the process. When, however, this was not possible the questionnaire was sent to the address given in the AUCC list and directed for the attention of the librarian since the most probable location of the archives was thought to be the library.

A translation of the questionnaire into French was arranged and sent to the French-speaking universities and colleges, for the most part in the province of Quebec, but a few in the maritime and prairie provinces. A copy of the

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letter is supplied in Appendix 17. Again, where names and addresses of archivists were available they were used; otherwise, the letters were sent to the institutions and addressed for the attention of the librarian. As it transpired, this was the correct process for the English-speaking universities and colleges because the majority of the archives were part of library systems. The archives in the Quebec universities, however, were usually autonomous units reporting to the secretary-general.24

In due course answers to the questionnaires were posted back, and it was gratifying to receive an eighty percent response from the first mailing by the end of November 1991. A second mailing was sent out in mid-December and resulted in additional responses. As the questionnaires were returned, the answers to the four questions in the letters were tabulated for each of the ninety-two institutions. In a final column the size of the archives was recorded, based on the established criteria and, if excluded, the reason for exclusion was noted.25

By the middle of February 1992, only a few questionnaires had not been received, and the archives were

24 Baird, 1985 survey, a separate summary was produced which indicated that about sixty percent of the forty-eight archives reported to library departments. The remainder reported to a variety of other offices and were called autonomous by Baird. It is interesting that the French-speaking universities, with one exception, were called autonomous. In several cases Baird added a question mark, to indicate uncertainty regarding reporting relationships.

25 Discussions with Sayers and Methven.
telephoned for the required information. This proved to be more efficient than sending a third mailing. About one month later, information from all ninety-two institutions had been received. This data was added to the information already collected. Of the ninety-two institutions surveyed in 1991, very few had been listed in all four previous surveys. The results are summarized in the following chart which shows the number of universities and colleges reporting they had archives in each of the five surveys.

The detailed results are provided in Appendix 18.

### Chart 3: Canadian University and College Archives Surveys

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Archives Reported:</td>
<td>32</td>
<td>45</td>
<td>41</td>
<td>48</td>
<td>85</td>
<td></td>
</tr>
</tbody>
</table>

The population of the Canadian university and college archives derived from the writer's 1991 survey and the criteria and sample size are shown in the following chart.
CHART 4: CRITERIA AND SAMPLE SIZE OF THE CANADIAN POPULATION OF ARCHIVES

<table>
<thead>
<tr>
<th>Combined Records - 1.m*</th>
<th>University or College Records - 1.m</th>
<th>Full-time Archivist Required to Qualify</th>
<th>Total Number</th>
<th>Sample Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large</td>
<td>1000+</td>
<td>Yes</td>
<td>18</td>
<td>8</td>
</tr>
<tr>
<td>Medium</td>
<td>300-999</td>
<td>Yes</td>
<td>19</td>
<td>8</td>
</tr>
<tr>
<td>Small</td>
<td>150-299</td>
<td>No</td>
<td>11</td>
<td>3</td>
</tr>
<tr>
<td>Very Small</td>
<td>50-149</td>
<td>No</td>
<td>7</td>
<td>2</td>
</tr>
<tr>
<td>Excluded**</td>
<td></td>
<td></td>
<td>37</td>
<td>0</td>
</tr>
<tr>
<td>Totals</td>
<td></td>
<td></td>
<td>92</td>
<td>21</td>
</tr>
</tbody>
</table>

*1.m - linear meters

** Those archives which did not satisfy the criteria; they were either too small or did not have a sufficient quantity of university or college records.

It was significant that the United Kingdom and Canadian populations of university and college archives meeting the criteria regarding size and the presence of full-time and part-time archivists were very similar in number. There were, however, more than twice as many United Kingdom archives excluded, with a total of eighty-six compared to thirty-seven excluded from the Canadian population. The numbers are summarized in the chart below.

CHART 5: SUMMARY OF UNITED KINGDOM AND CANADIAN POPULATIONS OF ARCHIVES

<table>
<thead>
<tr>
<th></th>
<th>Large</th>
<th>Medium</th>
<th>Small</th>
<th>Very Small</th>
<th>Excluded</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>UK</td>
<td>18</td>
<td>19</td>
<td>10</td>
<td>9</td>
<td>86</td>
<td>142</td>
</tr>
<tr>
<td>Can.</td>
<td>18</td>
<td>19</td>
<td>11</td>
<td>7</td>
<td>37</td>
<td>92</td>
</tr>
</tbody>
</table>
C. SAMPLE SELECTION AND VISITS

As described above, criteria regarding the volume of total records including university records, as well as the presence or absence of full-time or part-time archivists, were established. These criteria placed a limitation on the number of the population and in addition, the population was divided into several strata or groups: large-sized, medium-sized, small-sized and very-small sized archives.

The United Kingdom sample was selected first because the population was based on a published list of archives whereas it took some time to gather the information necessary to define the Canadian population. The names of the United Kingdom archives in the four groups were recorded on separate slips of paper, folded over, and placed in four envelopes designated large, medium, small and very small. An independent individual reached into the envelopes and withdrew the requisite number of names, eight each for the large-sized and medium-sized, three for the small-sized, and two for the very small-sized. A smaller number of the latter two groups was agreed upon because it was thought they would be very different from the large-sized and medium-sized groups.

The selected names were listed, and their addresses and telephone numbers obtained from the Royal Commission on
Historical Manuscripts.26 Letters were sent to the archivists, explaining the research and requesting their cooperation in scheduling a convenient time for a visit. Several of the archivists responded promptly and expressed their willingness to participate. After a few weeks had elapsed, all the archivists were telephoned to discuss questions regarding the research and to arrange a convenient time to visit. In some cases, this required several telephone calls. It was particularly difficult to reach the archivists in charge of the small-sized and very small-sized archives. In many cases, the position was honorary, and the person did not actually take care of the records or have any particular knowledge of them. Several declined to participate, the principal reason being that they were unfamiliar with the records. Consequently, only one small-sized and one very small-sized archive that had expressed willingness to participate in the research were visited.

Arrangements were made to visit ten of the archives during May and June of 1991. These visits included travelling a total of approximately 600 miles by rail and bus and spending a total of ten days. Since a number of the archivists were not available for appointments in May or June, they were visited in October. This latter group resulted in a total of miles travelled by plane, rail and bus of about 6,800 and a total of eleven days. For the

26 The Royal Commission on Historical Manuscripts, which is the National Register of Archives, has a computer listing of archives, their addresses and telephone numbers. This inventory was very helpful for compiling the necessary information about each archive.
eighteen visits, the estimated total of travel miles was 7,400 and the time involved was twenty-one days. There were a few complications in making the necessary arrangements, and some of the dates were re-scheduled to accommodate unexpected changes but, with one exception, all the visits were carried out as planned. The one exception was a visit that could not be completed because the archivist was unavoidably detained elsewhere at the scheduled time of the meeting, and it was impossible to make an alternative arrangement.

The Canadian sample of university and college archives was chosen in the spring of 1992. The same procedure as that used for selecting the United Kingdom sample was followed. Eight large-sized, eight medium-sized, three small-sized and two very small-sized archives were chosen. The archivists were contacted, first by mail and then by telephone, and arrangements for visits were made. Again, it was difficult to organize visits to the small-sized and very small-sized archives and only two were scheduled, one to a small-sized and one to a very small-sized archives. Ten of the visits took place during May, June and July of 1992, and the remaining eight during November and December of the same year. Visiting the eighteen archives in Canada necessitated travelling over 11,000 miles by plane, bus, car and ferry, and the time involved was twenty-five days.

Perhaps the greatest difficulty in carrying out the visits was to arrive at the appointed time at the right place. In many cases it was necessary to ask directions,
sometimes several times. In a number of instances, the archivists mailed maps which proved to be very helpful. Furthermore, their interest in the research as well as the time and cooperation they afforded were invaluable. In addition to the topics dealt with in the interview, a wide range of other archival issues were discussed which provided additional information.

The material gathered from the United Kingdom sample was reviewed first. As noted above, the visit to one of the large-sized archives was not completed; therefore, the number in that group was reduced from eight to seven. The medium-sized archives group was also reduced to seven because one of the archivists in that group worked on a part-time basis, which contravened the criteria. The part-time status of the archivist was not known prior to the visit.

The difficulties encountered in arranging visits to the small-sized and very small-sized archives were mentioned above. The individual in charge of the one United Kingdom small-sized archive that was visited declined to complete the questionnaire. Therefore, only one visit to a very small-sized archive was completed satisfactorily. Since it was virtually impossible to arrange visits to small-sized and very small-sized archives to obtain the data necessary for inclusion in this thesis, it was decided that the data from the one very small-sized archive would be tabulated but would not be analysed or compared with the material from the medium-sized and large-sized archives.
The data gathered from the visits to Canadian archives was examined. Of the eight large-sized archives visited, only seven provided usable information, because one of the archivists did not complete the questionnaire satisfactorily. The eight medium-sized archives provided usable material. The information gathered from the one small-sized and the one very small-sized archives was tabulated, but was not included in the analysis and discussion.

D. CONCLUSION

The objective of the procedures described in this chapter was to define the two populations of United Kingdom and Canadian populations of university and college archives. The review of previous surveys provided useful information and, in the case of the United Kingdom population, a recent and comprehensive survey was utilized to define the population. It proved to be more difficult to ascertain the population of Canadian university and college archives because the information was not available from previous surveys. Consequently, a survey was undertaken which was time-consuming but resulted in acquiring information from which to define the population.

After the samples were selected, the visits were arranged, first to the United Kingdom archives and then to the Canadian. With few exceptions the information gathered was suitable for analysis.
CHAPTER IV: THE PILOT PROJECT

A pilot project to pre-test the research methods was undertaken during February and March, 1991. In this chapter, the administration, results and a summary of the pilot project are described.

A. THE PILOT PROJECT ADMINISTRATION

The three large-sized archives selected for the pilot project were contacted by telephone and the purpose of the meeting was explained. The interview commenced with discussion about the research being undertaken, and the background and experience of the writer. The archivists' questions were answered and the confidentiality of the individual findings was assured.

The questions in the interview format were asked and, where necessary, additional information was supplied by the participant or the writer. The interview format is given in Arrendix 1. Next, a list of possible documented materials was given to the archivists who supplied copies of written instructions to the writer. The list is Appendix 4.

After the interview the three-part questionnaire was administered. It is shown in Appendixes 7, 10 and 12. The archivists read the introductory pages explaining the questionnaire. The total visit was around two hours, one
hour for the interview and one hour for the completion of the questionnaire.

B. THE RESULTS OF THE PILOT PROJECT

The answers to the interview format were tabulated and analysed under several headings which are presented below.

**Background** - The archives surveyed were established from the 1960s to the 1980s, and were organized by the librarian in charge, sometimes with a library committee. The archives were located in libraries, and reported to librarians. In some cases others were involved in advisory and/or supervisory capacities. The management of records prior to the establishment of the archives varied; some had been kept in the library while others had been housed in departments.

**Administration** - None of the archives had mission statements but other policies were deemed to serve this purpose. Goals and objectives were not formally documented although this was reported as a current initiative. Work plans were shared with staff members but the evaluation of objectives tended to be interpreted as personal appraisals. Annual reports were prepared by the archivists.

**Policies** - The archives had policies regarding collection and user activities. Although not usually written, they were understood by the archivists and staff members. Conservation, disaster plans and security policies had been considered but were usually not documented. Policies
formulated by the library system were sometimes used by the archives. Forms used by researchers included regulations about access as well as copyright and photocopying rules.

**Procedures** - There were established procedures for accessioning, processing, and retrieving materials which were usually not documented. In some cases, procedure manuals contained written information but were not necessarily up-to-date. Other procedures included reprography and photocopy. The information tended to duplicate information given about policies. All the archives held some administrative records of their parent institutions, but none had established records management programmes.

**Staff** - The number of staff in the three archives varied. The archivists frequently hired staff from external grant funds and some also used volunteers. The archivists and support staff all had job descriptions but they tended not to have been reviewed recently and did not necessarily reflect current responsibilities.

The three archivists had received at least one formal evaluation during the past two years, and the support staff had been evaluated in an informal way. The archivists mentioned that a new scheme of appraisal was being implemented.

**Staff Associations** - The archivists belonged to the Association of University Teachers (AUT), and the support
staff to the National Association of Local Government Offices (NALGO). The archivists stated that the associations worked to enhance the benefits of staff, with varying degrees of success.

**Funding** - The budgets of the three archives were administered by the library departments to which they reported. Each archivist had a small budget for acquisitions, averaging less than £500. It was also possible to obtain funds for acquisitions from the library. External funding represented an important source of income, and many processes depended, to some extent, on grants.

Comments about budget changes during the last five years and forecasts for the next five years were tentative, since the budget was not in the archivists' domain. The financial situation was perceived as unpredictable due to rumoured budget cuts.

**Users** - The archivists kept written records of visitors. None, however, kept statistics of written or telephone enquiries, except during one week of the year.

The archivists identified the following user trends: most readers were academics but there was growing interest in family research, and fewer travel and research grants might affect the number of users in the future.

Very few documented instructions were collected from the archivists and they were not analysed in any detail. It
appeared, however, that a comparison of the presence or absence of written policies and processes could provide useful information.

The three-part questionnaire was analyzed next. For Part I, the climate survey, each of the answers was sorted into one of the twenty dimensions which represented the various aspects of work defined in Chapter II. The average response to each question was calculated. These averages were totalled, and an average was taken of that total and divided by the number of questions in the dimension. An example is shown below.

**Dimension 19 - downward communication** (Four questions 19P, 39N, 58N, and 75P - P or N indicate the questions were worded positively or negatively).

<table>
<thead>
<tr>
<th>Perception of the work environment</th>
<th>Amount of change required</th>
</tr>
</thead>
<tbody>
<tr>
<td>19P 3 + 4 + 4 = 11, average 3.7</td>
<td>3 + 2 + 4 = 9, average 3.0</td>
</tr>
<tr>
<td>39N 3 + 4 + 4 = 11</td>
<td>3 + 4 + 4 = 11</td>
</tr>
<tr>
<td>58N 4 + 2 + 3 = 9</td>
<td>2 + 3 + 3 = 8</td>
</tr>
<tr>
<td>75P 3 + 2 + 3 = 8</td>
<td>3 + 3 + 3 = 9</td>
</tr>
</tbody>
</table>

**TOTAL** 13.1 12.4  
**AVERAGE** 3.275 3.1

Charts of the results were prepared and are presented below. Chart 1 shows the dimensions of the perceptions of the work environment, rank ordered; Chart 2 presents the amount of change required for the dimensions, rank ordered, and Chart 3 shows the five dimensions requiring the least change and the five requiring the most change compared with the same dimensions of the perceptions of the work environment.
CHART 2: AMOUNT OF CHANGE REQUIRED

- Individual Responsibility
- Roles/Responsibility
- Personal Influence
- Work Environment
- Cleanliness
- Benefits
- Decision Making
- Quality Standards
- Upward Communication
- Rewards
- Supervisors' Influence
- Working Conditions
- Changes
- University Image
- Downward Communication
- Systems/Procedures
- Availability of Training
- Inter-Functional Communications
- Promotions
- Pay

NEGATIVE

POSITIVE

0

0.0 0.1 0.2 0.3 0.4 0.5 0.6 0.7 0.8 0.9 1.0
The five dimensions which required the least change and the five which required the most change related closely to the archivists' perceptions of the work environment.
Part II consisted of the archivists' answers to four questions: 1) the three most favoured aspects of work, 2) the three most serious problems, 3) their probable causes, and 4) possible solutions.

The factors the archivists favoured most included the value and interest of the collections, the contact with researchers, the orderliness of the collections and the benefits derived from working in an academic environment.

The problems identified by the archivists included: lack of funds and staff, the low priority of archives, and the lack of communication and planning. The most frequently advanced causes were the lack of resources and time to complete work, the poor image of archivists and the fact that the purpose of archives was not generally well understood, and the lack of direction and slowness of decision-making by senior staff.

A variety of solutions were offered: to overcome the lack of resources, more internal and external funding was suggested, to improve the image of archivists, efforts to encourage a better appreciation of their role and greater publicity were proposed, and for the lack of direction, review of work processes and discussion of issues were recommended.

Part III, classification information, showed that the archivists all had an undergraduate degree as well as additional education and training. Since only three
archivists participated in the pre-test, it may not be significant that all were female. The length of time in their current positions averaged eleven years, and the salaries received were in a range above £16,000 and below £30,000.

C. THE PILOT PROJECT SUMMARY

A good deal of valuable information was gained from the information format questions about administrative processes. The advantages of the personal interview, discussed in Chapter II, were justified. Some changes were made to the interview format, principally a reordering of questions under general headings and the elimination of questions that were repetitive or redundant. The revised format is given in Appendixes 2 and 3. The list of possible written materials was changed to reflect the revised interview format and is shown in Appendixes 5 and 6.

Some changes were made to the three-part questionnaire. Part I results were promising and it was agreed that different methods would be used in analysing the full sample. Because it was administered only to archivists two additional dimensions relating to management were included and are defined below. Copies of the revised survey are shown in Appendixes 8 and 9.

Organization structure - questions to determine if the structure promotes integration and enables the completion of
the institution's mission, objectives and goals, or if there were too many or too few layers to achieve results.

Risk taking - questions referring to the administration as being slow, safe, sure and cautious as compared with being innovative, decisive and prepared to take reasonable risks.

Part II, the four questions, was well understood and the answers provided interesting results. Therefore, no changes were made to this section.

Part III, classification information, was easily understood and all the questions were answered. Those which were not relevant to the research were eliminated. The revised format is provided in Appendixes 13, 14 and 15.

D. CONCLUSION

The pilot project proved to be a worthwhile undertaking. It provided an opportunity to determine the type of results which would be collected as well as a chance to make modifications, adjustments and additions to the instruments. Consequently, they were more precise, both in presentation and content. In addition, the writer had an opportunity to develop expertise in arranging visits and administering the interview.
CHAPTER V: THE RESULTS AND DISCUSSION OF THE INTERVIEW FORMAT

This chapter consists of the results and discussion of the interview format which was given to the participants in the United Kingdom and Canadian samples. The format had seven sections of questions which related to the archives: background, policies, procedures, organization, training, funding, and archival trends. The sample was randomly selected from the larger United Kingdom and Canadian populations of university and college archives. The results can, therefore, be generalized to apply to the larger groups.

In some cases, where the questions were related, the results are shown together in order to achieve economy of presentation. For example, several of the question of the various policies are displayed on the same chart. Abbreviations are used in presenting the results, large-sized United Kingdom archives (UKL), medium-sized United Kingdom archives (UKM), large-sized Canadian archives (CL), and medium-sized Canadian archives (CM). Charts showing the results of individual archives were presented in Appendix 19.
A. BACKGROUND

Four questions were asked to gain an appreciation of the background and current reporting relationships of the archives. It was expected that three of the questions would elicit factual information and that one, asking about the reporting relationships, would provide not only a factual answer but also the archivists' views on the arrangements.

1a) The year the archives was established

CHART 1: YEAR ESTABLISHED

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1a) Year Established</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Earliest</td>
<td>1945</td>
<td>1923</td>
<td>1966</td>
<td>1931</td>
</tr>
</tbody>
</table>

It was rather difficult to determine the year in which the archives were formally established. The United Kingdom groups were earlier, from 1923 to 1982; the Canadian groups from 1931 to 1992. Maher stated that an important variable of a programme's objectives is the date of establishment, and that different elements should be emphasized depending

\[1\] This was not the year the records were first kept in some form or another, but the year the archives were formally established.
on its age. There was, however, no clear evidence of a relationship between the formation of the archives and the emphasis of the programmes.

1b) Established by whose authority

CHART 2: ESTABLISHING AUTHORITY

<table>
<thead>
<tr>
<th>Authority</th>
<th>UKL</th>
<th>UKM</th>
<th>CL</th>
<th>CM</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Library</td>
<td>2</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>8</td>
</tr>
<tr>
<td>Library and other</td>
<td>1</td>
<td>3</td>
<td>1</td>
<td>0</td>
<td>5</td>
</tr>
<tr>
<td>Other</td>
<td>4</td>
<td>1</td>
<td>4</td>
<td>7</td>
<td>16*</td>
</tr>
</tbody>
</table>

* Of the "other", the following was found: of UKL, three were by the authority of the university court and one by the congregation; of UKM, one was by college fellows; of CL, one was by the authority of the secretary general, one by senate, one by the board of regents and the church, and one by the administrative council; of CM, two were by the president, one by the president and board of regents, one by the rector, one by the board of governors, one by senate authority, and one by the administrative council.

It was not always clear which departments and offices were responsible for the establishment of the archives, usually because the archivists were not entirely certain, or had been in their posts for only a short time. It was reported, however, that the library or library and another office had been involved in establishing six of the seven UKM archives in the sample, whereas other offices and departments were responsible for establishing the majority of the archives in the three other groups, UKL, CL and CM.

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2 The management of college and university archives, p. 13.
The involvement of other offices and departments appeared to influence the location of the archives.

1c) The archives currently reports to a library or other office

<table>
<thead>
<tr>
<th>Chart 3: Current Reporting</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
<tr>
<td>---------------------------</td>
</tr>
<tr>
<td>1c) Currently reports to</td>
</tr>
<tr>
<td>Library</td>
</tr>
<tr>
<td>Library and other office</td>
</tr>
<tr>
<td>Governing body or office</td>
</tr>
</tbody>
</table>

There were differences in the reporting relationships of the four groups, with the UKM all reporting to a library or library and other office, and all placed physically in the library. The archivists expressed concern with this situation, and several indicated that they felt it resulted in a lack of resources. This reaction was consistent with the statement that 'Discouragement and frustration for archivists are inherent in their relationship with university libraries.'

Five UKL reported to libraries and two were placed

---

3 Wilson, 'Canadian university archives', p. 20.
under other offices. Both Canadian groups had archives reporting to departments other than the library, particularly CM. It was notable that all the Quebec archivists reported to senior administration and had an input into the university or college decision-making process, including identifying needed areas of research.

1d) What happened prior to the establishment of the archives

UKL - There were a variety of prior arrangements. In the very old universities and colleges, records dated from the twelfth century and had a long history in various locations. Governing bodies, departments, and libraries were involved in housing records before the archives were formally established.

UKM - There were a number of different arrangements including storage in other departments and especially the library.

CL - There were various locations for housing records including departments, administrative offices, and the library.

CM - Several different departments, including the

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library, faculty and administrative offices, were mentioned. One archivist noted that the archive had been planned and established with the foundation of the college, about twenty-five years ago.

The materials in the United Kingdom archives were a great deal older than those in the Canadian archives. This was especially evident in the very old university and college archives where, over the centuries, there had been a variety of internal and external upheavals. Despite extreme difficulties during these periods, arrangements had been made for the safekeeping of the records.5

B. INTRODUCTION TO POLICIES AND PROCEDURES

The next two sections were concerned with the presence or absence of policies and procedures, and whether or not they were documented. It was debatable which activities should be included in policies and which should be included in procedures. Policies were considered to be broader and more general in scope, providing the 'why' and 'what' of archives activities, whereas the procedures consisted of the more detailed 'how to' instructions; in effect, the translation of theory into practice.

One opinion is that archival work is more effective and

5 Ibid., pp. 450-452.
efficient if it is systematically planned and documented.\textsuperscript{6} In addition to providing guidelines for carrying out activities in a consistent manner, written policies and procedures constitute justification for actions as well as serving as training material for new staff. Furthermore, they can form part of the planning process and are particularly useful when change is being introduced. This is an important aspect when it is recalled that archives today are reacting to both external and internal changes.

C. POLICIES

The archivists were asked about collection, appraisal, conservation, security and user policies. The first four were presented together and then the last was discussed.

2a) A collection policy defines the process of acquiring materials for the archives. Recently, many archivists have started using the word 'collection' rather than the word 'acquisition' in order 'to reflect a broadening of the concept and to focus more on the long-term effect of selecting material than on the one-time act of acquisition'.\textsuperscript{7}

2b) Appraisal is defined as 'the process of determining

\textsuperscript{6} Schwirtlich and Bellviken, 'Getting organized' in Pederson, \textit{Keeping archives}, p. 22.

\textsuperscript{7} Maher, \textit{The management of college and university archives}, p. 55.
whether documentary materials have sufficient value to warrant acquisition by an archival institution'.

Regarded by some as the most intellectually demanding and esoteric aspect of archival work, evaluations include consideration of the age, quantity and quality, uniqueness, time span covered, volume, accessibility and potential use of the material.

2c) **Conservation** is an important aspect of archival work since it deals with the preservation and protection of archival materials. A policy should establish the most desirable conditions for the collections in the archives. Unique and fragile materials frequently require the attention of specialists. Furthermore, many rare documents are microfilmed as part of the conservation process.

2d) Policies concerning the **security** of valuable and unique records include a variety of rules and regulations for protecting the collections. Theft and physical damage are two particularly important areas of security and are usually minimized by restricting the amount of material a researcher may use and also providing careful supervision of the reading room. Protection of records being processed and

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those in the stacks must also be safeguarded. In addition, some archivists have worked out a disaster plan to be implemented in case of an emergency such as a fire or a flood.

2a-d) Policies

CHART 4: POLICIES

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2a) Collection</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>policy-written</td>
<td>4</td>
<td>1</td>
<td>7</td>
<td>8</td>
</tr>
<tr>
<td>policy-not written</td>
<td>3</td>
<td>5</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>no policy</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2b) Appraisal</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>policy-written</td>
<td>2</td>
<td>0</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>policy-not written</td>
<td>3</td>
<td>5</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>no policy</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>2c) Conservation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>policy-written</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>policy-not written</td>
<td>5</td>
<td>6</td>
<td>3</td>
<td>5</td>
</tr>
<tr>
<td>no policy</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>2d) Security</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>policy-written</td>
<td>2</td>
<td>2</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>policy-not written</td>
<td>5</td>
<td>5</td>
<td>3</td>
<td>6</td>
</tr>
<tr>
<td>no policy</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

All but one of the archives had a policy on collection. Written guidelines were reported by all CL and CM, and by four UKL and one UKM. There were, however, not as many

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10 Ibid., pp. 82-83.
recorded policies on appraisal, conservation and security. In the case of appraisal, several archivists noted that it was a difficult activity to document and guidelines could vary depending on the materials collected. Many of the participants stated that, as they were located in the library, they were covered by the library conservation and security policies, and that there were no special provisions for the archives.

2e) User policy has been defined as 'the conditions of use and an outline of how restrictions should be handled when they are necessary'. There are usually constraints placed on the use of some materials, frequently by relevant legislation. Rules regarding identification or letters of introduction may also form part of the access policy.

2e) **User access**

UKL - Generally, the archives were open but were subject to some restrictions, including thirty-, fifty-, and eighty-year rules regarding access. The great range of researchers was mentioned, and some archives required identification for researchers. There were some restrictions regarding university records.

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UKM - Similar to UKL, they were generally open with some restrictions, and the thirty- and eighty-year rules were mentioned. The increase of readers was noted, as well as the fact that some researchers required credentials. Some restrictions were placed on certain university records.

CL - This group of archives were generally open, but there were some restrictions including the thirty- and fifty-year rules. Several archivists mentioned having manuals or guides which prescribe restrictions.

CM - The responses were that the collections of this group of archives were usually open, but there were some restrictions placed on records by the donors, by the thirty-year rule and, in some cases, by senior administration whose permission was required.

The access provided by the four groups of archives tended to be similar. The archivists expressed an interest in providing researchers with access whenever possible. Several mentioned that their arrangements were flexible, and implied that they had a good deal of discretion in making decisions regarding access to collections.
2e) User statistics

**CHART 5: USER STATISTICS**

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>visitor-kept</td>
<td>7</td>
<td>7</td>
<td>7</td>
<td>6</td>
</tr>
<tr>
<td>&quot;-not kept</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>telephone-kept</td>
<td>4</td>
<td>0</td>
<td>5</td>
<td>6</td>
</tr>
<tr>
<td>&quot;-not kept</td>
<td>3</td>
<td>7</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>letters-kept</td>
<td>6</td>
<td>2</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>&quot;-not kept</td>
<td>1</td>
<td>5</td>
<td>2</td>
<td>3</td>
</tr>
</tbody>
</table>

All the archives, except two, kept records of visitors, but there were differences in keeping track of telephone and letter enquiries. Some, but not all, kept track of telephone questions, except UKM, none of whom recorded this information. Statistics concerning letters of enquiry were kept by the majority of archives, except for UKM, where two out of seven tabulated this information.

The variation in user-services, with a few notable exceptions, and the inconsistent recording of statistics, appeared to support the criticism of archival user-services found in the literature. It should be noted, however, that many of the archivists regretted that they were unable to provide more adequate user-services, due largely to the lack of time and staff.
D. PROCEDURES

Questions were asked about four procedures: accessioning, processing, retrieval and records management. The first three were discussed together and the last, records management, was then addressed.

3a) Accessioning consists of bringing the materials collected under physical and legal control in the archives. There are various ways of accomplishing this: assigning numbers and registering new acquisitions frequently form the basic actions.

3b) Processing consists of describing the acquisitions, by translating the archival concepts of provenance, original order and levels of arrangement into systematic and practical actions. There are different ways of fulfilling this task and the elements may vary with the type of material, its complexity and importance, but all processing includes a series of steps to prepare records for preservation and use.\(^{12}\)

3c) Retrieval is the system used to obtain materials for use by researchers or by archives staff. The procedures for each of these may vary or may be the same. There is usually an established pattern as well as forms for carrying out

this activity.

3a-c) Procedures

CHART 6: PROCEDURES

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3a) Accessioning</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>policy-written</td>
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<td>1</td>
<td>7</td>
<td>5</td>
</tr>
<tr>
<td>policy-not written</td>
<td>6</td>
<td>6</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>no policy</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>3b) Processing</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>policy-written</td>
<td>1</td>
<td>1</td>
<td>6</td>
<td>5</td>
</tr>
<tr>
<td>policy-not written</td>
<td>6</td>
<td>6</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>no policy</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td><strong>3c) Retrieval</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>policy-written</td>
<td>3</td>
<td>1</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>policy-not written</td>
<td>4</td>
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<td>1</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>

The development of a manual of procedures is considered to be a critical factor in achieving the smooth operation of an archives programme.13 While all four groups had procedures for accessioning, processing and retrieval, the majority in the United Kingdom were not documented, whereas most were in the Canadian sample. Several of the archivists said that they would like to have written procedures or manuals but did not have the time to prepare them.

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13 Dearstyne, The archival enterprise, pp. 85-86.
3d) **Records management** has received more attention since the beginning of the twentieth century and became firmly established after World War II. The activity is 'concerned with the generation, receipt, processing, storage, retrieval, distribution, usage and retirement of records'.

The procedures involved are designed to systematically ensure the regular transfer of valuable records to archives and control the disposal of records that are judged to have no further value.

There has been debate over the extent to which archivists should be involved in records management. It is regarded by some as a separate discipline from archives and the argument is put forward that 'the archivist is barely able to undertake adequately the traditional and accepted duties of acquiring, processing and preserving archives and servicing the needs of the users.'

There is, however, an equally strong view that records management is a logical extension of the archivist's responsibilities.

---


15 Ibid., p.29.
Few of the archivists interviewed had progressed very far with records management programmes. It was, however, an area of concern for most. Three UKL mentioned that programmes were being discussed. Of UKM, one stated they were starting a programme, one said they had 'very little', and one explained their programme was for 'student records only'. Of the Canadian archivists, most expressed interest but made statements such as, 'none yet', 'wanted to hire a records manager to implement a programme', and, 'plans have not been implemented'. Many archivists stated that failure to start records management programmes was due to lack of resources.

In striking contrast was the fact that the Quebec archivists interviewed all had well-established records management programmes and noted that they were an important part of their archival activities. This was reflected some fifteen years ago when Wilson stated that the majority of records management programmes in Canada were in Quebec.
E. ORGANIZATION, ADMINISTRATION AND COMMUNICATION

Because this was the most complex section of questions, they were presented under sub-group headings and in the order the questions were asked.

4a) The presence or absence of a mission statement

A mission statement identifies the purpose of a programme and the relationship of the archive to the larger organization. The written mandate also provides the basis for planning, budgeting and collection building as well as helping to educate the public served by the archives. Maher advised that 'The first and most fundamental element of an academic archives is a clear statement of its purpose.'17 This viewpoint may not be universally accepted but it is found more frequently today in the archival literature. For example, Michael Swift stated that 'An archives must have a precise, approved statement of its mandate', and Richard J. Cox described a mission statement as 'a written expression of the nature, scope, functions, and rationale for the

16 Wilson, 'Canadian university archives', p. 20.
17 The management of college and university archives, p. 31.
existence of an institutional archives. In 1990 the Royal Commission on Historical Manuscripts published standards for record repositories, a useful guideline which includes sections on constitution and finance, staff, acquisitions and access.

CHART 8: MISSION STATEMENT

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4a) Mission Statement</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>have statement</td>
<td>3</td>
<td>2</td>
<td>4</td>
<td>8</td>
</tr>
<tr>
<td>no statement</td>
<td>4</td>
<td>5</td>
<td>3</td>
<td>0</td>
</tr>
</tbody>
</table>

The four groups of archives varied in the presence or absence of a mission statement. One group, CM, all had statements whereas CL had four, UKL, three, and UKM, two. This seems to indicate that the size of an archive is not a determining factor in having a mission statement.


19 The Royal Commission on Historical Manuscripts, A standard for record repositories on constitution and finance, staff, acquisition and access (London, the Royal Commission on Historical manuscripts, 1990), pp. 1-12.
4b) **Goals and objectives**

*Goals and objectives* form part of the planning process, and are a statement of the activities an archive is endeavouring to accomplish. The words goals and objectives are used interchangeably to refer to the broad, long-term intentions, expressed as explicit statements, and the shorter term specific actions necessary to achieve the plans.  

> 'Effective planning allows managers to control their program and make the best use of scarce budgetary and staff resources.'

There are many different ways to apply this process, including the involvement of staff members in establishing goals and objectives. It is thought employees so involved, 'will take responsibility for reducing costs and improving quality in the same way managers are presumed to be able and want to do.' Two such approaches are management by objectives and participative management.

---


Two groups had the most documented goals and objectives, UKL with four and CM with five, while four UKM and five CL reported having no goals and objectives, documented or undocumented. No pattern of similarities or differences could be discerned from these findings.

For the following four questions (4c-f) a different answering scheme was used in order to include as many potential answers as possible, since a simple yes 1) or no 2) would not have provided an adequate range. The answers were: 1) very often, 2) annually, 3) seldom, 4) never, 5) other, and 6) N/A. This last answer was included to provide an appropriate response if the archive did not have a plan of goals and objectives.

4c - d) **Review and evaluation of goals and objectives**

Review of goals and objectives is the on-going process with no set pattern of review dates. Since work is dynamic and there are frequently unexpected occurrences and
consequences, it is expedient to make adjustments as the need arises. For example, if an archive is moving to another site, or introducing an automated system, the plans need to be carefully monitored.

Goals and objectives are usually evaluated or measured at predetermined intervals, frequently once a year. This provides an opportunity to determine if the plans are making a contribution to the programme. It also affords an occasion to consider future plans. Advice worth heeding is that 'Refusing to give up unproductive or obsolete goals and objectives is a common cause of organizational failure ... Archivists must develop a healthy dissatisfaction with the status quo and continually question the value of their goals and objectives.'

---

23 Bradsher, 'Archival effectiveness' in Bradsher, Managing archives, p. 256.
CHART 10: GOALS AND OBJECTIVES: REVIEWED AND EVALUATED

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4c &amp; d) Reviewed Evaluated*</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1) Very Often</td>
<td>3</td>
<td>0</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>2) Annually</td>
<td>2 (1**)</td>
<td>2</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>3) Seldom</td>
<td>1 (2**)</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>4) Never</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>5) Other</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>6) N/A</td>
<td>1</td>
<td>4</td>
<td>5</td>
<td>2</td>
</tr>
</tbody>
</table>

* When reported collectively the review and evaluation dates were almost identical for the four groups although individual archives varied.
** UKL showed some difference in that two archivists reported an annual evaluation and one an annual review, one reported evaluations were 'seldom' and two stated reviews were 'seldom'.

The answers to c) and d) by all four groups were very similar. Generally, goals and objectives were reviewed and evaluated on an annual or 'very often' basis.

4e) Goals and objectives are communicated to staff

'Staff involvement in planning can lead to a better understanding of and commitment to the program's goals and objectives.' Even if the staff members are not involved in the planning process it is helpful if they are kept informed of the on-going initiatives to maintain interest.

---

24 Kurtz, 'Archival management' in Bradsher, Managing archives, p. 244.
and to foster a team approach.

### CHART 11: GOALS AND OBJECTIVES: COMMUNICATED TO STAFF

<table>
<thead>
<tr>
<th>4e) Communicated to Staff</th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Very Often</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>2) Annually</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>3) Seldom</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>4) Never</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>5) Other</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>6) N/A</td>
<td>1</td>
<td>4</td>
<td>5</td>
<td>2</td>
</tr>
</tbody>
</table>

A number of the archivists explained that, as the number of their staff was small, a good deal of this process was carried out on an informal basis, and the archives' goals and objectives were communicated to staff 'very often'.

### 4f) How frequently are meetings held

It was explained to the participants that this question was not related to the foregoing discussion of goals and objectives. Meetings are part of the communication process and can vary from formal meetings with prescribed agendas to
informal exchanges of material and ideas. The size of the staff may be a determining factor in the degree of formality. Meetings can also vary in style. On the one hand, they may be sessions where information is directed to staff members and no response is required; on the other hand, meetings may include soliciting staff opinions and reactions.

**CHART 12: FREQUENCY OF STAFF MEETINGS**

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4f) Meetings with Staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1) Very Often</td>
<td>6</td>
<td>4</td>
<td>6</td>
<td>6</td>
</tr>
<tr>
<td>2) Annually</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3) Seldom</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>4) Never</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>5) Other</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>6) N/A</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
</tbody>
</table>

Almost all the archivists held meetings with staff members, except those who did not have any assistants. Many noted they held informal get-togethers 'very often'. Others reported formal meetings arranged at specific intervals: weekly, twice monthly, monthly or when carrying out strategic planning. It seemed to depend, to some extent, on the size of the staff whether or not meetings were arranged formally or informally.
4g) **Is an annual report produced**

The annual, quarterly or bi-annual report provides a documented summary of work accomplished during a specific period. It can vary in length and detail and may include plans for the future. In addition, the report provides a form of evaluation.

<table>
<thead>
<tr>
<th>Chart 13: Annual Report</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
<tr>
<td>4g) Annual Reports</td>
</tr>
<tr>
<td>yes</td>
</tr>
<tr>
<td>no</td>
</tr>
</tbody>
</table>

Almost all of the archivists produced a written report explaining their activities, usually for the preceding year. They varied from one-page presentations to lengthy bound volumes of over one hundred pages. The archives which reported to libraries usually forwarded statements to their supervisors, library department heads or university librarians. Some of the submitted material might be included, generally in an abbreviated form, in the supervisor's report which was forwarded to the next higher level. The archivists who reported to administrative offices usually prepared a more substantial document of activities.
4h) Do archivists and support staff have job (position) descriptions and how recent are they

There are many approaches to preparing job descriptions but their basic purpose is to describe the responsibilities as well as the education and experience required. The archival unit's functional statement of responsibility, the programme goals and objectives, and the knowledge, skills, and abilities needed to perform the duties are the information required to prepare job descriptions.²⁵ Maher suggested that 'Position descriptions and educational requirements should mandate that the director of the program be a professional with archival training and experience.'²⁶

As work becomes increasingly dynamic, reflecting the many changes in the way tasks are performed, it is helpful for employees to have job descriptions which accurately document their current responsibilities. For example, knowledge of specific computer programmes might be an important component of some positions. In a changing environment it is useful to update descriptions, and it is important that staff members have an opportunity to discuss the contents of the descriptions.


²⁶ The management of college and university archives, p. 29.
### Chart 14: Job Descriptions

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4h) Job Descriptions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1) Archivists</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>yes</td>
<td>4</td>
<td>6</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>no</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>2) Support</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>yes</td>
<td>3</td>
<td>4</td>
<td>6</td>
<td>4</td>
</tr>
<tr>
<td>no</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>4</td>
</tr>
</tbody>
</table>

Most of the archivists in the four groups had job descriptions, but they varied a good deal in length and composition, ranging from a few lines to several pages. Some had been recently prepared, others were much older. UKM and CL both had six archival job descriptions with average preparation dates of 1987 and 1988 respectively, and CM had seven archival job descriptions with an average preparation date of 1988. UKL displayed a different pattern: only four of the archivists had job descriptions, with an average preparation date of 1972.

Except for CL, there were fewer job descriptions for the support staff of the four groups. There were no particular reasons given for this fact. Some of the archivists stated that job descriptions for support staff were 'in progress' or would be 'prepared in the next year'.
Personal evaluations, or appraisal interviews as they are sometimes called, are used to discuss the work performance of an archivist or staff member. If there are established goals and objectives, the performance can be linked to these targets, and are particularly relevant if the employee had been involved in the planning process. Otherwise, the evaluation can be based on the supervisor’s own agenda and observations as well as feedback from other staff members. In discussing evaluation, Dearstyne commented that 'Archival program staff need to feel that they have control over their own destiny, and that their work is valued and important.'

Performance appraisals are usually carried out at established intervals, frequently annually, but sometimes at longer or shorter periods of time. Dessler suggests that staff members 'should get feedback on how they are doing as frequently as possible.'

---

27 The archival enterprise, p. 88.

28 Management fundamentals, p. 309.
More UKL and CL received performance appraisals than the two medium-sized groups and they varied in frequency. Six CL support staff received evaluations. Less than half the support staff of the other groups received evaluations. In several cases, the evaluations were carried out informally so it was difficult to get firm figures to these questions. In addition, several archivists noted that changes were in progress including, 'plans to implement evaluation schemes' and 'annual evaluations are going to be introduced'. The impression was that some archivists were uncomfortable with the appraisal process. Beer suggested that 'a significant number of managers resist evaluating their subordinates. When controls force them to evaluate,
they provide ratings of questionable validity.\textsuperscript{29}

4j) \textbf{Are there staff associations for archivists and support staff}

Staff associations and unions work on behalf of their members, providing a collective voice for a variety of matters including rewards, transfers, promotions and the status quo.\textsuperscript{30} Unions tend to be more legalistic and less flexible than staff associations but also work for their members by negotiating salary arrangements and benefits. The writer hypothesized that there might be differences in the groups that acted for the United Kingdom and Canadian samples and also in the archivists' perceptions regarding their effectiveness.

\textbf{CHART 16: STAFF ASSOCIATIONS}

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4j) Staff Associations</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1) Archivists</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 - none</td>
<td>5 - AUT</td>
<td>2 - faculty</td>
<td>2 - faculty</td>
<td>2 - faculty</td>
</tr>
<tr>
<td>2 - faculty</td>
<td>2 - staff</td>
<td>1 - none</td>
<td>2 - librarians</td>
<td>3 - staff</td>
</tr>
<tr>
<td>2 - staff</td>
<td>1 - none</td>
<td>1 - none</td>
<td>1 - none</td>
<td>1 - none</td>
</tr>
<tr>
<td>2) Support</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 - NUPE</td>
<td>5 - NALGO</td>
<td>4 - staff</td>
<td>1 - staff</td>
<td>5 - unions</td>
</tr>
<tr>
<td>2 - none</td>
<td>NALGO</td>
<td>2 - unions</td>
<td>2 - unions</td>
<td>2 - none</td>
</tr>
<tr>
<td>1 - none</td>
<td>1 - none</td>
<td>1 - none</td>
<td>1 - none</td>
<td>2 - none</td>
</tr>
</tbody>
</table>

Almost all the archivists in the United Kingdom belonged to the same staff association, the Association of

\textsuperscript{29} \textit{Managing human assets}, p. 84.

\textsuperscript{30} Ibid., p. 31.
University Teachers. The remainder did not belong to an association. The Canadian archivists, on the other hand, did not have a national union or staff association, but a variety of local arrangements. Some were grouped with faculty, others were placed with administrative staff, and some had no affiliations. A similar situation existed with the support staff, with the majority of the United Kingdom belonging to the same association, or, in a few cases, no association. The Canadian support staff belonged to a variety of associations, unions, or had no affiliations.

The comments regarding the archivists' reactions to associations were mixed, ranging from positive to negative. The writer wondered if those who professed 'no comment' might, in fact, be reluctant to share their views. The Canadian groups tended to be more positive in their remarks about associations than the United Kingdom groups. This could have been because most of CL and CM were members of local associations which may have been able to understand and address the particular needs of their constituents more effectively than national organizations.

4k) The number of archivists and support staff and their titles

This question concerning the number of archivists and support staff was posed to determine if there were similarities or differences in the United Kingdom and Canadian samples. The archivists were also asked for their position titles and those of their support staff. It was of
interest to determine if the titles were traditional or if any had a managerial designation.

**CHART 17: NUMBER OF STAFF**

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4k) Number of Staff</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1) Archivists</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>range</td>
<td>1-3</td>
<td>1-2</td>
<td>1-4</td>
<td>1-4</td>
</tr>
<tr>
<td>average</td>
<td>2</td>
<td>1</td>
<td>2.6</td>
<td>2</td>
</tr>
<tr>
<td><strong>2) Support</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>range</td>
<td>0.5-10</td>
<td>0-4</td>
<td>0-10</td>
<td>0-9</td>
</tr>
<tr>
<td>average</td>
<td>3</td>
<td>1</td>
<td>4</td>
<td>2.6</td>
</tr>
</tbody>
</table>

The number of archivists and support staff varied in the four groups. UKL, CL and CM had very similar average numbers in both categories, but UKM had considerably fewer archivists and support staff. During the interview some UKM expressed the opinion that being placed in the library was the reason for the lack of staff.

This summary of titles did not include the chief archivist since it was listed with Part III of the questionnaire, classification information.

UKL (professional) - Archivist, Sub-librarian, Assistant Archivist

UKL (support) - Archives Assistant, Conservator,
Paper-keeper, Library Assistant, Data Entry, Clerk, Trainee, Secretary, Attendant, Porter

<table>
<thead>
<tr>
<th>UKM (professional)</th>
<th>Sub-librarian, Assistant Librarian</th>
</tr>
</thead>
<tbody>
<tr>
<td>UKM (support)</td>
<td>Archives Assistant, Conservator, Computer Specialist</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CL (professional)</th>
<th>Archivist, Assistant Archivist, Staff Archivist</th>
</tr>
</thead>
<tbody>
<tr>
<td>CL (support)</td>
<td>Archives Assistant, Library Assistant, Clerk, Technician, Assistant Technician, Clerk-Typist, Secretary</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CM (professional)</th>
<th>Archives/Records Officer, Archivist, Professional Researcher</th>
</tr>
</thead>
<tbody>
<tr>
<td>CM (support)</td>
<td>Archives Assistant, Library Assistant, Technician, Secretary, Clerk</td>
</tr>
</tbody>
</table>

The titles of all four groups, for professionals and support staff, were very similar, with a few unique designations in the United Kingdom groups. Since many of the archives reported to library systems it was not surprising that librarian and library assistant were utilized quite frequently. No titles including the word manager were found among the staff members of the participating archivists.
Training and development is identified as a critical element of work which relates to the ability to be adaptable to changes in the environment. Learning a new skill, such as operating a computer, can usually be completed successfully. New attitudes, however, are more difficult to acquire. For example, learning how to communicate effectively might require a significant change in disposition and manner. While there are many courses designed to alter attitudes, the desired results are not always achieved. The archivists were asked if they had training schemes and, if so, what type of training and development was given to archivists and support staff.

<table>
<thead>
<tr>
<th>Training</th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>yes</td>
<td>5</td>
<td>5</td>
<td>6</td>
<td>8</td>
</tr>
<tr>
<td>no</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>

Archivist training and development

UKL - The training included courses for archivists, professional development, management skills,

31 Beer, Managing human assets, p. 85.
palaeography courses and conferences. Two archives had no formal arrangements, but training days were arranged on an ad hoc basis.

UKM - This group identified conferences, management courses and lectures. One mentioned study leave and two said that there was no provision for training and development.

CL - Training consisted of computer courses, conservation, and other professional programmes and workshops. One archivist said arrangements were made on an ad hoc basis, and one noted no training was available.

CM - The courses included archives management, computer, conservation, and other job-related programmes as well as professional development. Some arrangements were on an ad hoc basis.

Support staff training and development

UKL - The courses mentioned were computer, conservation, customer care, and other courses.

UKM - In four of the seven archives, training on the computer and other courses were available as well as attendance at conferences.
Computer and other skill training courses were provided as required.

Where applicable for support staff, the courses were in computer and job-oriented training.

Most of the archivists reported that training and development opportunities were possible, but several stated that arrangements were on an informal basis with no guarantees that requests would be granted. As might be expected, those with budgets had more control over and input into allocating funds for training.

The types of training and development for the four groups were quite similar. Few of the archivists, however, mentioned any developmental plans for themselves or their staff members, indicating that this was not perceived as an important consideration. This attitude tended to confirm the assumption that archivists could benefit from a more active and assertive approach.\(^\text{32}\)

G. FUNDING

Because there were a number of sub-sections, the several areas of questions were identified individually followed by the results and discussion.

\(^{32}\) Levy and Robles, *The image of archivists*, p. iv.
6a) The budget arrangements

'Budgets are formal, financial expressions of a manager's plans.' They include items such as salaries, expenditures, and other operational costs, and provide a yardstick against which performance can, in part, be measured, and a means by which the programme can be managed.

Some archivists administered their own budget and some did not. In the latter case, some of the archivists had a small annual sum to spend, while others had no discretionary funds.

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>6a) Budget</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>arrangements</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>has own budget</td>
<td>1</td>
<td>0</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>no budget</td>
<td>4 (UKL)</td>
<td>3 (UKM)</td>
<td>2 (CL)</td>
<td></td>
</tr>
<tr>
<td>some funds</td>
<td>(£800 - £7,000)</td>
<td>(£3,000)</td>
<td>($3,000)*</td>
<td></td>
</tr>
<tr>
<td>no budget and no funds</td>
<td>2</td>
<td>4</td>
<td>2</td>
<td>4</td>
</tr>
</tbody>
</table>

* This would be approximately £1,500.

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33 Dessler, Management fundamentals, p. 489.
34 Ibid., p. 499.
It seems reasonable to suggest that archivists who manage their own budgets have more autonomy than those who do not have this responsibility. The former are able to plan current and future activities. One instruction is that 'the administrative structure should provide the archivist with financial and personnel resources that will enable the archives to fulfil its responsibility to the university'. Another guideline is that 'The archivist in charge should be responsible to the governing body for unidentifiable annual budget'. In the literature concerning archives in general and university and college archives in particular, however, there is not a great deal of space devoted to the management of budgets.

6ai) Does the library administer the budget

The question of who administered the budget was also asked and the responses were presented in the following chart.

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36 Royal Commission on Historical Manuscripts, A standard for record repositories, p. 5.

37 For example, in the following recent publications there are limited instructions concerning the administration and importance of budgets: Maher, The management of college and university archives, Cox, Managing institutional archives, and Dearstyne, The archival enterprise.
It does not seem coincidental that the one group, UKM, all of whom reported to libraries and none of whom administered their own budgets, seemed to be the 'poor relations'. Certainly they expressed the most concern regarding the lack of resources. A cause and effect relationship cannot be proved conclusively from this evidence but it supported the notion that, if an archives reports to a library, it is unlikely to administer its own budget and furthermore, seems unlikely to have the wherewithal to maintain a satisfactory archival programme.

6b) External Funding

External grants represented an important source of funds for most archives. During the interview, many of the participants mentioned that certain projects and staff were supported by grants and many felt they had developed a dependence on this source of funding, not only for special projects but also frequently for routine tasks. A few archivists stated that they either had sufficient funds or
did not apply for external funds.

### CHART 21: EXTERNAL FUNDING

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>6b) External Funding applies</td>
<td>5</td>
<td>5</td>
<td>7</td>
<td>6</td>
</tr>
</tbody>
</table>
| 6c) Sources of external funding

**UKL** - Funds were received from the following granting bodies and trusts: the British Library, the Wolfson Foundation, the Victoria and Albert, the Social Science Research Council, Friends of the National Libraries, the National Heritage Memorial Fund, and university grants.

**UKM** - Grants were received from the following bodies: the Victoria and Albert, the Wolfson Foundation, the Mellon Foundation, the British Library, the National Heritage Memorial Fund, bequests, private charities and trusts, and university funds.

**CL** - The following sources provided funding: national and provincial archives, Challenge grants, Unemployment Insurance Commission (job creation project funding), Department of Citizenship, Canadian Council for Archives, Cultural Affairs...
Department, Social Science and Humanities Research Council, and university funds.

CM - Grants were received from the following groups: Canadian Council for Archives, Social Science and Humanities Research Council, Challenge grants, provincial and national archives, British Columbia Heritage Trust, and university grants.

It was not surprising that the granting bodies were different in the United Kingdom and Canada. A number of archivists mentioned that, on occasion, they applied to their library supervisors or the university for special allotments of funds for particular purposes; for example, projects or acquisitions. Several archivists added that it was not always certain that these petitions would be successful.

6d) Grants used for

UKL - The funds were used for routine and special projects, conservation, acquisitions, training, and a staff survey.

UKM - The grants were used for specific and special projects, acquisitions, conservation, equipment, and staff.

CL - The resources were used for specific projects, research work, microfilming, staffing, backlogs,
conservation, guides, and cataloguing.

CM - The grants received were used for special projects, backlogs, conservation, oral history, acquisitions, processing, indexing, and staff.

The funds were used for similar initiatives by the four groups. Most of the archivists expressed their dependence on external funds. Several mentioned that it was time-consuming to prepare proposals, especially when there was no guarantee funds would be received. According to the archivists, this situation made it difficult to plan ahead.

6e) Comments on budget changes during the last five years *
   * UKL contributed more than one comment

UKL - The answers to this question were as follows.
Three archivists felt positively about the past five years.
Two mentioned dependence on external funding.
One stated that the changes were negative.
One had problems with funding.
One suggested that archives seemed to be moving towards becoming cost centres.

UKM - The responses were as follows.
Two archivists were unaware of the situation during the past five years.
Two had found the budget acceptable.
One mentioned that there had been significant
changes to the library organization.
One felt that money had been tighter.
One had received a small amount of funding.

CL -
The replies to this enquiry were as follows.
Two had received increased funds.
Two thought that there had been no change.
Two responded that their funds were significantly decreased.
One archive was being established so the question was not applicable.

CM -
The responses were divided as follows.
One archivist felt that there had been no change.
Two were quite positive.
Two were ambivalent and described the past five years as both positive and negative.
Three felt that the situation had been negative.

The responses to the budget situation during the past five years varied from positive to negative. It was noticeable that archivists who managed their own budgets seemed aware of and interested in the situation as it related to their archives. The archivists who did not administer their own budgets appeared to be less interested and were inclined to discuss past budgets in terms of their perceptions of the university or college situation regarding funding.
6f) Comment on budget changes anticipated during the next five years * 
CL contributed more than one comment

UKL - There were a variety of responses as follows. 
Two archivists anticipated problems. 
Two were positive about the future. 
One suggested that there would be no changes. 
One predicted continuing changes. 
One said that it was difficult to forecast.

UKM - The answers to this question were as follows. 
One was hopeful for the future. 
One was unsure. 
One expected no changes. 
Four expressed a generally gloomy forecast.

CL - The replies were as follows. 
Three forecast that budgets cuts would continue. 
One expected a more positive future. 
Three had difficulty predicting what might occur, and mentioned that restricted budgets could be damaging and hoped that the budget would be higher. 
One archivist suggested that there seemed to be the possibility of the archives being moved from the library (which would affect the budget).

CM - The responses to this question were as follows. 
Five archivists were generally positive, with some
reservations.
Two anticipated negative changes.
One predicted that there would be no changes.

The level of interest regarding the budget prospects for the next five years seemed to depend on whether or not the archivists administered their own budgets. Some participants were hopeful that the situation would improve, some were less optimistic and anticipated budget cuts, and some thought that no changes would occur. Few of the archivists expressed a clear projection of the future budget situation.

H. TRENDS

The archivists were asked for forecasts concerning future archival trends. The answers to this question provided an interesting commentary on several issues, particularly user-services. While there were many similarities among the trends observed by the four groups, there were a few notable differences and a wide range of other possibilities were identified. The remarks of the four groups were summarized and presented below.

UKL - The changing user population was a trend mentioned by several archivists; their individual comments were: an increase of interest in archives, a change to more genealogical researchers from the former ratio of about sixty percent scholar and forty percent genealogy, an increase in
recreational users, users are now called customers, and it is important to investigate the client community to determine their fields of interest.

Two other suggestions were the rationalization of collections and the need for archives to be more open.

Issues which were noted relating to the United Kingdom situation included the following: Some local and Scottish records have particular significance, there will be closer integration with Europe (this possibility was viewed positively), the money problems experienced by local records offices could have an impact on university and college archives, and most United Kingdom university archives are too small to be economically viable.

The relationship between the archives and the library is expected to continue to present problems.

It is important to question why one is doing things as there may be new and better ways. Relationships with depositors are increasingly valued and there will be more accountability in the future as well as greater use of archives in corporate image-making.

UKM - Increased automation and its general impact was cited as an important trend.

More users of archives were observed by several
archivists, with interest in genealogy increasing. If the catalogue were computerized, it would bring in more users.
The archives were busier than ever.
Two growth areas, special collections and the new methods of creating records, were noted.
Problems were identified as space difficulties and the need for issues on access to be resolved.
With respect to archive and library relationships in the future, more policies should be developed as well as a better defined role with the administration. It was anticipated that these changes could lead to an improved image.
Concerns were expressed regarding the rise of 'basement' county record office archives and business archives which created competition for collections.
Another difficulty was the security of future funding for the arts and humanities when the emphasis appeared to be a drift towards the fields of science and medicine.
Universities were supposed to become more efficient but how this could be achieved was not known.

Several archivists mentioned the lack of records management programmes and stressed the importance of the introduction of this activity.
A trend towards co-operation with respect to descriptive standards and collecting was forecast.
The need for the automation of descriptive standards was noted.

Transitions in the role of archivists were viewed both positively and negatively and, while some perceived many changes and developments, others observed little growth in archival development. The importance of new legislation was remarked upon, particularly the regulations concerning freedom of information and privacy rights.

A major trend of the future was thought to be user oriented, and the concept of information management was observed to be filtering down. Concern was expressed that the amalgamation of the Social Sciences and Humanities Research Council and the Canada Council may present future external funding problems.

The relationship between the archives and the library was mentioned as a problem, and some archivists thought it was unlikely to improve in the future.

There was a perception of more awareness of archives as well as an increase in users, including more genealogy researchers. Records management was cited as an important trend, but concern was expressed that there was little energy for it. It was noted, however, that records management programmes are very good in Quebec university and college archives.

Co-operation was named as an important trend by
several archivists, particularly in the area of acquisitions and among archivists; concerted efforts were being organized to define collection areas. Quebec archives were cited as being very well organized in the area of cooperation. An increase in the volume of records was commented upon and was thought to be due to more university and college departments depositing records, resulting in more material than some archives can handle. Three concerns expressed were the dependence on outside funding for staff, the negative effects of the economic recession, and the need to protect what you have. The problem of the image of archivists presented difficulties. One archivist remarked that Canada is becoming more professional in terms of archival programmes. Other trends included the inventory-driven nature of archives, the importance of indexing, and the fact that, in some archives, more books are now being stored. One archivist commented that an official history of the university enhances the image of an archive.

The most frequently mentioned trend related to user-
services issues. Many participants were aware of and concerned about this area. The archival literature suggests that user-services is not greatly valued in archival work but this was not reflected in the archivists' remarks.39 Two issues, the image of archivists and the relationship between the archives and the library were also noted by several archivists. The comments regarding the latter issue related to the tension caused by the relationship.

There was concern with future funding, especially in view of the economic recession and possible changes to external funding. The importance of the rationalization of collections and co-operation was noted. Several archivists perceived automation as an important future direction. Records management programmes as a critical initiative were discussed by several Canadian archivists; Quebec archives were considered the most progressive in this area. United Kingdom participants expressed notably less concern about records management.

It was of interest that few archivists seemed almost unaware and unconcerned with the changes and issues in archives today.40 The majority, however, were very aware

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40 For example, several expressed the opinion they were quite satisfied with maintaining their current status quo, and there was no mention of the changes and issues discussed in Chapter I.
of the transitions occurring, and mentioned some uncertainty concerning the future. There were also several archivists who spoke confidently about the future and appeared to regard the changes as challenging opportunities.

I. CONCLUSION

The information collected from the interview format covered many aspects of the planning processes used by the groups of archives. The questions were designed to find out if they followed a system whereby the activities of the archives were planned, organized and evaluated. Gerald Ham observed that archivists need to measure what they accomplish in order to manage diminishing resources more effectively. He suggested that written procedures helped archivists to determine the best way to manage and evaluate their activities.41

There were marked differences in the way that the archives were managed, particularly between those located in library departments and those which were autonomous units. For the most part, the former had less resources and staff and were dependent on the library system for operational directions and consequently had little discretion.

The results showed that the Canadian groups had more written policies and procedures as well as other management

structures. The archives which reported to library departments usually used some of the library policies and procedures, whereas the archives which were independent units had developed their own, tailor-made for their particular archives.

Dearstynre recommended that archives programme managers need to 'anticipate and prepare for the future.' He described the steps in the planning process and noted that it 'proceeds according to established guidelines rather than in reaction to everyday pressures and problems.'

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42 *The archival enterprise*, p. 93.

43 Ibid., p. 93.
CHAPTER VI: EXAMPLES OF THE WRITTEN DOCUMENTS

During the interview the archivists in the pilot project and the sample were asked for copies of written documents relating to the management processes of the archives including mission statements, goals and objectives, annual reports and guidelines outlining policies and procedures. A list of the items requested during the pilot project is provided in Appendix 4, and the revised list in Appendixes 5 and 6.

The archivists were very cooperative, and generously gave their time and attention to the request. Twenty-four of the twenty-nine participants either gave the writer copies of written material (for examples, policies and procedures) during the interview or forwarded examples by mail after the interview.

There were significant differences between the materials received from archives which reported to library departments and those which were independent units. Those who reported to other departments usually had more written material and, in many cases, the information was very detailed. In part this derived from the fact that archives located in libraries used some of the library policies, procedures and management processes. The archives which were located outside libraries had greater autonomy and
responsibility and, consequently, more thorough documentation.

In order to present composite examples of the written material, the copies of documents were reviewed. As noted above there was great variety in the amount of material from the various archives. There were also appreciable differences in the dates when the documents had been prepared, some had been recently written while others were considerably older. The composite examples presented in this chapter preserve the confidentiality of the various archives. In a few categories, due to the subject matter, it was not possible to provide examples.

A. MISSION STATEMENT

The mission statement is frequently the most difficult document to prepare as it represents a synthesis of the activities of an archive operation in a few short paragraphs.\(^1\) It has to be thoughtfully constructed, broad in scope and general in content. Statements are not usually revised unless major changes are introduced. For example, a revised mission statement would probably be prepared if a programme of records management was established in an archive. An example of a composite mission statement follows:

\(^1\) Cox, *Managing institutional archives*, p. 27.
INTERNATIONAL UNIVERSITY ARCHIVES

MISSION STATEMENT

The Archives is responsible for the archival material and records management of the International University.

The Archives has been established to serve the university community, the research community and the community at large.

It is responsible for assuring accessibility to appropriate and selectively chosen documentation concerning the university, its faculty and staff. It is also the repository for private collections in selected areas of specialization.

The archives selects, organizes, preserves, and makes accessible institutional materials which include official records and departmental files of the University, publications and private papers of the faculties as well as plans, photographs, audio-visual materials and a limited collection of related artifacts.

Some archives, in their mission statement, included an educational component. The following is an example:

The mandate of the archives includes helping the University community to manage records effectively; the archives provides training and advice to departments.

B. OBJECTIVES AND GOALS

These terms are frequently used interchangeably. In the example which follows the objective was defined as the longer term activity whereas the goals were more specific and had time limits and evaluation criteria. Goals describe and explain how objectives are accomplished. Both the objective and the goals in the example presented below were innovative, that is, they described a new initiative, the introduction of a different endeavour as opposed to a routine activity. Some archives used the goals as the basis of appraisals of staff members' performance. In these
cases, depending on the degree of accomplishment, new objectives and goals were established after the performance appraisal.

INTERNATIONAL UNIVERSITY ARCHIVES

OBJECTIVE: TO INTRODUCE AN OUTREACH PROGRAMME - for the University community, alumni, and the general public to make the archival collections and activities more visible, with special projects for the next two years.

GOALS:

1. Establish an annual three-day Open House - to coincide with the annual fund-raising initiative in April. Arrange daily tours of archives. Determine logistics with Open House Committee.

2. Prepare an exhibit for Reunion Week in July. Use four cases in the main hall. Accent on 25, 35, etc. reunion years with photographs, yearbooks, programmes and other ephemera.

3. Arrange orientation tours for students of history and other disciplines as requested. Circulate information to department heads. Follow up with phone calls and appointments. Schedule tours for the second week in October and the third week in January.

C. APPRAISAL OF PERFORMANCE

Some archives had established appraisal schemes; others had a more informal approach. The following composite example featured an objective and one goal used in an appraisal of performance. In a complete appraisal there would be several objectives, each with a number of goals to be evaluated. A completed appraisal usually included the signatures of the supervisor and the staff member.
ANNUAL APPRAISAL OF PERFORMANCE

DATE OF APPRAISAL: 31 May, 1992

Name: XXXXX X. XXXXXXXXXX
Title: University Archivist

OBJECTIVE
Introduce the second phase of the Records Management Programme.

GOAL
Applying approved retention rules to archives backlog

COMPLETION DATE
May 31, 1993

RATING: INADEQUATE SATISFACTORY SUPERIOR OUTSTANDING

COMMENTS: Completed 70% of backlog to acceptable standard; the remainder was not completed due to budget cuts which resulted in the loss of a staff position. Remaining 30% to be completed by December, 1993.

D. ANNUAL REPORT

As discussed in Chapter V, there was great variety in the annual reports received from the archivists which depended on the reporting relationships, whether to a library system or to another department. The former were usually short and not very detailed, whereas the latter were longer and generally contained additional material such as budget information. An example of the table of contents of a relatively sizeable annual report is presented below.
ANNUAL REPORT OF INTERNATIONAL UNIVERSITY ARCHIVES

INTRODUCTION  (executive summary) ................. (5 pages)

1. THE ADMINISTRATIVE SERVICES
   1.1 Objectives and Goals...........................
   1.2 Human Resources..............................
   1.3 External Funds and Grants.....................
   1.4 Material Resources...........................(10 pages)

2. ARCHIVAL RECORDS
   2.1 Processing.................................
   2.2 Accessions................................
   2.3 User-services..............................
   2.4 Exhibits...................................

3. RECORDS MANAGEMENT
   3.1 Records Retention and Disposal Schedule
   3.2 Transfers, Retrieval and Reference...........(5 pages)

4. MICROFILM SERVICE
   4.1 Records of Historical Value.............
   4.2 Projects for the Next Year...............(3 pages)

APPENDICES
   Appendix 1: Departmental Activities.......... 
   Appendix 2: Individual Activities...........(3 pages)

E. POLICIES

   Written policies provided guidelines for several archival activities. They varied from one archive to another; some had very few and depended on the library for many of their written instructions. Other archives had comprehensive manuals of policies and procedures which included copies of forms and related letters. Composite examples of policies are given below.
a) **Collection policy**

**INTERNATIONAL UNIVERSITY ARCHIVES COLLECTION POLICY**

The University Archives collects manuscripts and records in three general areas, the records of the University, regional history, and business collections related to shipbuilding.

University records are acquired to provide documentation of the history of the university and include the following types of records.

- Records from the administrative offices of the principal, board of governors, senate, registrar and other administrative offices and departments.
- Selected records from faculties, departments, schools, institutes and centres.
- Selected private papers donated by faculty, staff and students.
- Photographs, maps, plans, drawings and similar materials relating to the university.
- Programmes of special events, lectures and celebrations, and memorabilia such as medals and souvenirs of the university.

The regional history records provide materials for research. Acquisitions are sought from individuals, societies and associations. The materials collected include personal papers, diaries, scrapbooks, photographs, drawings and maps.

The business collections which relate to shipbuilding supplement the collections in the archives. Records include files and correspondence, ship's logs, manifests, maritime maps and charts.

In seeking to augment the two established programmes of collecting other than the university records, the acquisition mandates of other repositories will be respected. Furthermore, the archives reserves the right to refuse donations of materials that conflict with its policies. Wherever possible, with the permission of the donor, more appropriate repositories will be notified of donations which cannot be accepted.
b) Appraisal policy

Few of the archivists had written guidelines for the appraisal process, possibly because some aspects of the activity require subjective judgements. A few archives had general directions while others had individual instructions for the appraisal of various media, for example, textual records, photographs or audio-visual materials. The following is a composite example of a general policy.

INTERNATIONAL UNIVERSITY ARCHIVES APPRAISAL GUIDELINES

Administrative value - consider the importance of the records to the creating organization; determine if they prove legal or civil rights (for example, a university's charter, or ownership deeds of property or land).

Age - estimate the age of the material related to the importance and condition of the documents.

Quality and condition - estimate the importance of the material, examine the state of the material, depending on the media.

Quantity - determine the extent of the material, and how well it compliments or augments established areas of collection.

Preservation costs - estimate if it is worth expending funds to properly preserve the materials.

Storage costs - calculate the cost of storing the acquisition and decide if it is justified.

The medium - consider the importance of the medium itself, for example, a rare photograph produced by a special process.

User and research demand - ascertain if there will be sufficient use to justify keeping the material.
c) Conservation policy

INTERNATIONAL UNIVERSITY ARCHIVES CONSERVATION POLICY

The archives recognizes the importance of the records, manuscripts and other materials in its care, and will ensure their preservation by the following measures.

- Appoint an archivist to be responsible for the care of the collection, and in his/her absence, delegate a deputy.

- Establish a schedule for microfilming copies of critical documents, for example, contracts, financial and historic documents.

- Prepare, monitor and maintain standards for temperature, relative humidity and lighting. Prepare a schedule for consistent, periodic checks.

- Establish and maintain standards to protect the collections from fire, flood, theft and pests. Prepare a schedule of regular, periodic checks.

- Ensure that all storage areas are clean and orderly by establishing and maintaining appropriate standards.

- Acquire training in conservation and undertake to train other staff members.

- Seek expert advice before undertaking specialized cleaning, repair and preservation of materials.

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d) Security policy

INTERNATIONAL UNIVERSITY ARCHIVES SECURITY POLICY

- Ensure adequate means of twenty-four hour a day protection: guards, alarm systems, locks, and bars on windows where necessary.

- Arrange supervision of the reading-room, to provide a presence as a deterrent to theft or damage.

- Separate the research and storage areas and ensure that researchers, or staff from other departments of the university, do not have access to storage areas.

- Provide a safe for the very important and valuable documents, such as charters, deeds, correspondence, etc. Limit the number of staff members with access to the safe.
- Restrict the amount of material a researcher may use at one time.

- Explain the reading-room regulations both verbally and with a re-enforcing written hand-out.

- Determine who shall have access to the stacks and monitor the related keys.

- Verify the background of staff members and volunteers.

- Acquaint staff members with the procedures to follow in the event of vandalism or theft.

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e) User policy

There was great variation in the way in which user policies were recorded. Some archives had single sheets of reading room regulations, including rules for photocopying. Other archives had brochures which contained not only instructions for general use but also included information about the background of the institution, and the range of the collections. The example below contains general information only.

INTERNATIONAL UNIVERSITY ARCHIVES READING-ROOM RULES

The International University Archives houses a wide variety of materials, records, manuscripts, photographs and other media.

REGISTRATION:
Each user must fill out a research sheet on his/her first visit, and on succeeding visits when requested. Separate registration forms may be required for the use of certain series/collections. The researcher is requested to sign the register once every day. The register is located to the left of the reading-room entrance.

FINDING WHAT YOU NEED:
Many items can be found in The Guide to International University Archives. Please read the preface on how to use the Guide. When you find an item of interest, fill out a retrieval slip and bring it to the front desk. The items you request will be brought to you. If you do not find an item in
the Guide, ask the Archivist for assistance. Do not assume we do not have an item because you cannot find it in the Guide.

UNIVERSITY ARCHIVES:
The archives contains official and unofficial records of the University as well as published and unpublished papers of faculty and staff and University offices. Included are manuscripts, maps, photographs, films, video and audio tapes relating to the history and development of the University. Check first in the Guide, then ask for assistance.

MANUSCRIPTS:
These are collections relating to the economic, political, military, ethnic, labour and literary history of the region which are listed in the Guide. If you do not find the material you are seeking, ask for assistance.

PHOTOGRAPHS:
The collection consists of historical and contemporary photographs of staff, students, University organizations, events and buildings. Ask for the Photographic Inventory.

THESSES:
A copy of every master's and doctoral thesis is in the Archives. There is also a circulating copy available elsewhere in the library system. Check for details in the Guide to Theses.

RESTRICTED MATERIALS:
The use of some material may be restricted by statute, by the office of origin or by the donor. The researcher must assume full responsibility for fulfilling the terms connected with the use of restricted material. The Archives reserves the right to restrict the use of materials which are fragile or of exceptional value. In many cases, microfilm copies are available for researchers.

PUBLICATION:
Permission from the Archives must be obtained before any unpublished materials can be published. Ask the Archivist for regulations regarding publications, as well as the accepted style for citing quotations. If the donors have retained literary rights, the researcher must obtain their permission before publication.

PHOTOCOPYING:
Photocopy requests will be filled by competent staff members, if copyright and physical condition of the material are suitable. Photocopy request forms are available from the Archivist or at the front desk.

EATING, DRINKING AND SMOKING:
Are not permitted in the Archives under any circumstances. Please ask the staff for the location of lounges.

HOURS OF SERVICE:
Monday to Friday, 9 AM - 5 PM (October to July).
Monday to Thursday, 10.00 AM - 4 PM (August to September). The Archives are located in the Doone Building, 6th floor, 219 Stanley Boulevard, Livingstonville. Telephone (000) 134-2716 FAX (000) 134-2788

F. PROCEDURES

The written procedures explained the details of the archival activities and described the steps necessary to complete a variety of tasks. Some were brief instructions while others were detailed, and several archivists mentioned that they were useful as training guides. In a number of archives, manuals of procedures had been prepared which included instructions as well as copies of the relevant forms and letters necessary to complete an activity. The forms and letters tended to be generic and could be used for a variety of media.

a) Accessioning procedures

INTERNATIONAL UNIVERSITY ARCHIVES ACCESSIONING PROCEDURES

- After determining that the material is suitable for the archives, it should be accessioned as soon as possible to maintain control of the acquisition.

- Accessioning consists of recording the essential identifying information and its provenance in the Accession Register, completing any necessary correspondence such as notifying the donor of receipt, and providing appropriate storage.

- The Accession Register is a loose leaf binder of individual accession forms. One is completed for each new acquisition. The form should be completed as soon as possible after the material is received.

- A unique number is assigned to each accession. At the beginning of each year a new series is started, e.g. 92-001; 93-001; 94-001.
- A file is prepared for each accession number, and relevant correspondence, notes, memoranda, deed of gift forms, transfer forms and other information is placed in the file.

- The **Accession Form** includes the following information:

1) Date of receipt

2) Accession number

3) The nature of the accession (transfer of records, gift, or purchase).

4) The donor's name, address, and telephone number.

5) A statement of provenance, the university administrative office, faculty, department, or school, corporate body, association, or individual that created the material.

6) Acquisition description, a brief description of the material, the format and extent (e.g. number of meters of textual records, number of photographs, number of discs, etc.)

7) Condition of acquisition, noting any problems requiring conservation treatment.

8) Remarks - add necessary comments as required.

9) Signature of staff member who accessioned the material.

- The new acquisition is forwarded to the workroom for assigning the box numbers and storage locations.

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b) **Processing procedure**

Processing is defined as 'All (the) steps taken in an archival repository to prepare documents for access and reference use.' During the interview some of the archivists reported that they had written processing procedures, but scarcely any examples were received. Some copies sent to the writer included unique schemes for the description and arrangement of collections.

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2 Daniels, 'Introduction to archival terminology' in Daniels and Walch, *A modern archives reader*, p. 341.
There was not sufficient common ground in the documents received to prepare a composite example. Some procedures provided special instructions for various formats, for example, the different treatments required to process textual records, photographs and audio-visual materials. A few procedures included information regarding the physical care of records as well as the sorting, storage and labelling processes.

c) Retrieval procedures

There was diversity among the archives concerning the handling of this activity. Much depended on the extent of the collection, the volume and urgency of requests, and the location of the materials, whether they were in the same building and easily accessible or whether they had to be recovered from some more distant site, often a time-consuming process.

INTERNATIONAL UNIVERSITY ARCHIVES RETRIEVAL PROCEDURES

A. Requests for university material

1) Requests for university records are usually made by telephone, and include requests for student and staff files, administrative and other records. The following information is required:

   a) name, department and phone number of individual making the request.
   b) the record group number, container number and file number and title.

2) Complete a Research Request form (RR.1).

3) Check the details, verify the location, and prepare an OUT CARD (form RR.2) for the files or containers.
4) Write the Record or Manuscript Group and container number(s) on the file(s) in pencil. Remove the requested material and advise the department that the material is available for pick-up at the archives.

5) Put the files in envelopes and place in the OUT BOX. If the material is restricted, place in confidential envelopes.

6) In the case of containers, arrange with I U Transport to pick-up the material and advise the department when it will arrive.

B. Return of material

1) Check the material carefully, and return it to the stacks.

2) Remove OUT CARD and strike off the lending details.

3) Mark Research Request form completed, write in the date, and transfer it to the Completed File.

C) Researcher requests

1) Pick up researcher requests forms (RR.3) from the request tray in the Reading-room, verify the locations, and check the status of restricted material with the Reference Archivist.

2) Deliver materials to the Reading-room and leave the request form in the Reference Archivist's in-tray.

3) When the materials are marked 'finished' return them to the stacks.

----------

d) Records management procedures

After the interviews it was evident that less than a quarter of the archives had records management programmes, although many said that a programme was being discussed. Because very few procedures were received, a composite example of a policy (rather than a procedure) was prepared and is shown below.
The records management programme is designed to help the university community manage its records effectively. Records are created, received and accumulated by the university offices and officers and by the various administrative bodies, teaching faculties and departments, schools and institutes. The programme is designed to respond to the needs of the university.

The objectives of the programme are as follows:

1) Establish liaison with university offices to provide advice and information on record keeping and the transfer of materials to the archives with a view to streamlining administrative work.

2) Distribute guidelines on record access and retention to enable the university to comply with current archival legislation.

3) Evaluate inactive records, prepare disposition schedules, confer with appropriate departments and individuals, and carry out disposition of records scheduled for destruction.

4) Utilize space more efficiently by keeping fewer records and by eliminating non-essential and duplicate material.

5) Update the survey of university records as required when new projects and departments are established.

While few records management procedures were received from the archivists, some related forms were collected. These included examples used for the brief listings of records transferred from university departments to the archive. The forms generally included information about the forwarding department, the quantity of records, the dates of the records, and a short description of the purpose of the records (usually no more than part of one line). In some cases, the destruction dates were entered on the brief
listing forms. Other forms received included inventory work sheets, disposal schedules and survey questionnaires.

G. JOB/POSITION DESCRIPTIONS

Examples of job descriptions varied a great deal, from brief outlines which had been used to advertise the positions to detailed descriptions which had been formally evaluated by a university committee. The latter described not only the major responsibilities but also included details of the educational requirements, contacts and working conditions. Two composite job descriptions are outlined below, one for a university archivist and the other for an archives assistant.

INTERNATIONAL UNIVERSITY JOB/POSITION DESCRIPTION

A) POSITION TITLE: University Archivist

B) POSITION SUMMARY:
The University Archivist, reporting to the Vice-Principal, Academic, is responsible for the development of the archives of the university's private and institutional papers in accord with established policies and procedures, and for providing staff assistance to students and researchers.

C) RESPONSIBILITIES:
- To develop, in consultation with appropriate members of the university and research community, policies for the university archives.
- To seek and obtain acquisitions within the scope of the collection development policies.
- To select, train and evaluate staff and to take corrective action as required; to interpret archival and university policies and procedures to staff.
- To participate in the Rector and Vice Chancellor's management committee and other university committees as required.
- To pursue grants to support special projects and initiatives.
- To maintain the established records management programme.
- To carry out other related responsibilities as required.

D) WORK COMPLEXITIES:

a) Decision making and its impact:

To select material for permanent or temporary retention and to decide upon distribution of incoming material. Accuracy is essential in all activities; wrong decisions may result in permanent loss of material and in the inability of the archives to perform the services the university community and administration expect.

b) Difficulty:

The work is highly complex and requires a good grasp of archival techniques and practices. In addition to maintaining competence in current developments, the incumbent should be well acquainted with the main techniques of research. A good general knowledge, including the history of the university, is an asset.

c) Communications - internal and external:

The incumbent must work with senior administration, heads of departments, faculty members, students, prospective donors, depositors, and archivists and staff members of other institutions.

E) SUPERVISION:

a) Supervision received:

Progress reports are discussed periodically, and an annual review is held to evaluate established objectives and goals.

b) Supervision exercised:

Plans work with staff members, establishes objectives and goals, and reviews work on an on-going and annual basis.

F) QUALIFICATIONS AND EXPERIENCE:

B.A., preferably in history, and formal archival training; an advanced degree is an asset. A minimum of five years as an archivist with supervisory responsibility or the equivalent.
INTERNATIONAL UNIVERSITY JOB/POSITION DESCRIPTION

1. **Position Title**: Archives' Assistant  
   Reports to the University Archivist.

2. **Major Responsibilities**
   a) Processes materials..............................45%  
   b) Provides access to the collection................35%  
   c) Maintains overall department budget system.......15%  
   d) Participates in the overall planning..............5%

3. **Detailed Description**:
   a) Handles routine problems of incomplete or incorrect  
      transfer sheets; refers special cases or problems to the  
      University Archivist.  
      - Applies retention schedules in accordance with documented  
        policies and arranges for destruction of inactive material.  
      - Maintains ongoing files of University minutes and  
        publications; prepares listing for unlisted holdings,  
        organizes material if required.  
   b) Answers telephone requests, responds to researchers and  
      visitors, ensures security of materials being used.  
      - Assists with the preparation of exhibits, aids in tours  
        of the archives when required.  
   c) Prepares purchase orders, invoices and other forms.  
      - Maintains petty cash fund, reconciles monthly budget  
        including grant accounts.  
   d) Attends and participates in bi-weekly meetings,  
      contributing to both long- and short-term planning.  
      - Inputs new filing headings and updates index on the  
        computer.  
      - Assists in planning arrangements for special events such  
        as seminars and training session for university staff on using  
        the archives for research purposes.

4. **Supervision**:
   a) Supervises student assistants hired for special projects.  
   b) Supervises routine work of archival students during  
      practicum (5 weeks annually).

5. **Contacts**:
   a) Internal: archives' staff, students, other university  
      faculties and departments.  
   b) External: visiting researchers, general public, business  
      community.
6. **Working Conditions:**

   Normal working conditions, some lifting of boxes, and handling materials which are dirty.

7. **Qualifications and Experience:**

   a) Minimum education required: GCE with archival training or equivalent.

   b) Skills: computer - word-processing and spread sheets.

   c) Good communication skills and ability to work independently.

   d) Minimum of two years work experience in recognized archives.

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**H. CONCLUSION**

Gathering, reviewing and comparing the written policies, procedures and management processes submitted by the archivists was a useful part of the research. One of the most striking features of the exercise was to explore the diversity of the examples. For instance, the same type of policies or procedures were prepared quite differently by the various archives. The differences depended, in some cases, on the age and size of the archives, their reporting status and the importance of the collections. As might be expected, regional variations were reflected in the written materials.

In spite of the differences, particularly in the amount of detail included by the various archives, similar elements were found. For example, a common vocabulary was used to describe the activities of the programmes. The overall impression was that the archival programmes had many similar
aspects which were readily understood by the archivists, whether in the United Kingdom or Canadian archives.

One aspect that was not emphasized in the examples given above is the archives which had automated certain of their activities, or had plans in that direction. For example, a few archives had computerized processing procedures. Other archives had automated different programme activities including the arrangement and description of collections. In 1993, John McDonald commented that, in the 1970s, archivists rarely had access to computers whereas today computers are indispensable.3

Most authorities agreed that written policies, procedures and practices are helpful in operating an efficient archival programme. Dearstyne commented that 'One tool that supports smooth program management is a procedures manual that indicates how the program deals with administrative matters as well as how it approaches its archival work.'4


4 The archival enterprise, p. 85.
CHAPTER VII: THE RESULTS AND DISCUSSION OF THE
CLASSIFICATION INFORMATION

Part III of the questionnaire, called classification information, consisted of seven questions concerning the age, gender, education and archival training of the archivists as well as the salary, the title of their current position and the length of service in it, and the number of personnel supervised. A copy of the questions used for the pilot project are provided in Appendix 12, and the revised questions in Appendixes 13, 14 and 15.

Participants completed this data which provided profiles of the archivists in the four groups, United Kingdom large-sized and medium-sized archives, UKL and UKM, and Canadian large-sized and medium-sized archives, CL and CM. In addition, information was gathered from one very small-sized United Kingdom archive, and one small-sized and one very small-sized Canadian archive; the findings of these three archives were tabulated but were not included in the results and discussion.

The results were first listed by each archive, using a unique designation for each: for the United Kingdom large-sized archives, UKL1 to UKL7, for the United Kingdom medium-sized archives, UKM1 to UKM7, for the Canadian large-sized archives, CL1 to CL7, and for the Canadian medium-sized
archives, CM1 to CM8. The information received from individual archivists is shown in Appendix 20.

A. GENERAL INFORMATION

1. Age of archivists

<table>
<thead>
<tr>
<th>CHART 1: AGE OF ARCHIVISTS</th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average</td>
<td>47</td>
<td>45</td>
<td>46</td>
<td>45</td>
</tr>
<tr>
<td>Range</td>
<td>37-61</td>
<td>27-54</td>
<td>35-58</td>
<td>29-54</td>
</tr>
</tbody>
</table>

The average age of the participants in the four groups was very similar. The two groups of medium-sized archivists had a younger average age than the two large-sized groups. Since the latter had more responsibility, more staff to supervise and larger collections to manage, this was not unexpected.

It was, however, rather surprising that the average age of the archivists reporting to other departments was less than the average age of the archivists located in library departments. It had been anticipated that the former might have an older average age since they had greater responsibility and more staff to manage. The following chart shows the results.
The results were very similar for the four groups. Of the twenty-nine participants in the random sample, fifteen were male and fourteen were female. This indicated that, for the populations investigated, there were almost equal numbers of both genders.

In Chapter I a number of issues were raised including that of the image of archivists. In 1992, Liv Mkyland, in describing the question of the identity of archivists, noted that the work of archivists is sometimes misunderstood and unknown.¹ While the problem of a rather negative image is a thread running through the archival literature, it is rarely intimated that this might be a gender-related issue.

¹ The archivist's identity and professionalism (Montreal, XII International Congress on Archives, 1992), p. 10.
In the library literature the problems of image and status have been abundantly discussed. In 1992, Hans Prins and Wilco de Gier noted that there was a 'staggering amount of articles on the subject.' and that 'Almost all articles dealing with the subject agree that the status is low'.

In the same article the authors described a research project in which the participants were asked to evaluate the question: 'The image of the library profession as being a predominantly female occupation is an important reason for its low status'. Schuman, writing about the image of librarians, stated that they worried most about being characterized as 'middle-aged spinsters'; she went on to comment that this concern was irrelevant, but presumably it was relevant enough to be mentioned.

The image of archivists as doddering, elderly men is a persistent one. References to archival work requiring the so-called feminine skills are not so commonly found. Nesmith addressed this question in some detail and stated that 'Archival and historical work pursued as civil service and academic professions reduced the possibility of large numbers of female members (becoming archivists)'. While the question of gender as an issue was not a specific

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3 Ibid., p. 113.

4 'The image of librarians', p. 87.

5 Nesmith, 'Archives from the bottom up', p. 21.
question, none of the participants suggested it as a possibility.

In order to look at the data on gender from another perspective, the four groups were divided by their reporting locations, to a library system or to another department.

<table>
<thead>
<tr>
<th>Library location</th>
<th>UKL</th>
<th>UKM</th>
<th>CL</th>
<th>CM</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Male:</td>
<td>3</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>8</td>
</tr>
<tr>
<td>Female:</td>
<td>2</td>
<td>5</td>
<td>2</td>
<td>2</td>
<td>11</td>
</tr>
<tr>
<td>Other location</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male:</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>3</td>
<td>7</td>
</tr>
<tr>
<td>Female:</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
</tbody>
</table>

The only conclusion was that there were more women than men employed in archives reporting to libraries and the reverse in archives situated in other locations.
B. **EDUCATION AND TRAINING**

1. **University Education of Archivists**

<table>
<thead>
<tr>
<th>Bachelor's degrees</th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>History</td>
<td>3</td>
<td>2</td>
<td>5</td>
<td>3</td>
<td>13</td>
</tr>
<tr>
<td>History &amp; English</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>History &amp; Political Science</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>History &amp; Economics</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>English</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>Geography</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Science</td>
<td>0</td>
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<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Arts</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

|        | 71% | 71% | 100% | 88% * |

* One of the eight participants had two bachelor of arts degrees, therefore, the total is not 100 percent but 88 percent.

The majority of the participants had received a bachelor's degree and history was the subject most frequently studied. Thirteen of the archivists had a bachelor degree in history which represented fifty-two percent of the total of twenty-five degrees. Four others had a degree in history and some other subject which represents sixteen percent of the total. Added together these two figures represented sixty-eight percent of the total. The next most frequently studied subject was English and four of the archivists had degrees in that discipline. There were a variety of four other bachelor's degrees.
The percentage of participants having master's degrees was less but history continued to be the predominant subject of study, and represented forty-eight percent of the total of twenty-one master's degrees. English was the next most common degree, and one other subject was reported. The results showed less subject variety than at the bachelor's level. Six participants had obtained professional degrees in archives administration and archival and library studies which accounted for twenty-nine percent of the total.

<table>
<thead>
<tr>
<th>Master's degrees</th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>History</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>2</td>
<td>10</td>
</tr>
<tr>
<td>English</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>Archives Admin.</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Library Studies</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Archival Studies</td>
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<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Science</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Doctoral degrees</th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>History</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>5</td>
</tr>
<tr>
<td>Archives Administration</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Science</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
</tbody>
</table>
At the doctoral level the number of participants holding a degree in each group was less than at the bachelor's or master's level, and again history was the most frequent subject with five archivists having this degree. This represented sixty-three percent of the total number of degrees at this level. Of the three other degrees, two were in archives administration and the remaining one was in science.

It was of note that, in spite of all that has been written and debated about history as an appropriate or inappropriate area of study for archivists, history was the predominant subject studied at the undergraduate and graduate levels by the archivists in the sample.

There has been discussion about the education and training of archivists for over seventy years. Sir Hilary Jenkinson, in the 1920's, offered the opinion that, while some history could be useful to the archivist, as an area of specialization it might create serious problems.\(^6\) History as a background for archivists was discouraged by T. R. Schellenburg who considered that training should be received in library schools; on the subject he noted that 'Archival techniques can be defined more precisely than those of the historical profession, but not as precisely as those of the library profession.'\(^7\) Margaret Cross Norton advanced the

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view that an interest in history should be secondary to the archivist's primary concern with business efficiency.\textsuperscript{8}

In a 1980 review of Jenkinson's opinion, Felix Hull observed that "The archivist should not be an historian"; neither should he be many other things; but he must have a sense of history which is a very different matter.\textsuperscript{9} The concern centres partly on the possibility of an historical bias but does not address the fact that, in certain archives, historical scholarship is a requirement.

A different view advocates that the study of history is the essential training for archivists. George Bolotenko summarized this when he stated that 'For when all is said and done, without the training in history, without the eye of the historian, without the desire of the historian to serve the record of the past, there can be no archivist.'\textsuperscript{10}

Bolotenko quoted extensively from the earlier authors mentioned above. They formulated their ideas when the archival situation was very different from that of today. There was greater stability and many of the momentous changes that have significantly affected archives had not


occurred. For example, the electronic revolution which has profoundly changed the way records are created, stored and retrieved.

In quoting from Felix Hull's article "The archivist should not be an historian" Bolotenko mentioned the title only which is actually a quotation from Jenkinson. This could be misleading because, in fact, Hull's article was not an unconditional endorsement but a reflective critique of Jenkinson's ideas in the light of contemporary changes. Kesner pointed out that he was committed to preserving the historian-archivist, but was also mindful of the new responsibilities in the information age. He stated that it was necessary to 'dispel the illusion that the nature of the archival craft will carry on into the twenty-first century as it did in the nineteenth and most of the twentieth centuries.'

A recent study adds some interesting information to this debate. Gabehart investigated the qualifications desired by employers of entry-level archivists in the United States. He found that archivists were employed by a wide variety of agencies and institutions and that 'Such a broad diversity in both functions and fields of employment creates

11 Hull, "The archivist should not be an historian", pp. 253-259.
12 'Wither archivy?', p. 148.
13 Ibid. p. 148.
a complex puzzle in determining the appropriate combination of educational preparation and practical training suitable for an archivist.15 Gabehart also found that 'history was by far the predominant choice for the preferred major subject, with library science ranking a distant second.' and that 'to attain a higher level of employability and mobility within the archival profession, one should look to a master's degree in history, library science, or, preferably, both.'16

2. Archival Training

<table>
<thead>
<tr>
<th>CHART 8: ARCHIVAL TRAINING *</th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Archives Admin. Dip.</td>
<td>4</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>Canadian National Archives course</td>
<td>0</td>
<td>0</td>
<td>5</td>
<td>5</td>
<td>10</td>
</tr>
<tr>
<td>Library Study Dip.</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>4</td>
</tr>
<tr>
<td>On-the-job-training</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Experience</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Other</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>6</td>
</tr>
</tbody>
</table>

* Several of the archivists indicated they had received more than one type of archival training.

In the archival training of the four groups there were some differences. Seven of the United Kingdom archivists had received diplomas in archival administration and four in library studies. The length of the programme is usually one academic year and to be admitted, candidates must have

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15 Ibid. p. 421.

16 Ibid. p. 437.
completed an undergraduate degree or the equivalent as well as some archival or library experience. Ten of the Canadian archivists had completed the Canadian National Archives course. The programme is five weeks in duration and candidates are usually required to have two years archival work experience. The United Kingdom programme was considerably longer and more comprehensive.

In discussing archival education in the United Kingdom, Roper outlined the courses offered by the universities and the Society of Archivists and commented on the importance of the courses being relevant to the greatest possible number of archivists in the last ten years of the twentieth century.\(^\text{17}\) He asked, 'If archivists are to escape their dusty image as the custodians of old parchment and papers and present themselves as equal partners with librarians and information specialists in handling information irrespective of its medium and format, can they afford to be educated in isolation?'\(^\text{18}\)

'Other' archival training reported by the archivists included courses at Case Western University, the University of Washington, a document repair course and workshops. During the interview many participants mentioned that conferences provided opportunities to acquire additional training.


\(^{18}\) Ibid., p. 588.
C. CURRENT POSITIONS

1. Salaries of Archivists

Four annual salary ranges were listed and the archivists were asked to tick the one that included their current salary. Approximate equivalents in Canadian dollars are shown in parentheses. It would have been useful to have had exact salary figures but it was thought inappropriate to ask for information which many people regard as confidential. The results of the salary information are presented below.

<table>
<thead>
<tr>
<th>Salary Range</th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>£26000 (c.$51000)+</td>
<td>3</td>
<td>0</td>
<td>5</td>
<td>5</td>
<td>13</td>
</tr>
<tr>
<td>£21000 - £25000 (c.$41000 - $50000)</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>7</td>
</tr>
<tr>
<td>£16000 - £20000 (c.$31000 - $40000)</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>7</td>
</tr>
<tr>
<td>£10000 - £15000 (c.$20000 - $30000)</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
</tr>
</tbody>
</table>

The results showed that the Canadian archivists, in both the large-sized and medium-sized archives, received higher salaries than their United Kingdom colleagues (not unexpectedly, since Canadian salaries tend to be higher than United Kingdom wages). The salaries of UKM were considerably lower when compared with the three other groups. In the UKM group one archivist reported an annual salary well below £10000. As there was no category for this amount it was placed within the lowest range.
The salary figures of the archivists were compared according to their location, as part of a library system or an autonomous unit. This examination showed that, of the archivists located in libraries, twenty-six percent earned salaries in the highest category, £26000 or more annually. Of the archivists reporting to other departments, eighty percent earned salaries of £26000 or more annually. To illustrate this, a chart of the salary ranges for archivists located in libraries and those located in other departments was prepared and is shown below.

<table>
<thead>
<tr>
<th>Library location</th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>£26000+</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>5</td>
</tr>
<tr>
<td>£21000 - £25000</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>7</td>
</tr>
<tr>
<td>£16000 - £20000</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>5</td>
</tr>
<tr>
<td>£10000 - £15000</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other location</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>£26000+</td>
<td>1</td>
<td>0</td>
<td>3</td>
<td>4</td>
<td>8</td>
</tr>
<tr>
<td>£21000 - £25000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>£16000 - £20000</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>£10000 - £15000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

It was not unexpected that archivists in library systems had lower salaries than those reporting to other departments. In the library, there are usually one or more layers of management between the archivist and the head librarian, who reports to senior management. Consequently, archivists in this location do not have as much
responsibility or input into the decision-making process as archivists located in other departments, where they frequently have a large measure of autonomy and are directly involved in planning.

2. Position Titles of Archivists

The titles were divided into two groups: titles held by more than one archivist, and titles which were unique.

<table>
<thead>
<tr>
<th>CHART 11: POSITION TITLES OF ARCHIVISTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Archivist:</td>
</tr>
<tr>
<td>UKL</td>
</tr>
<tr>
<td>0</td>
</tr>
<tr>
<td>Director:</td>
</tr>
<tr>
<td>0</td>
</tr>
<tr>
<td>Archivist:</td>
</tr>
<tr>
<td>2</td>
</tr>
<tr>
<td>UKL unique titles:</td>
</tr>
<tr>
<td>Keeper of Manuscripts, Keeper of Manuscripts and University Muniments, Keeper of Archives &amp; Manuscripts, Head of Special Collections &amp; University Archivist, Sub-Librarian Manuscripts and Rare Books</td>
</tr>
<tr>
<td>UKM unique titles:</td>
</tr>
<tr>
<td>Assistant Archivist, Modern Archivist, Archivist &amp; Head of Special Collections, Special Collections Librarian</td>
</tr>
<tr>
<td>CL unique titles:</td>
</tr>
<tr>
<td>Chief Archivist</td>
</tr>
<tr>
<td>CM unique titles:</td>
</tr>
<tr>
<td>Archivist/Historian, Manager &amp; Research Officer, Library Assistant/Special Collections</td>
</tr>
</tbody>
</table>

There was more variety in the United Kingdom titles than in the Canadian titles. The greatest assortment was in the UKL sample. Two participants had archivist as their title while the other five all had different titles. Many of the same words were included in the various titles, such as keeper, manuscript, and archives. Since the archives in the United Kingdom have been in existence longer than those in Canada, it was anticipated that their titles would
reflect the greater age and diversity of their archives. It was also expected that the Canadian titles would be more uniform because the archives have been in existence for a shorter period of time than those in the United Kingdom. This assumption was correct. Eleven different titles were reported by the United Kingdom archivists and only six by the Canadian archivists. One title had the word manager in it.

3. Years in the Position

**CHART 12: YEARS IN THE POSITION**

<table>
<thead>
<tr>
<th>Total</th>
<th>UKL (n=7)</th>
<th>UK (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>21+ years</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>16 - 20 years</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>11 - 15 years</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>6 - 10 years</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>0 - 5 years</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>Average</td>
<td>12</td>
<td>9</td>
<td>9</td>
<td>12</td>
</tr>
</tbody>
</table>

*Figures rounded to the nearest year.

Although the number of years and months in the positions varied from less than one year to more than twenty-one years, the averages for the four groups were rather similar. Due to the fact that there is a limited transfer of knowledge of particular collections from one archive to another, it was not surprising that there was not a great deal of mobility. The archivists who were interviewed all expressed a keen interest in and thorough knowledge of their collections.
Knowledge of archival policies and procedures, as well as other practical aspects and theoretical principles, provides archivists with an understanding of archival practice. This experience can be transferred from one archives to another. It is not possible, however, to transfer the in-depth knowledge of unique collections from one post to another. Consequently, mobility for archivists is not always easy. In 1980, when discussing another aspect, over-specialization, Felix Hull remarked that 'specialization may also lead to a lack of mobility between the various branches of the profession - most serious in a world of very limited openings.' \(^{19}\) Thirteen years later a major recession has resulted in even fewer vacancies and new opportunities.

4. Number of Employees Supervised

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>UKM (n=7)</th>
<th>CL (n=7)</th>
<th>CM (n=8)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>11+</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>6 - 10</td>
<td>1</td>
<td>0</td>
<td>3</td>
<td>1</td>
<td>5</td>
</tr>
<tr>
<td>0 - 5</td>
<td>5</td>
<td>7</td>
<td>3</td>
<td>6</td>
<td>21</td>
</tr>
<tr>
<td>Average</td>
<td>4.3</td>
<td>1.3</td>
<td>5.6</td>
<td>3.5</td>
<td></td>
</tr>
</tbody>
</table>

The number of employees supervised varied from none to thirteen. Three of the groups, UKL, CL, and CM, averaged 4.3, 5.6 and 3.5 respectively, whereas UKM averaged 1.3. Only permanent employees were included, that is, none of the

\(^{19}\) Hull, "The archivist should not be an historian", p. 257.
staff paid with external funds or volunteers were part of the totals.

These figures were also compared according to the location of the archives, in a library system or an autonomous unit. The archivists placed in library systems averaged 2.3 staff members whereas those reporting to other departments averaged 6.4, almost three times more. This can be explained by the greater responsibility but other questions surface with respect to these findings. Are there other factors which can explain the differences? Do archives located outside the library have greater prominence and consequently, more attention, more resources and, perhaps of most importance to archivists, an enhanced image?

D. CONCLUSION

The classification information provided useful data about the archivists in the sample which can be generalised to the larger populations. There were a number of similarities and some differences. Some of the former were the age, gender and education. Archival training, however, was different in the United Kingdom and Canada. The salaries and the number of staff supervised related to the location of the archives. This finding corroborated the results of the interview.

UKM archivists were similar to the three other groups in age, gender and education. Their salaries were, however, considerably lower than the other groups as were the number
of staff they supervised. The location of UKM in library departments appeared to be a contributing factor.

Perhaps the most interesting findings were those related to archival education and training. There was an overwhelming number of archivists with degrees in history, and the majority had some archival training in addition to the formal study of history. There have been many proposals with respect to the appropriate qualifications for an archivist. Felix Hull offered a view of the essentials in the following summary: 'certainly the techniques of management, whether of the organization or the record; certainly the ability to arrange, clarify, list and index and to this end, some knowledge of the history of administration.'\textsuperscript{20} He added conservation and perhaps most importantly, an awareness of change, to his list of essentials.\textsuperscript{21}

\textsuperscript{20} Ibid. p. 257.

\textsuperscript{21} Ibid, p. 257.
CHAPTER VIII: THE RESULTS AND DISCUSSION OF WORK FACTORS

The archivists provided written answers to Part II of the questionnaire which consisted of four questions:

1) Name the three aspects of work you favour most in the archive.
2) Name the three most serious problems in the archive.
3) List what you think are the probable causes of the problems.
4) List what you think would be possible solutions to the problems.

To make the meaning of the responses more explicit content analysis was applied.¹ That is, the information reported is listed and examined for similar answers which are placed in categories. The categories are then compared and interpreted. Each archive was assigned a unique identification number. The seven large-sized United Kingdom archives were named UKL (UKL1 to UKL7), the seven large-sized Canadian were called CL (CL1 to CL7), the seven medium-sized United Kingdom, UKM (UKM1 to UKM7), and the eight medium-sized Canadian, CM (CM1 to CM8). The results can be generalized to the larger populations from which the samples were selected. In addition, information was

¹ Busha and Harter, Research methods in librarianship, p. 173.
provided by three other archives: one United Kingdom very small-sized archive, UKVS; one Canadian small-sized, CS; and one very small-sized Canadian, CVS. The responses for these last three were tabulated but were not included in the presentation of the results and discussion.

A. MOST FAVOURED ASPECTS OF WORK

Question 1 was analysed first. Each of the factors the archivists favoured was listed and, as there were a number of similar responses, they were sorted into categories of comparable replies. These categories accounted for fifty-nine of the replies, or seventy percent of the eighty-five responses. There were also twenty-six unique responses which could not be categorized because they were not repeated. These represented thirty percent of the total responses. Two archivists listed only two factors they favoured; therefore, two spaces in the questionnaires remained blank. The information above was summarized into the following ten categories.

1) CONTACT WITH RESEARCHERS
2) AUTONOMY
3) COLLECTIONS
4) WORK
5) WORKING RELATIONSHIPS
6) ADMINISTRATION
7) HISTORICAL CONTEXT
8) PHYSICAL SURROUNDINGS
9) HUMAN RELATIONS
10) UNIQUE RESPONSES

The complete list of responses sorted into the various categories is shown in Appendix 21. A summary of the responses, ranked in order of frequency in the ten categories, is shown below.
1) **Four most favoured aspects of work**

Among the categories of answers there were four which contained the majority of replies. These four categories had a range of eight to thirteen replies. The categories were contact with researchers, autonomy, collections, and work which represented fifty-one percent of the total responses. There were five small categories of replies which contained from two to five answers; they represented sixteen responses or nineteen percent of the total replies.

The two most favoured aspects of work were contact with researchers and autonomy which represented sixteen and fourteen percent of the total answers respectively. For

---

### Chart 1: Factors Favored by United Kingdom and Canadian Archivists

<table>
<thead>
<tr>
<th>Category</th>
<th>UKL (n=7)</th>
<th>CL (n=7)</th>
<th>URM (n=7)</th>
<th>CM (n=8)</th>
<th>Total</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact with Researchers</td>
<td>2</td>
<td>3</td>
<td>6</td>
<td>2</td>
<td>13</td>
<td>16%</td>
</tr>
<tr>
<td>Autonomy</td>
<td>3</td>
<td>0</td>
<td>2</td>
<td>7</td>
<td>12</td>
<td>14%</td>
</tr>
<tr>
<td>Collections</td>
<td>3</td>
<td>1</td>
<td>6</td>
<td>0</td>
<td>10</td>
<td>12%</td>
</tr>
<tr>
<td>Work</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>8</td>
<td>9%</td>
</tr>
<tr>
<td>Working Relationships</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>5</td>
<td>6%</td>
</tr>
<tr>
<td>Administration</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>4</td>
<td>5%</td>
</tr>
<tr>
<td>Historical Context</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>3</td>
<td>4%</td>
</tr>
<tr>
<td>Physical Surroundings</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>2%</td>
</tr>
<tr>
<td>Human Relations</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>2%</td>
</tr>
<tr>
<td>Unique Responses</td>
<td>6</td>
<td>10</td>
<td>3</td>
<td>7</td>
<td>26</td>
<td>30%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>85</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

---

1) Four most favoured aspects of work
contact with researchers UKM contributed six responses, CL, three, UKL, two and CM, two. This result showed that UKM enjoyed communication with researchers more than any other group. Representative replies from all groups were 'engagement with a wide and varied range of scholars and endeavour', 'contacts with users', 'opportunities to help researchers' and 'interesting range of contacts, readers and academics'.

Autonomy, the second most favoured factor, was composed of seven answers from CM, three from UKL, two from UKM and none from CL. CM appreciated this aspect of their work more than any of the other groups. Typical comments from the groups related to this category were, 'being my own master', 'being in charge', and 'autonomy in decision-making'.

Collections, an aspect of work, contained twelve percent of the total responses and showed the most variation; UKM advanced six responses, UKL, three, CL, one, and CM, none. This result implied that the United Kingdom archivists, and especially UKM, prized collections more than the Canadian archivists. Some comments for this category were, 'scope and content of the collections', 'variety of collections' and 'the nature of the materials handled'.

Work as a valued factor comprised nine percent of the total responses and was classified as follows: UKL, two responses; CL, two; UKM, one and CM, three. There did not appear to be any discernable pattern in these replies. Statements that supported this category included 'variety in
responsibilities', 'archival work', 'meaningful work supporting community and institution' and 'interesting work'.

The most favoured category of the four groups total responses was contact with researchers, although it was somewhat skewed by the number of replies contributed by UKM. Reference service is sometimes thought to be neglected by archivists in favour of other aspects of the collections.² Heald stated that in archives 'Reference service is most often regarded as secondary, a necessary evil' and 'The relationship between archivists and users is often an adversarial one, especially if those users are amateurs.'³ It was notable that several UKM worked alone and it may be that contact with researchers helped to alleviate their relative isolation. Other archivists stated that users were generally very pleased with the information they received. The positive feedback received could, therefore, be another reason this aspect of work was favoured.

Autonomy, the second most favoured category, is defined as the quality or state of being self-governing. Archivists generally have a good deal of freedom to pursue their activities because their work is not well known or understood. CM especially enjoyed this aspect. One reason might be that, of the eight in the CM sample, five were not

² For example, see Randall C. Jimerson, 'Redefining archival identity: meeting user needs in the information society, American Archivist, 52 (1989), pp.53-340.

part of library systems and were in a position to plan and make decisions independently.

Not surprisingly the collections and the work were the other two most esteemed aspects, the collections because they were important and interesting, and the work because it was meaningful, had variety of responsibility and was enjoyable. These two factors reflected the archivists' genuine interest in the materials they handled as well as their appreciation of the role of the archivist.

2) Other favoured aspects of work

Of the other favoured categories of work there were some differences in the four groups. The United Kingdom archivists enjoyed the relationships with co-workers and the pleasant physical surroundings, factors which relate to the working environment. The Canadian groups liked administration and human relations. Of the twenty-six unique responses, the Canadian groups contributed seventeen while the United Kingdom groups offered nine. There does not seem to be any pattern to explain this latter difference, and it is beyond the scope of this thesis to discuss each of the unique responses.

B. MOST SERIOUS PROBLEMS

This section was a description and discussion of the results of the content analysis of the last three questions in Part II of the questionnaire. Question 2 asked each
archivist to record the three most serious problems in their archive. Questions 3 and 4 asked the archivists to list from one to four probable causes and from one to four possible solutions for each problem.

Designations were assigned to each of the archives in the preceding section which described the results of the three most favoured aspects of work. To differentiate one problem from the others an additional number was added to each archive identification; for example, UKL1-1, UKL1-2 and UKL1-3 represented the three problems reported by one archive. These designations were used throughout the content analysis of problems, their causes and solutions.

An examination of the list of problems indicated a great many similar problems as well as a number of individual or unique difficulties. The answers were grouped into a number of categories which reflected the type of problems registered. Eight categories were established which contained sixty-nine responses, and represented eighty-two percent of the problems. In addition, there were fifteen unique answers, or eighteen percent of the total, which were not replicated by other responses, and three blanks representing three archivists who named only two problems. This formed a total of eighty-seven responses which are provided in Appendix 22. The categories are listed below.
1) LACK OF RESOURCES  
2) ADMINISTRATIVE ISSUES  
3) LACK OF STAFF  
4) LACK OF SPACE  
5) CONSERVATION ISSUES  
6) RECORDS MANAGEMENT ISSUES  
7) CATALOGUING/PROCESSING ISSUES  
8) IMAGE ISSUES  
9) UNIQUE ISSUES

The next step was to rank the responses in order of frequency in each category and present the totals together with a summary of the unique responses.

**CHART 2: PROBLEMS IDENTIFIED BY UNITED KINGDOM AND CANADIAN ARCHIVISTS**

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>CL (n=7)</th>
<th>UKM (n=7)</th>
<th>CM (n=8)</th>
<th>TOTAL</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1)LACK OF RESOURCES</td>
<td>5</td>
<td>4</td>
<td>5</td>
<td>3</td>
<td>17</td>
<td>20%</td>
</tr>
<tr>
<td>2) ADMIN. ISSUES</td>
<td>3</td>
<td>6</td>
<td>3</td>
<td>2</td>
<td>14</td>
<td>17%</td>
</tr>
<tr>
<td>3)LACK OF STAFF</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>6</td>
<td>12</td>
<td>14%</td>
</tr>
<tr>
<td>4)LACK OF SPACE</td>
<td>3</td>
<td>1</td>
<td>3</td>
<td>4</td>
<td>11</td>
<td>13%</td>
</tr>
<tr>
<td>5) CONS. ISSUES</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>2</td>
<td>5</td>
<td>6%</td>
</tr>
<tr>
<td>6) RECORDS MGT. ISSUES</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>1</td>
<td>4</td>
<td>5%</td>
</tr>
<tr>
<td>7) CAT./ PROCESSING ISSUES</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>3</td>
<td>3.5%</td>
</tr>
<tr>
<td>8) IMAGE ISSUES</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>3</td>
<td>3.5%</td>
</tr>
<tr>
<td>9) UNIQUE RESPONSES</td>
<td>7</td>
<td>2</td>
<td>5</td>
<td>1</td>
<td>15</td>
<td>18%</td>
</tr>
</tbody>
</table>

Total=84 100%
1) **Four most frequently mentioned problems**

The four problems stated most frequently, in rank order, were: lack of resources, administrative issues, lack of staff and lack of space. Together, these four represented sixty-four percent of the problems listed, and each had eleven or more similar responses.

Lack of resources was the problem with the most responses, or twenty percent of the total. Of the seventeen replies, both UKL and UKM each mentioned five, CL four, and CM three. Responses included a variety of problems concerning resources and some characteristic ones were 'inadequate funding', 'under-funding', 'budget', 'financial constraints' and 'lack of money'. A few responses which were included in this category expressed not only the words resources, money, funding or budget, but also included additional specific areas such as staff, acquisitions and space, for example, 'lack of money for acquisitions', 'lack of money and staff' and 'lack of budget for everyday process of university records'. However, since the various terms used to denote resources were the dominant theme these statements were included in this problem.

Administrative issues, the second most frequently repeated problem, represented seventeen percent of the total. Of the fourteen which reported this problem, six were CL, three were UKL, three UKM and two CM. Typical responses in this category were the following: 'administrative problems', 'lack of policy making forum',
'lack of assured administrative and technical back-up', 'lack of policy definition, goals and objectives' and 'limitation of being placed administratively within the library'.

Lack of staff was the third most frequently mentioned issue or fourteen percent of the total. Of twelve statements of this problem, six were from CM, three from CL, two from UKM and one from UKL. Some representative assertions were 'lack of human resources', 'need for increased staffing', 'need for one extra staff which we lost last year' and 'low in staffing priorities'.

The next category, lack of space, consisted of eleven responses or thirteen percent of the total. Four problems were cited by CM, three each by UKL and UKM, and the remaining one by CL. Typical statements which described this problem were: 'lack of space for expansion', 'lack of storage space', lack of proper facilities (space, ventilation, etc.)' and 'physical management and expansion'.

It could be contended that three of the four leading problems, lack of resources, lack of staff and lack of space, could be subsumed under one general heading, lack of resources. Without question this represented the central concern of the archivists. The majority of academic archives are a subordinate part of a library system and have little or no input into the decision-making process including the budget allocation. The effect of this
relationship can be profound.  

2) Other problems

When added together the four categories with fewer responses represented eighteen percent of the total answers. It was the two medium-sized archives groups which contributed five statements related to conservation problems. Typical comments were, 'poor conservation facilities' and 'conservation of modern media' (audio, video, magnetic tape). Concerns regarding records management were cited by three CL and one CM for a total of four responses but none were recorded by UKL or UKM for this category. Responses included such remarks as 'not preoccupied by records management' and 'no records management program for university records'. Three responses were categorized as cataloguing/processing issues and representative comments were 'lack of time for cataloguing' and 'inability to process materials'. There were three responses called image issues, all noted by CM; typical of these was 'insufficient understanding of importance of what we do' and 'low in priority for getting adequate equipment'.

There were fifteen unique responses. It is beyond the scope of this thesis to discuss each one. It is worth noting, however, that the United Kingdom archivists contributed twelve responses while the Canadian archivists produced three. A number of reasons might be suggested for

Klaassen, 'The provenance of archives under library administration', p. 37.
this difference. Perhaps there is more diversity among the former archives due to their background, age, and types of collections. Consequently, the United Kingdom archivists perceived more individualistic problems than their Canadian colleagues.

C. CAUSES AND SOLUTIONS OF PROBLEMS

An examination of the causes and solutions of the problems comprised the next part of the content analysis. The archivists in the sample were asked to list up to four causes of and four solutions to each problem documented. The first step of the analysis consisted of listing all the causes and solutions, and placing each in one of the eight problem categories or in the unique problems section. The listing of these is presented in Appendix 23.

All the causes and solutions were listed, but only those relating to the four most frequently mentioned problems, lack of resources, administrative issues, lack of staff and lack of space, were analysed further. Since many of the responses tended to be similar the next step consisted of determining categories of causes and solutions.

D. CAUSES OF PROBLEMS

For the four most frequently stated problems, nine categories of causes were identified. The categories are listed in the left-hand column below, and a typical response is noted in the right-hand column. Where necessary, in
order to clarify the definitions of the categories, a comment was added in parentheses in the right-hand column.

<table>
<thead>
<tr>
<th>CATEGORIES</th>
<th>TYPICAL RESPONSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Internal under-funding (called internal to signify university funds)</td>
<td>'a limited budget'</td>
</tr>
<tr>
<td>2) External under-funding (called external to signify grants)</td>
<td>'unrealistic measures of raising external funding'</td>
</tr>
<tr>
<td>3) Archive/library relationship difficulties</td>
<td>'lack of interest/senior library colleagues'</td>
</tr>
<tr>
<td>4) Low priority/image</td>
<td>'(lack of) image of archivists'</td>
</tr>
<tr>
<td>5) Lack of planning</td>
<td>'lack of a recognized pattern of responsibility'</td>
</tr>
<tr>
<td>6) Growth of archives</td>
<td>'rapid growth of the archives'</td>
</tr>
<tr>
<td>7) Lack of expansion space</td>
<td>'general lack of library space'</td>
</tr>
<tr>
<td>8) Automation (problems with automation)</td>
<td>'reorganization of library around automation - archives function irrelevant'</td>
</tr>
<tr>
<td>9) Lack of trained staff</td>
<td>'lack of competent human resources in the archives'</td>
</tr>
</tbody>
</table>

The causes advanced by each of the groups of archives were tabulated under the headings of the four leading problems and according to the nine categories of causes listed directly above. An example of this follows and the full display is shown in Appendix 24.
The causes of problems given by the groups of archives were totalled and charts were prepared for each of the four most frequently mentioned problems. For ease of presentation the order of the problems was changed as follows: Problem 1, lack of resources, Problem 2, lack of staff, Problem 3, lack of space, and Problem 4, administrative issues.

1) Causes of the three related Problems 1, 2 and 3

A chart for each of these three problems is presented followed by discussion of the results. A summary chart of the three problems is then presented with further discussion.
There were two most frequently mentioned causes of this problem, both with fourteen responses; each represented thirty-four percent of the responses, and together equalled sixty-eight percent. Internal under-funding was listed as one of the two major causes. Of the fourteen responses assigned to this category, UKL and CL listed four each and UKM and CM listed three, a relatively even spread. Typical causes were 'financial crisis of universities', 'cuts in university funding', 'a limited budget' and 'inadequate finances for operation'.

The second most frequent cause, low priority and image, also had fourteen responses. There was not, however, the same relatively even distribution among the four groups.

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>CL (n=7)</th>
<th>UKM (n=7)</th>
<th>CM (n=8)</th>
<th>TOTAL</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) INTERNAL UNDERSUBS</td>
<td>4</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>14</td>
<td>34%</td>
</tr>
<tr>
<td>2) EXTERNAL UNDERFUNDING</td>
<td>6</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>6</td>
<td>15%</td>
</tr>
<tr>
<td>3) ARCHIVE/LIBRARY RELATIONSHIP</td>
<td>1</td>
<td>3</td>
<td>0</td>
<td>2</td>
<td>6</td>
<td>15%</td>
</tr>
<tr>
<td>4) LOW PRIORITY AND IMAGE</td>
<td>1</td>
<td>3</td>
<td>9</td>
<td>1</td>
<td>14</td>
<td>34%</td>
</tr>
<tr>
<td>5) LACK OF PLANNING</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2%</td>
</tr>
<tr>
<td>6) GROWTH OF ARCHIVES</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>7) LACK OF EXPANSION SPACE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>8) AUTOMATION</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>9) LACK OF TRAINED STAFF</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Total=41 100%
UKM provided nine, CL three, and UKL and CM each mentioned one. This indicated a stronger sentiment by UKM than that expressed by the other three groups of archives. The causes listed by UKM included the following: 'low profile of the modern archives with college', 'insensitivity of administration to the importance of maintaining a good archive', and 'no public sense of the importance of archives'. Typical answers of the other three groups were 'lack of understanding of archival needs', 'university unaware of the informational and administrative value of fiscal records' and 'old mind set, warehouse mentality'.

### CHART 5: PROBLEM 2) LACK OF STAFF: CAUSES

<table>
<thead>
<tr>
<th>Problem</th>
<th>UKL (n=7)</th>
<th>CL (n=7)</th>
<th>UKM (n=7)</th>
<th>CM (n=8)</th>
<th>TOTAL</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) INTERNAL UNDER-FUNDING</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>6</td>
<td>12</td>
<td>43%</td>
</tr>
<tr>
<td>2) EXTERNAL UNDER-FUNDING</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3) ARCHIVE/ LIBRARY RELATIONSHIP</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>4</td>
<td>14%</td>
</tr>
<tr>
<td>4) LOW PRIORITY AND IMAGE</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>5</td>
<td>8</td>
<td>29%</td>
</tr>
<tr>
<td>5) LACK OF PLANNING</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>3%</td>
</tr>
<tr>
<td>6) GROWTH OF ARCHIVES</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>7) LACK OF EXPANSION SPACE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>8) AUTOMATION</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>3</td>
<td>11%</td>
</tr>
<tr>
<td>9) LACK OF TRAINED STAFF</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Total=28 100%

The causes of Problem 2 had two most frequently
mentioned causes, internal under-funding, which accounted for forty-three percent of the responses, and low priority and image, which represented twenty-nine percent. These were the same two most frequently mentioned causes identified for Problem 1. This was not unexpected because, as noted earlier, the Problems 1, 2, and 3 dealt with issues related to various aspects of the lack of resources. However, the distribution of causes mentioned by the four groups of archives was different for Problem 2. Of the twelve who listed lack of internal funding as a cause, six were CM, three CL, two UKM and one UKL, a total of nine for Canadian and three for United Kingdom archivists. This implied that the lack of internal funding affected the Canadian archivists' perceptions of their ability to hire staff more than it did the United Kingdom archivists. Typical comments were 'lack of funding', 'cost' and 'not enough money'.

The second cause which was mentioned most frequently was low priority and image, and had eight responses. Five were noted by CM, two by UKM, one by CL and none by UKL, a total of seven contributed by the medium-sized archives and a total of one by the large-sized archives. This result suggested that the archivists of medium-sized archives considered they had limited influence to command additional staff. Some of the representative remarks were 'not enough real interest in the archives by the university administration', 'low profile' and 'low priority compared with academic departments'. These causes tended to re-enforce those registered for Problem 1, and lends
credibility to the notion that archivists are concerned about their priority and image.

CHART 6: PROBLEM 3) LACK OF SPACE: CAUSES

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>CL (n=7)</th>
<th>UKM (n=7)</th>
<th>CM (n=8)</th>
<th>TOTAL</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) INTERNAL UNDER-FUNDING</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>4</td>
<td>5</td>
<td>20%</td>
</tr>
<tr>
<td>2) EXTERNAL UNDER-FUNDING</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3) ARCHIVE/LIBRARY RELATIONSHIP</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>3</td>
<td>12%</td>
</tr>
<tr>
<td>4) LOW PRIORITY AND IMAGE</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>4</td>
<td>16%</td>
</tr>
<tr>
<td>5) LACK OF PLANNING</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>8%</td>
</tr>
<tr>
<td>6) GROWTH OF ARCHIVES</td>
<td>1</td>
<td>1</td>
<td>3</td>
<td>0</td>
<td>5</td>
<td>20%</td>
</tr>
<tr>
<td>7) LACK OF EXPANSION SPACE</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>6</td>
<td>24%</td>
</tr>
<tr>
<td>8) AUTOMATION</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>9) LACK OF TRAINED STAFF</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Total=25 100%

No categories of causes of this problem stood out particularly from the others. The three most frequently mentioned causes were internal under-funding, growth of archives and lack of expansion space, but the greatest number of similar responses was six which was not sufficient to indicate a definite trend.
2) **Causes of Problems 1, 2 and 3 summarized**

As mentioned earlier, Problems 1, 2 and 3 related to lack of resources. For this reason the causes for the three problems were added together and the following chart shows the results, ranked in order of frequency.

**CHART 7: SUMMARY OF CAUSES OF THREE PROBLEMS 1, 2 AND 3**

<table>
<thead>
<tr>
<th>Cause</th>
<th>Prob.1</th>
<th>Prob.2</th>
<th>Prob.3</th>
<th>Total</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal Under-Funding</td>
<td>14</td>
<td>12</td>
<td>5</td>
<td>31</td>
<td>33%</td>
</tr>
<tr>
<td>Low Priority/Image</td>
<td>14</td>
<td>8</td>
<td>4</td>
<td>26</td>
<td>28%</td>
</tr>
<tr>
<td>Archives/Library Relationship</td>
<td>6</td>
<td>4</td>
<td>3</td>
<td>13</td>
<td>14%</td>
</tr>
<tr>
<td>Lack/Expansion Space</td>
<td>0</td>
<td>0</td>
<td>6</td>
<td>6</td>
<td>6.5%</td>
</tr>
<tr>
<td>External Under-Funding</td>
<td>6</td>
<td>0</td>
<td>0</td>
<td>6</td>
<td>6.5%</td>
</tr>
<tr>
<td>Growth of Archives</td>
<td>0</td>
<td>0</td>
<td>5</td>
<td>5</td>
<td>5%</td>
</tr>
<tr>
<td>Lack of Planning</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>4</td>
<td>4%</td>
</tr>
<tr>
<td>Automation</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>3</td>
<td>3%</td>
</tr>
<tr>
<td>Lack of Trained Staff</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0%</td>
</tr>
</tbody>
</table>

Total=94 100%

The three most frequently mentioned causes of the combined three problems were internal under-funding, with a total of thirty-one responses, low priority and image, with a total of twenty-six replies, and archives/library relationship with a total of thirteen answers. These figures represent thirty-three, twenty-eight and fourteen percent of the total responses respectively, or, if the three categories of causes are combined, seventy-five percent of the total responses.
The most cited cause of the three problems, lack of resources, staff and space, was the lack of funding. In other words, the problems presented and the causes suggested were almost the same and were too similar to provide any significant insight. The other two most frequently mentioned causes, low priority and image and the archive library relationship, however, appeared to represent underlying difficulties. They indicated the archivists' awareness of the need to change in order to improve their programmes.

Low priority and image as one of the leading causes of the three related problems reflects the image issue raised in Chapter I. It seems difficult for archivists to project a dynamic identity and to appear deserving of greater support. Resources are generally unsatisfactory because archivists have failed to clearly enunciate the importance of their work. The fact that there is dissension among archivists with respect to the appropriate background and training of archivists does not enhance their image.

Another most frequently stated cause of the three problems was the relationship between archives and

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5 Levy and Robles, *The image of archivists*, p. iii.


7 For example, see Bolotenko, 'Archivists and historians' pp. 5-25 for the view that training in history is necessary, and Felix Hull, "The archivist should not be an historian", pp. 253-259 for a different opinion.
libraries, another issue advanced in Chapter I. The administrative location of an archive affects many aspects of its operation. Librarians and archivists have different standards, methodologies, education and training. These differences are often cited as reasons why archivists are apprehensive of being placed under library jurisdiction. There is evidence that the arrangement is usually an unsatisfactory one for archivists and adequate resources are almost invariably a problem.

---

8 Klaassen, 'The provenance of archives under library administration', p. 35.

9 Robert L. Clark, Jr. (ed.), Archive-library relations, p. 35.

libraries, another issue advanced in Chapter I. The administrative location of an archive affects many aspects of its operation. Librarians and archivists have different standards, methodologies, education and training. These differences are often cited as reasons why archivists are apprehensive of being placed under library jurisdiction. There is evidence that the arrangement is usually an unsatisfactory one for archivists and adequate resources are almost invariably a problem.

---

8 Klaassen, 'The provenance of archives under library administration', p. 35.
9 Clark, Archive-library relations, p. 35.
3) Causes of Problem 4 - Administrative Issues

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>CL (n=7)</th>
<th>UKM (n=7)</th>
<th>CM (n=8)</th>
<th>TOTAL</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) INTERNAL UNDER-FUNDING</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>7%</td>
</tr>
<tr>
<td>2) EXTERNAL UNDER-FUNDING</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3) ARCHIVE/LIBRARY RELATIONSHIP</td>
<td>3</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>4</td>
<td>14%</td>
</tr>
<tr>
<td>4) LOW PRIORITY AND IMAGE</td>
<td>2</td>
<td>3</td>
<td>5</td>
<td>2</td>
<td>12</td>
<td>43%</td>
</tr>
<tr>
<td>5) LACK OF PLANNING</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>3</td>
<td>8</td>
<td>29%</td>
</tr>
<tr>
<td>6) GROWTH OF ARCHIVES</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>3.5%</td>
</tr>
<tr>
<td>7) LACK OF EXPANSION SPACE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>8) AUTOMATION</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>9) LACK OF TRAINED STAFF</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>3.5%</td>
</tr>
<tr>
<td>Total=28</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>100%</td>
</tr>
</tbody>
</table>

Low priority and image was the most frequently mentioned cause of Problem 4 and accounted for forty-three percent of the responses. There was a total of twelve replies divided as follows: UKM, five, UKL, two, CL, three, and CM, two. The United Kingdom archivists related low priority and image to administrative issues more than the Canadian archivists. It is important to report that all the participants except two that reported this cause were under the jurisdiction of library systems. Characteristic causes were expressed as 'neither records nor information conceived of as a whole' and 'low profile of section'.

The second highest ranking cause, which represented...
twenty-nine percent of the total answers, was lack of planning with eight responses. They were divided as follows: UKL, three, CL, one, UKM, one and CM, three. The number of archives that proposed lack of planning as a cause of administrative issues were evenly divided with respect to being part of a library system or reporting to some other office. Typical comments for this cause were 'growth in size of university leads to bureaucratic imperative' and 'lack of management understanding'.

E. SOLUTIONS TO PROBLEMS

The next analysis was of the solutions to the problems proposed by the archivists. In Part II of the questionnaire the archivists in the sample were asked to document up to four solutions for each of the problems they had identified. The presentation below followed a pattern similar to the description of the causes of the problems. The complete listing is presented in Appendix 23.

The solutions relating to the four leading problems, lack of resources, lack of staff, lack of space and administrative issues were analysed. As with the causes of the problems, since many of the solutions suggested were similar, a number of categories was identified, thirteen in all. The categories are listed in the left-hand column below and a typical example of a response is noted in the right-hand column. Where necessary, in order to clarify the definitions of the categories, a comment was added in parentheses in the left-hand column.
<table>
<thead>
<tr>
<th>CATEGORIES</th>
<th>TYPICAL RESPONSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) More internal funding</td>
<td>'better funding of universities'</td>
</tr>
<tr>
<td>2) More external funding</td>
<td>'seek funds from external sources'</td>
</tr>
<tr>
<td>3) Planning/policies</td>
<td>'clarify/reduce mandate so our budget matches our expectations'</td>
</tr>
<tr>
<td>4) Archive/library relationship</td>
<td>'report directly to university librarian'</td>
</tr>
<tr>
<td>5) Better education and training</td>
<td>'pertinent professional training'</td>
</tr>
<tr>
<td>6) Records management</td>
<td>'establish records management procedures'</td>
</tr>
<tr>
<td>7) Strong emphasis on freedom of information (FOI)</td>
<td>'strong FOI - protection of privacy situations'</td>
</tr>
<tr>
<td>8) More priority/image</td>
<td>'raise status of archivist in recognition of size of collections and numbers of users'</td>
</tr>
<tr>
<td>9) More staff</td>
<td>'appointment of extra staff'</td>
</tr>
<tr>
<td>10) More storage</td>
<td>'provision of additional storage'</td>
</tr>
<tr>
<td>11) Reappraisal of records</td>
<td>'reappraisal of deposited records'</td>
</tr>
<tr>
<td>12) Automation</td>
<td>'on-line computer catalogue, etc.'</td>
</tr>
<tr>
<td>13) Charge (for access)</td>
<td>'agreed national policy on charging for access'</td>
</tr>
</tbody>
</table>

The solutions suggested by the groups of archivists were tabulated under the headings of the four Problems and according to the thirteen categories of solutions listed directly above. An example of this follows and the full display is shown in Appendix 25.
The number of solutions given by the groups of archives was totalled and summary charts were prepared for each of the four problems. The charts are presented below, followed by a commentary on the solutions which were mentioned most frequently.
1) Solutions to the three related Problems 1, 2 and 3

Three categories of solutions were expressed most frequently to this problem. Ten responses, or twenty-nine percent of the total responses, favoured greater priority and image for the archives, with CM contributing five and UKM five. UKL and CL did not mention this solution. This response indicated a division between the large-sized and medium-sized archives. Typical comments were 'making it clear that you are doing an effective and useful job and
that the availability of archives is essential to research', 'the powers that be must be made to recognize the importance of university archives, not just to the university but to the whole province' and 'better appreciation of the role of archives in (the) university (i.e. could we do better even within dollar constraints)'.

Eight responses proposed more internal funding; this accounted for twenty-three percent of the responses. There were three UKL and three UKM, totalling six, and one CL and one CM. Some of the comments regarding internal funding were 'considerable increase in allocation from library budget', 'increase modern archives budget' and 'consideration of specially earmarked funding for archives/mss or perhaps linked to library special collections and university museums'. There were seven responses advocating more external funding, which represented twenty-one percent of the replies. Six were from UKL, one was CL and none from the other two groups. Clearly, UKL strongly stated the need for more external funding. Resolutions that recommended more external funding included 'a national fund for supporting the preservation of significant collections', 'seek more external sources' and 'applications for sponsorship and research funds'.

The lack of resources was presented as the foremost problem of the archives and the lack of funding as the leading cause of the problem, and in this section, more funding was given as an important solution. As noted earlier, this type of response does not provide a viable
solution but reiterates the problem, stated somewhat differently perhaps, but nonetheless, does not provide a practical application. It may be that archivists, generally accustomed to under-funding do not readily perceive, or are not trained to consider, innovative solutions.

**CHART 11: PROBLEM 2) LACK OF STAFF: SOLUTIONS**

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>CL (n=7)</th>
<th>UKM (n=7)</th>
<th>CM (n=8)</th>
<th>TOTAL</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) MORE INTERNAL FUNDING</td>
<td>1</td>
<td>3</td>
<td>0</td>
<td>1</td>
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<td>16%</td>
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<td>1</td>
<td>2</td>
<td>7%</td>
</tr>
<tr>
<td>3) PLANNING/ POLICIES</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>7</td>
<td>10</td>
<td>32%</td>
</tr>
<tr>
<td>4) ARCHIVE/LIBRARY RELATIONSHIP</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>5) BETTER EDUCATION/ TRAINING</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>3</td>
<td>10%</td>
</tr>
<tr>
<td>6) RECORDS MANAGEMENT</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>7) STRONG FOI *</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>8) MORE PRIORITY/ IMAGE</td>
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<tr>
<td>10) MORE STORAGE</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>11) REAPPRAISAL RECORDS</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<td>0</td>
<td>0</td>
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<tr>
<td>12) AUTOMATION</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>13) CHARGE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>31</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

* FOI - Freedom of information legislation

The two most frequently mentioned solutions to the lack of staff were improvements in planning and policies, with ten responses which represented thirty-two percent of the
total, and more priority and image, with six responses which represented nineteen percent. Of the ten solutions for changes in planning policies, CM offered seven, UKM three, and UKL and CL, none. It should be pointed out, however, that one UKL, two CL and three UKM named lack of staff as a serious problem whereas six CM reported it as a problem. Some typical comments were 'more efficient time management', 'rationalization and identification of universal archival needs' and 'delegate upwards in the absence of support staff'.

In effect, these comments recommended changing management practices as a method of gaining more staff. This indicated an awareness of the link between planning and achieving a goal, in this case, more staff members. It also indicated an awareness of the need to examine the way work is carried out. Technological, cultural and social pressures have affected the job content of the information management professions, including archives.11

The groups that proposed improvement of the archivists' priority and image as a solution were as follows: CM, five, and CL, one, for a total of six and no responses in this category from UKL and UKM. Some comments were 'a better awareness of the value of the archives', 'keep importance of infrastructure high on university agenda' and 'a better awareness of the value of archives'.

**CHART 12: PROBLEM 3) LACK OF SPACE: SOLUTIONS**

<table>
<thead>
<tr>
<th>Category</th>
<th>UKL (n=7)</th>
<th>CL (n=7)</th>
<th>URM (n=7)</th>
<th>CM (n=8)</th>
<th>TOTAL</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) MORE INTERNAL FUNDING</td>
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<td>0</td>
<td>0</td>
<td>3</td>
<td>3</td>
<td>13%</td>
</tr>
<tr>
<td>2) MORE EXTERNAL FUNDING</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>3) PLANNING/POLICIES</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>4%</td>
</tr>
<tr>
<td>4) ARCHIVE/LIBRARY RELATIONSHIP</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>9%</td>
</tr>
<tr>
<td>5) BETTER EDUCATION/TRAINING</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>6) RECORDS MANAGEMENT</td>
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<td>0</td>
<td>2</td>
<td>2</td>
<td>4</td>
<td>18%</td>
</tr>
<tr>
<td>7) STRONG FOI *</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>4%</td>
</tr>
<tr>
<td>8) MORE PRIORITY/IMAGE</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>13%</td>
</tr>
<tr>
<td>9) MORE STAFF</td>
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<td>4%</td>
</tr>
<tr>
<td>10) MORE STORAGE</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>5</td>
<td>22%</td>
</tr>
<tr>
<td>11) REAPPRAISAL RECORDS</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>13%</td>
</tr>
<tr>
<td>12) AUTOMATION</td>
<td>0</td>
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<td>0</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<td><strong>Total=23</strong></td>
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<td></td>
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<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

* FOI - Freedom of information legislation

There were no categories of solutions which were particularly striking for this problem. The most responses were for more storage which had five answers, or twenty-two percent of the total. Records management had four responses and more internal funding, more priority and image and reappraisal of records each had three replies.
2) Solutions to Problems 1, 2 and 3 summarized

In the previous section the causes of Problems 1, 2 and 3, which related to a lack of resources, were presented individually and then together. The solutions offered for these three problems were combined, ranked in order of frequency and displayed in the chart below.

CHART 13: SUMMARY OF THE SOLUTIONS OF THREE PROBLEMS 1, 2 AND 3

<table>
<thead>
<tr>
<th></th>
<th>PROB.1</th>
<th>PROB.2</th>
<th>PROB.3</th>
<th>TOTAL</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>MORE PRIORITY/IMAGE</td>
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<td>6</td>
<td>3</td>
<td>19</td>
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</tr>
<tr>
<td>MORE INTERNAL FUNDING</td>
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<td>5</td>
<td>3</td>
<td>16</td>
<td>18%</td>
</tr>
<tr>
<td>PLANNING/POLICIES</td>
<td>2</td>
<td>10</td>
<td>1</td>
<td>13</td>
<td>15%</td>
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<td>MORE EXTERNAL FUNDING</td>
<td>8</td>
<td>1</td>
<td>0</td>
<td>9</td>
<td>10%</td>
</tr>
<tr>
<td>ARCHIVE/LIBRARY RELATIONSHIP</td>
<td>4</td>
<td>0</td>
<td>2</td>
<td>6</td>
<td>7%</td>
</tr>
<tr>
<td>MORE STAFF</td>
<td>0</td>
<td>5</td>
<td>1</td>
<td>6</td>
<td>7%</td>
</tr>
<tr>
<td>MORE STORAGE</td>
<td>0</td>
<td>0</td>
<td>5</td>
<td>5</td>
<td>6%</td>
</tr>
<tr>
<td>RECORDS MGT.</td>
<td>0</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>5%</td>
</tr>
<tr>
<td>BETTER EDUCATION TRAINING</td>
<td>1</td>
<td>3</td>
<td>0</td>
<td>4</td>
<td>4%</td>
</tr>
<tr>
<td>REAPPRAISAL OF RECORDS</td>
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<td>3</td>
<td>3%</td>
</tr>
<tr>
<td>CHARGE</td>
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<td>0</td>
<td>2</td>
<td>2%</td>
</tr>
<tr>
<td>STRONG FOI *</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>1%</td>
</tr>
<tr>
<td>AUTOMATION</td>
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<td>0</td>
<td>0</td>
<td>0%</td>
</tr>
</tbody>
</table>

Total=88 100%

* FOI - Freedom of information legislation

The three most frequently mentioned solutions to the problems were improvement in priority and image, more internal funding, and more planning and policies. These
represented twenty-two, eighteen and fifteen percent of the total or, if the three categories of solutions are combined, fifty-five percent of the total responses.

As mentioned earlier, more funding as a solution to under-funding is a re-stating of the problem and does not offer a practical solution. The questions were: how can archivists improve their situation, have more resources and enjoy a greater priority and better image, especially at a time when resources are diminishing? The solutions offered by better planning and policies suggested strategies which are consistent with the statement expressed by Edward Weldon that it is imperative for archivists to learn to manage more effectively.12

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3) **Solutions to Problem 4 - Administrative Issues**

**CHART 14: PROBLEM 4) ADMINISTRATIVE ISSUES: SOLUTIONS**

<table>
<thead>
<tr>
<th></th>
<th>UKL (n=7)</th>
<th>CL (n=7)</th>
<th>UKM (n=7)</th>
<th>CM (n=8)</th>
<th>TOTAL</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) MORE INTERNAL FUNDING</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2) MORE EXTERNAL FUNDING</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3) PLANNING/POLICIES</td>
<td>3</td>
<td>3</td>
<td>2</td>
<td>5</td>
<td>13</td>
<td>48%</td>
</tr>
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<td>4) ARCHIVE/LIBRARY RELATIONSHIP</td>
<td>3</td>
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<td>0</td>
<td>0</td>
<td>5</td>
<td>18%</td>
</tr>
<tr>
<td>5) BETTER EDUCATION/TRAINING</td>
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<td>1</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>7%</td>
</tr>
<tr>
<td>6) RECORDS MANAGEMENT</td>
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<td>1</td>
<td>0</td>
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<td>4%</td>
</tr>
<tr>
<td>7) STRONG FOI *</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>4%</td>
</tr>
<tr>
<td>8) MORE PRIORITY/IMAGE</td>
<td>1</td>
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<td>1</td>
<td>1</td>
<td>3</td>
<td>11%</td>
</tr>
<tr>
<td>9) MORE STAFF</td>
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<td>0</td>
<td>1</td>
<td>1</td>
<td>4%</td>
</tr>
<tr>
<td>10) MORE STORAGE</td>
<td>0</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>11) REAPPRAISAL RECORDS</td>
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<td>0</td>
<td>0</td>
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</tr>
<tr>
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</tr>
<tr>
<td>13) CHARGE</td>
<td>0</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Total=27 100%

* FOI - Freedom of Information legislation

The solutions to Problem 4, administrative issues, had two top ranking categories, more planning and policies with thirteen answers which represented forty-eight percent of the responses, and the relationship of archives and libraries with five responses which accounted for eighteen percent of the total replies. For more planning and policies, UKL noted three; CL, three; UKM, two and CM, five. The high percentage of this solution indicated that the
archivists in all four groups considered more planning and policies were required to resolve administrative problems. Some responses were 'formal regular meetings with line manager' and 'more pressure to apply missing policies'. The archivists perceived a need to change the way their work was organized and to introduce new methods including more structure.

The second most frequently suggested solution, the relationship of archives and libraries, had five responses; three were from UKL, two from CL, and none from UKM or CM. Examples of solutions were 'inclusion in the library policy group', 'establishment of library committee' and 'report directly to the university librarian'. These solutions provided evidence that the archivists were aware of the difficulties they encountered in working in library departments.

F. CONCLUSION

Part II of the questionnaire provided a great deal of information about how the archivists perceived their work, the aspects they enjoyed and the problems they encountered. In many ways the answers confirmed the concerns about some of the issues raised in Chapter I. In other ways the results were unexpected.

One interesting result was that the work most favoured by the archivists was contact with researchers. The literature implied that reference service is not an
area of great concern to archivists. The approach used may not be as well defined or researched as library reference services, but the results above showed that dealing with users was the most enjoyable, and presumably rewarding, part of the participants' work.

In addition to the problem of lack of resources of all kinds, the archivists identified several other problems including the lack of priority and image as well as the difficulties of the relationship between archives and libraries. A variety of solutions were proposed including more internal and external funding, more staff, more space and better education and training.

Many of the archivists emphasized the need to implement planning and better policies to improve their situations. This showed an awareness of the need to change from a reactive role to a more active approach was indicated; as McCarthy noted 'It is necessary to travel the sea of change or suffer the consequences'.

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13 For example, Heald, 'Reference service in archives: wither a professional ethos?' and Dearstyne, 'What is the use of archives?'.

14 'The management of archives', p. 53.
CHAPTER IX: THE RESULTS AND DISCUSSION OF THE CLIMATE SURVEY

Part I of the questionnaire was a climate survey which consisted of ninety-three questions related to twenty-two dimensions. The dimensions were designed to measure the archivists' perceptions of the work environment and the amount of change required and are described on pages 56 to 59. A list of the dimensions and the abbreviations used in the charts has been placed in the pocket inside the back cover of this volume.

The results were analysed and the similarities and differences among the four groups, the United Kingdom and Canadian large-sized and medium sized archives, were determined. Many of the findings were re-enforced with information from the data obtained from other sections of the thesis: the results of the interview format, the written answers concerning the most favoured aspects of archival work and the most serious problems, and the classification information.

To complete the climate survey the archivists ticked one response of a five point scale from 'strongly agree' to 'strongly disagree' for their perceptions of the work environment, and from 'no change' to 'extensive change' for the amount of change required. An example of the format is shown in the chart below.
Some of the questions were positively worded and others were negatively worded. For example, a positive question was: 'Promotions within my function are based on merit and people who perform well are the ones who get ahead' (question 2). An example of a negatively worded question was 'Generally speaking, favouritism rather than merit determines who gets ahead.' (question 47). The responses to the questions were scored accordingly.

The answers to each of the ninety-three questions were entered into a computer, double-checked and sorted into the twenty-two dimensions. The mean, or average, response to each dimension was calculated by adding the sum of the answers to the relevant questions and dividing by the number of measurements. An example is shown below.
The questions in the perceptions of the work environment section were scaled positively so that 'strongly disagree' was in the negative sense and was scored 1, neutral was 3 and a positive 'strongly agree' was scored 5. A higher average indicated a more satisfactory reaction. The amount of change required section was scaled so that 'no change' required was 1 and 'extensive change' required was 5. Therefore, a higher average indicated a greater need for change. Frequency distribution charts were prepared to illustrate the responses. An example is shown below.
The objective of statistical tests is to make inferences, that is, predictions and decisions about a population based on information obtained from a random sample. The populations in the research were university and college archives in the United Kingdom and Canada that met the established criteria regarding the volume of collections, including a specified amount of university records and the presence of a full-time archivist in charge.

The Wilcoxon rank sum test was applied to compare the similarities and differences between the various groups of archivists, concerning their perceptions of the work environment and the amount of change required. The Wilcoxon rank sum test is a small sample, non-parametric test used for the comparison of two population distributions.¹ For this thesis, it was appropriate to use the Wilcoxon rank sum test since each of the four samples had less than twenty observations, and twenty is typically the cut-off for sample size between parametric and non-parametric tests. Another requirement of the test is that the samples be randomly selected and independent of one another. The samples of United Kingdom and Canadian college and university archives met this requirement.

The method of applying the test consisted of combining the two samples being compared and ranking the observations from smallest to largest. The ranks for each sample were

then added separately and these sums of the ranks (or 'rank sums') were used to calculate the Wilcoxon rank sum statistic which is compared to tabulated values to determine the probability that these results could have occurred by chance alone, under the assumption that the two underlying population distributions are in fact equal.

This probability is referred to as the p-value. If the p-value is small (usually anything less than 0.05 to 0.10 is considered small), this indicates that the probability of observing these rank sums by chance alone is less than five percent to ten percent respectively. In other words, it is not very likely that these rank sums would be observed by chance if the two underlying population distributions are in fact equal. It can be concluded that there is some difference between the two population distributions with respect to whatever measurement is being compared. In this case the differences measured were in two separate categories, the perceptions of the work environment and the amount of change required.

The samples selected were a randomly chosen subset of the total population of eligible archives, that is, each archive had an equal chance of being chosen. As discussed on page 47 in Chapter II, which described the methodology, and considering that the samples represented approximately thirty-eight percent of each population, the results from

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2 Annabel Ness Evans, Using basic statistics in the behavioral sciences, pp. 116-122.
the statistical tests can be generalized to the larger populations.

The following chart shows the comparisons of the different groups of archives which were made.

**CHART 4: COMPARISONS**

<table>
<thead>
<tr>
<th>SECTION</th>
<th>COMPARISON</th>
<th>PERCEPTIONS - P CHANGE - C</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>UKL with UKM</td>
<td>P</td>
</tr>
<tr>
<td>B</td>
<td>UKL with UKM</td>
<td>C</td>
</tr>
<tr>
<td>C</td>
<td>CL with CM</td>
<td>P</td>
</tr>
<tr>
<td>D</td>
<td>CL with CM</td>
<td>C</td>
</tr>
<tr>
<td>E</td>
<td>UKL with CL</td>
<td>P</td>
</tr>
<tr>
<td>F</td>
<td>UKL with CL</td>
<td>C</td>
</tr>
<tr>
<td>G</td>
<td>UKM with CM</td>
<td>P</td>
</tr>
<tr>
<td>H</td>
<td>UKM with CM</td>
<td>C</td>
</tr>
<tr>
<td>I</td>
<td>UK (UKL &amp; UKM) with CN (CL &amp; CM)</td>
<td>P</td>
</tr>
<tr>
<td>J</td>
<td></td>
<td>C</td>
</tr>
<tr>
<td>K</td>
<td>INTRODUCTION</td>
<td></td>
</tr>
<tr>
<td>L</td>
<td>LL with NLL</td>
<td>P</td>
</tr>
<tr>
<td>M</td>
<td>LL with NLL</td>
<td>C</td>
</tr>
</tbody>
</table>

* LL - Library located archives
  NLL - Non-library located archives

A format was designed to present the results. First, a chart was given which included only the dimensions with statistically significant differences. A chart of the Wilcoxon Rank Sum statistics which showed the twenty-two dimensions in rank order of differences is provided in Appendix 26.

Next, a definition of the dimension was provided (if the same dimension had occurred in a previous comparison the definition was not repeated). A frequency distribution chart to illustrate the comparison was followed by discussion of the significant differences. When there was
more than one significantly different dimension, a summary section was included.

A. COMPARISON OF UKL WITH UKM: PERCEPTIONS (P)

UKL expressed a more positive response than UKM to nineteen of the twenty-two dimensions; UKM showed a more positive response than UKL to three dimensions.

CHART 5: UKL WITH UKM: SIGNIFICANT DIMENSIONS: P

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Rank Sum UKL</th>
<th>Rank Sum UKM</th>
<th>p-value</th>
<th>p-value (range)</th>
<th>Archives with more positive response</th>
</tr>
</thead>
<tbody>
<tr>
<td>WE</td>
<td>67.0</td>
<td>38.0</td>
<td>0.0673</td>
<td>.05-.10</td>
<td>UKL</td>
</tr>
<tr>
<td>O</td>
<td>67.0</td>
<td>38.0</td>
<td>0.0714</td>
<td>.05-.10</td>
<td>UKL</td>
</tr>
<tr>
<td>P</td>
<td>66.5</td>
<td>38.5</td>
<td>0.0798</td>
<td>.05-.10</td>
<td>UKL</td>
</tr>
</tbody>
</table>

UKL responded significantly more positively than UKM to three dimensions, WORKING ENVIRONMENT, OPENNESS and PAY.

WORKING ENVIRONMENT (definition)

This dimension included questions concerning the extent to which the work atmosphere was friendly, relaxed and pleasant or conversely, where the people were cool and distant.
UKL felt significantly more positive about this dimension than UKM. Several of the UKM archivists mentioned their isolated locations during the interview, and said that they had limited contact with other staff members. In Part II, a relevant UKM concern was 'the possibility that the administration might just forget that I exist'.

OPENNESS (definition)
This dimension contained questions with respect to the freedom the employees felt to speak frankly, to disagree with the administration, policies or work methods compared to the extent they felt they were expected to withhold their opinions.
UKL registered a significantly more affirmative reaction to this dimension than UKM which is consistent with the information given in the interview and Part II of the questionnaire. Several UKM stated during the interview that their opinions were not solicited by their supervisors and they had limited input into future plans for the archives. In Part II a UKM statement was that '(there was a) lack of understanding of what service should involve, not just another 'special collection' which is how it is regarded'.

PAY (definition)

The questions in this dimension related to the institution's pay package, whether or not it kept abreast of the cost of living and compared with other universities.
UKL were significantly more content with their salaries than UKM. This was anticipated since the results of the classification information showed that UKL salaries were at least twenty-two percent higher than UKM.\(^3\)

Summary

The three significantly different dimensions were related, not to the work itself, but to aspects that were external to the actual tasks performed.\(^4\) W. David Rees' explanation of work satisfaction referred to the external

\(^3\) The salary figures were based on four possible ranges. To calculate the percentage difference the mid-points of the three lower ranges were taken and the base of the highest salary range which was greater than £26000. The totals were added together and then divided by the number in the group which produced an average salary based on the data. Next, the percentage difference between the average UKL and UKM salaries was calculated. The percentages were an indication only since they were not based on actual salary figures.

aspects as the context of the job and the internal aspects as the content of the job. He concluded that financial incentives are not always the solution that is required to improve employees' satisfaction.

There seemed to be little question that both UKL and UKM were devoted to their collections and concerned about the problems of resources but UKM had more difficulties to contend with than UKL or, for that matter, either of the other two groups, CM and CL. This is demonstrated in sections G and L.

B. COMPARISON OF UKL WITH UKM: AMOUNT OF CHANGE (C)

UKL indicated a requirement for less change than UKM to twenty of the twenty-two dimensions, although the majority was not statistically significant.

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Rank Sum UKL</th>
<th>Rank Sum UKM</th>
<th>p-value</th>
<th>p-value (range)</th>
<th>Archives requiring less change</th>
</tr>
</thead>
<tbody>
<tr>
<td>DC</td>
<td>38.5</td>
<td>66.5</td>
<td>0.0835</td>
<td>.05-.10</td>
<td>UKL</td>
</tr>
<tr>
<td>UC</td>
<td>39.0</td>
<td>66.0</td>
<td>0.0916</td>
<td>.05-.10</td>
<td>UKL</td>
</tr>
</tbody>
</table>

UKL expressed significantly less change was required than UKM to two dimensions, UPWARD COMMUNICATION and DOWNWARD COMMUNICATION.

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5 The skills of management, (London, Croom Helm, 1984), p. 73.

6 Ibid., p. 85.
UPWARD COMMUNICATION (definition)

This dimension measured the administration's interest, effort and effectiveness in keeping itself informed of the needs and performance of staff members compared with inattention, disinterest and ineffectiveness in trying to understand employees' recommendations and ideas.

CHART 10: UPWARD COMMUNICATION

UKM indicated that significantly more change was required in this area than UKL. It was clear from comments made during the interview that some UKM felt they did not have a voice in the decisions which affected their programmes. An illustration was provided in Part II by the UKM comment 'lack of consultation'.

DOWNWARD COMMUNICATION (definition)

This dimension contained questions concerning the extent to which employees were kept informed of relevant short-term and long-term plans, results, evaluation or
performance, and other matters affecting their work and welfare.

**CHART 11: DOWNWARD COMMUNICATION**

UKM reported that significantly more change was required than UKL, that is, they required more information from the administration about the plans and changes that would affect their programmes. In Part II UKM comments included 'lack of policy definition, goals, and objectives' and 'different standards from library in matters like security and preservation'. The latter statement illustrated that UKM were aware that there were differences in archives and library requirements and practices.

**Summary**

Since both upward and downward communication required change, it was concluded that UKM regarded the administration as not responding to their needs and being unconcerned about keeping them well informed about current and future initiatives. This illustrated that the
archivists were dissatisfied with the administrative processes. Richard Emery has suggested that communication, irrespective of the direction, upward, downward or horizontal, can be improved by careful preparation and presentation.  

C. COMPARISON OF CL WITH CM: PERCEPTIONS (P)

CM showed a stronger positive reaction than CL to thirteen dimensions whereas CL had a more favourable response than CM to nine.

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Rank Sum CL</th>
<th>Rank Sum CM</th>
<th>p-value</th>
<th>p-value (range)</th>
<th>Archives with more positive response</th>
</tr>
</thead>
<tbody>
<tr>
<td>DC</td>
<td>40.5</td>
<td>79.5</td>
<td>0.0807</td>
<td>.05-.10</td>
<td>CM</td>
</tr>
</tbody>
</table>

CM indicated a significantly more positive response to DOWNWARD COMMUNICATION than CL. Only one reaction was significantly different which suggested that there was more homogeneity between CL and CM than between the other groups which were compared.

This result showed that collectively CL responded significantly less positively to this dimension than CM. Individually, there were some striking differences among the CL situations. The results of the interview discussed in Chapter V indicated that CL archives tended to fall into two categories: those with adequate assets and those which struggled with very limited support. For example, several CL archives had few or no staff, very limited administrative authority and no budget to direct whereas others in the group had more staff, better defined responsibilities and their own budgets. In view of this, it is not surprising that some CL did not regard downward communication positively. One CL comment in Part II was 'not enough real interest in the archives by the library administration'.
D. COMPARISON OF CL WITH CM: AMOUNT OF CHANGE (C)

To twenty of the twenty-two dimensions CM felt less change was required than CL, an equal amount to CL on one dimension, and more than CL to one dimension.

CHART 14: CL WITH CM: SIGNIFICANT DIMENSIONS: C

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Rank Sum CL</th>
<th>Rank Sum CM</th>
<th>p-value</th>
<th>p-value (range)</th>
<th>Archives requiring less change</th>
</tr>
</thead>
<tbody>
<tr>
<td>RR</td>
<td>77.5</td>
<td>42.5</td>
<td>0.0131</td>
<td>&lt;.05</td>
<td>CM</td>
</tr>
<tr>
<td>WE</td>
<td>74.0</td>
<td>46.0</td>
<td>0.0404</td>
<td>&lt;.05</td>
<td>CM</td>
</tr>
</tbody>
</table>

CL, compared to CM, indicated significantly more change was required to two dimensions, ROLES AND RESPONSIBILITIES and WORKING ENVIRONMENT.

ROLES AND RESPONSIBILITIES (definition)

This dimension included questions regarding the clarity of job definition, assignment of responsibility and decision authority.
The results showed that CL perceived a significantly greater need for change in this area than CM. As noted above, there tended to be two categories of CL archives, those with more adequate resources and staff and others with limited support and personnel. During the interview the former expressed clear role definition and the authority to make decisions while the latter described a lack of responsibility and decision-making power. In 1983, A. P. Martin identified a number of role problems including poor allocation of responsibilities, too many expectations and ambiguous definition of job expectations.8

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8 Think proactive: new insights into decision-making (Ottawa, Professional Development Institute, 1983), p. 87.
CL showed a significantly greater need for change than CM. This reaction could be explained by the different situations of the CL archives mentioned above. Those with limited resources and staff worked in rather isolated areas and stated during the interview that their work was sometimes undervalued and misunderstood.

Summary

The desire for more change by some CL influenced the results. There were variations in the CM individual interview results with respect to resources, staff and authority. They were not, however, as dramatically different as those of CL. It is worth noting that the CL most lacking in assets and personnel were located in library systems.
E. COMPARISON OF UKL WITH CL: PERCEPTIONS (P)

Of the twenty-two dimensions, CL reacted more positively than UKL to thirteen dimensions and UKL responded more favourably than CL to nine dimensions, a relatively even distribution.

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Rank Sum UKL</th>
<th>Rank Sum CL</th>
<th>p-value</th>
<th>p-value (range)</th>
<th>Archives with more positive response</th>
</tr>
</thead>
<tbody>
<tr>
<td>P</td>
<td>38.5</td>
<td>66.5</td>
<td>0.0801</td>
<td>.05-.10</td>
<td>CL</td>
</tr>
<tr>
<td>B</td>
<td>39.0</td>
<td>66.0</td>
<td>0.0864</td>
<td>.05-.10</td>
<td>CL</td>
</tr>
</tbody>
</table>

PAY and BENEFITS were significantly more positively perceived by CL than UKL.

CL were significantly more satisfied with this dimension than UKL. As shown in Part III, classification Information, the salaries of CL were higher than those of
UKL. Using these figures indicated that CL wages were at least seven percent higher than those of UKL.

**BENEFITS (definition)**

This dimension included questions concerning benefits package (vacation, insurance, etc.) and special benefits compared with other universities and colleges.

**CHART 19: BENEFITS**

CL showed a significantly more positive reaction to the dimension than UKL. As benefit packages were not specifically discussed during the interview, it was difficult to interpret this finding. The relevant questions asked in the survey were 'if the benefit package (hospital care, insurance, vacation, etc.) was competitive with other university archives', and 'if extra holidays and other special benefits compared favourably with other institutions'. In some cases the universities and colleges offered special incentives including study leave and tuition
assistance. Since none of the information received provided an explanation of why UKL was less satisfied with this dimension, this represented an area for future investigation.

Summary

PAY and BENEFITS were two aspects of work which relate to what Rees called the context of the work, not the content. It was not clear from either the interview or Part II why they were less acceptable to UKL than other dimensions. It is known, however, that the cost of living in the United Kingdom has increased greatly during the past few years and this could form part of the reason why the archivists were dissatisfied with their salaries and benefits.

F. COMPARISON OF UKL WITH CL: AMOUNT OF CHANGE (C)

UKL required less change than CL to eighteen of the twenty-two dimensions, CL required less change than UKL to three dimensions and to one they had an equal response.

CHART 20: UKL WITH CL: SIGNIFICANT DIMENSIONS: C

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Rank Sum UKL</th>
<th>Rank Sum CL</th>
<th>p-value</th>
<th>p-value (range)</th>
<th>Archives requiring less change</th>
</tr>
</thead>
<tbody>
<tr>
<td>WE</td>
<td>35.5</td>
<td>69.5</td>
<td>0.0326</td>
<td>&lt; .05</td>
<td>UKL</td>
</tr>
</tbody>
</table>

9 The skills of management, p. 73.
CL required significantly more change than UKL to one dimension, WORKING ENVIRONMENT. This was the single comparison where only one dimension required significantly less change.

CHART 21: WORKING ENVIRONMENT

CL required more change to this dimension than UKL. This was an understandable outcome considering that some of the CL archivists were in situations which were difficult due to the lack of resources and authority.

It was anticipated that UKL might require more change to the two dimensions, PAY and BENEFITS, which they had perceived significantly less favourably than CL in the perceptions to the work environment section. The chart which included the twenty-two dimensions showed that CL required less change than UKL on these two dimensions, but they were not significant differences. The full charts are shown in Appendix 26.
G. COMPARISON OF UKM WITH CM; PERCEPTIONS (P)

CM had a more positive response than UKM to twenty-one of the twenty-two dimensions; UKM had a slightly more favourable reaction to one dimension.

CHART 22: UKM WITH CM: SIGNIFICANT DIMENSIONS: P

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Rank Sum UKM</th>
<th>Rank Sum CM</th>
<th>p-value</th>
<th>p-value (range)</th>
<th>Archives with more positive response</th>
</tr>
</thead>
<tbody>
<tr>
<td>B</td>
<td>35.0</td>
<td>85.0</td>
<td>0.0151</td>
<td>&lt; .0</td>
<td>CM</td>
</tr>
<tr>
<td>RR</td>
<td>37.0</td>
<td>83.0</td>
<td>0.0298</td>
<td>&lt; .05</td>
<td>CM</td>
</tr>
<tr>
<td>DC</td>
<td>39.0</td>
<td>81.0</td>
<td>0.0540</td>
<td>.05-.10</td>
<td>CM</td>
</tr>
<tr>
<td>P</td>
<td>41.0</td>
<td>79.0</td>
<td>0.0919</td>
<td>.05-.10</td>
<td>CM</td>
</tr>
</tbody>
</table>

CM responded significantly more positively than UKM to four dimensions: BENEFITS, ROLES AND RESPONSIBILITIES, DOWNWARD COMMUNICATION, and PAY. This comparison had the greatest number of significant differences of any of the comparisons presented to this point.
CM reported a significantly more satisfactory reaction to this dimension than UKM. As mentioned above, benefits were not discussed in detail during the interview; consequently, it is difficult to speculate on this result.

CM were significantly more content with this dimension than UKM. The Interview results indicated that the majority
of CM had well defined responsibilities and areas of authority whereas UKM had limited discretion and were, for the most part, far removed from the decision-making locus. Furthermore, UKM had less staff, resources and structure than CM. In the Part II results a relevant statement by UKM was that 'a recognized pattern of representation in the hierarchy' was needed.

CHART 25: DOWNWARD COMMUNICATION

Downward Communication
Perceptions of the Work Environment

UKM indicated a significantly less affirmative reaction than CM. During the interview the difficulties of communication were mentioned by several UKM. This seemed to be, to some extent, a reflection of the negative image of archivists. UKM statements from Part II which supported this were the 'lowly status of (the) modern archivist - librarian has to fight battles for her' and 'no public sense of the importance of archives'.
UKM were significantly less satisfied than CM with this dimension. Salary data from the classification information showed that CM received higher salaries than UKM; the former were at least twenty-six percent higher than the latter.

**Summary**

BENEFITS and PAY were part of the context of the job, not part of the content or actual work. It seemed reasonable that UKM should be dissatisfied with their salaries since they were considerably lower than CM.

The dimensions, ROLES AND RESPONSIBILITIES and DOWNWARD COMMUNICATION, were related to the work itself and could be called content factors. Martin named 'indirect or poorly timed communication about decisions, issues' and 'poor
allocation of responsibilities' as two areas of possible conflict.\textsuperscript{10}

H. COMPARISON OF UKM WITH CM: AMOUNT OF CHANGE (C)

CM showed less change was required than UKM to twenty-one dimensions and, to one dimension, UKM felt slightly less change was required than CM.

\begin{table}[h]
\centering
\begin{tabular}{|c|c|c|c|c|c|}
\hline
Dimension & Rank Sum & Rank Sum & p-value & p-value & Archives \hline
 & UKM & CM & & (range) & requiring \hline
DC & 75.5 & 44.5 & 0.0226 & < .05 & less change \hline
RR & 72.0 & 48.0 & 0.0698 & .05-.10 & CM \hline
B & 71.0 & 49.0 & 0.0887 & .05-.10 & CM \hline
\end{tabular}
\caption{UKM WITH CM: SIGNIFICANT DIMENSIONS: C}
\end{table}

There were three dimensions which UKM indicated required significantly more change than CM: DOWNWARD COMMUNICATION, ROLES AND RESPONSIBILITIES and BENEFITS. This was the greatest number of differences of any comparison to this point.

The three dimensions which required substantially more change by UKM than CM were three of the four which UKM had perceived significantly less positively than CM in the perceptions of the work environment section. It seemed logical that these same dimensions would require significantly more change, but in the foregoing comparisons this was not the case. It was, therefore, a strong finding

\textsuperscript{10} Think proactive, p. 87.
in this comparison and indicated an awareness by UKM of the relationship between perceptions and change.

Since the reasons for the significant differences were essentially the same for the two aspects of the dimensions, the discussion is not repeated and only the frequency distributions are presented.

**CHART 28: DOWNWARD COMMUNICATION**

![Graph showing frequency distribution for Downward Communication across different responses and amounts of change required.](image-url)
CHART 29: ROLES AND RESPONSIBILITIES

Roles & Responsibilities
Amount of Change Required

CHART 30: BENEFITS

Benefits
Amount of Change Required

Summary

As noted above, it was of interest that this was the only comparison reviewed to this point in which the same significant dimensions appeared in the perceptions of the
work environment and the amount of change required. It was also notable that there were a larger number of significant differences in the perceptions of the work environment than the amount of change required in any of the three preceding comparisons. This finding confirmed that there were marked differences between the two medium-sized groups of archives, CM and UKM. The underlying cause appeared to be that more than half CM reported to senior administrative offices whereas all UKM were part of library departments.

I. COMPARISON OF UK WITH CN: PERCEPTIONS (P)

As stated at the beginning of the chapter, the objective of the climate survey was to gather data on the similarities and differences of the United Kingdom and Canadian samples of college and university archives. In addition to the foregoing comparisons, it was decided to test the aggregate of UKL and UKM (UK) compared to the aggregate of CL and CM (CN). The data was accordingly divided into two groups, fourteen UK and fifteen CN. The two-sided Wilcoxon rank sum test was applied to the means of the two groups. Only those dimensions with a p-value of less than or equal to 0.10 were considered to represent statistically significant differences. The results showed that nineteen of the twenty-two dimensions were perceived more positively by CN than UK; the remaining three were more favourably viewed by UK.
CN were significantly more positive than UK in their perceptions of three dimensions: BENEFITS, PROMOTIONS and ROLES AND RESPONSIBILITIES. It is of interest that two of these three significant differences, BENEFITS and ROLES AND RESPONSIBILITIES were the same as two of those found in the comparison of UKM with CM.

CN expressed significantly more satisfaction than UK to BENEFITS. As noted above, there was no information gathered (about BENEFITS) in the interview to explain this difference in perception between the two groups. It might be postulated that more generous benefits might have
compensated for other aspects of work. In the case of UK they might have offset the salaries which were relatively low. However, this explanation could be questioned since there was another dimension called PAY, comprised of questions which specifically addressed the adequacy of wages. A significant difference was not reported in the reaction to this dimension by UK compared to CN.

**PROMOTIONS** (definition)

This dimension included questions concerning opportunities to pursue a successful career by being aware and also able to apply for promotions, through the policies of promotion from within and through the interest shown in their career development as opposed to a lack of opportunity, policies and interest in their careers.

**CHART 33: PROMOTIONS**

CN reported a significantly more positive reaction to this dimension than UK. Due to the nature of the work,
mobility can be difficult for archivists. Most universities and colleges have few positions for archivists and relatively, many more for librarians. Consequently, there are more opportunities and greater possibilities for career progression for librarians in academic libraries because there are usually a number of departments as well as several levels of administration. Most librarian positions in academic libraries require a library studies degree or diploma. Many archivists do not have this credential and would not be eligible for librarian positions.

The location of the archives, reporting to library or to administrative offices, was examined as a contributing factor to less satisfaction. Seven CN reported to libraries and the remaining eight to administrative offices. Twelve UK were located in library systems and two reported to other offices. It seems probable that location influenced the archivists' perceptions of their work. This hypothesis was tested in the last sections of the chapter (L and M) - the archives which reported to library departments were compared with archives which reported to other offices.

During the interview the question of training and development possibilities was discussed. Some of the archivists reported their training schemes were well established while others were on an informal basis. It was of some consequence that none of the archivists described any specific career developmental plans. Sometimes this
type of planning is included in the objective and goal-setting process.

Beer discussed career development as an administrative responsibility and an important component of an institution's growth. He remarked that 'the career development process encompasses a series of experiences that stretch individuals to learn new knowledge, attitudes and behaviour.' Maher outlined six areas of challenge and opportunity for the university and college archivist. They were 'maintaining a classification system in the midst of institutional change, managing the documents of student and faculty organizations, managing students as staff, serving students as users, managing artifacts, and coping with the historical consciousness endemic to colleges and universities.'

These suggestions deal with an active approach to archival programme operation. By undertaking these types of initiatives, archivists may not receive promotions, but they can improve their programmes and, in the process, gain experience and enhance their image and usefulness. This kind of effort is referred to in the management literature as job enlargement and enrichment which results in

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11 Managing human assets, p. 85.
12 Ibid., p. 86.
13 The management of college and university archives, p. 225.
14 Ibid., p. 225.
increased knowledge and skills, greater variety, and more meaningfulness in work."^{15}

CHART 34: ROLES AND RESPONSIBILITIES

CN showed a significantly more positive reaction than UK to this dimension which is not surprising since they had a clearer idea of their roles than UK. More than half of CN had responsibility for an archive department which reported to senior management. In addition, collectively CN had more administrative responsibility represented by larger staff numbers and their own budgets.

Summary

One of the three dimensions which was found less satisfactory by UK than CN was BENEFITS, a context factor. The other two dimensions, PROMOTIONS and ROLES AND RESPONSIBILITIES, were content factors related to the work itself. There were, however, many aspects of the work which

---

were perceived favourably. The problems of promotion and job definition for archivists presented particular difficulties. One of the contributing factors was that the authority for decision-making was at the discretion of senior library administration.

J. COMPARISON OF UK WITH CN: AMOUNT OF CHANGE (C)

There were no significant differences between the amount of change required by UK and by CN. Of the twenty-two dimensions, UK required less change to ten dimensions, CN required less to another ten, and the responses to the remaining two were equal. This represents a very even division. It was the only comparison in which no significant differences were indicated.

Three dimensions were significantly less positively regarded by UK in the perceptions of the work environment section but significantly more change was not indicated by UK for any of these. For two of the dimensions, however, BENEFITS, and ROLES AND RESPONSIBILITIES, UK expressed a greater, but not significant, need for change than CN. For the third dimension, PROMOTIONS, however, UK and CN indicated that an equal amount of change was required.

It seemed curious that a greater need for change was not expressed by UK. Weldon offered an explanation when he stated that 'If anything troubles archivists, it is change. Our days are devoted to minimizing the effects of change
upon the materials we care for'. 16 Yet rapid change is affecting how information is created, stored and retrieved today. In 1988 Alan Weber stated that 'Change is the order of the day: either choose it or chase it'. 17

K. INTRODUCTION TO COMPARISON OF LL WITH NLL

The relationship between archives and libraries is an issue of some importance. For example, Burckel stated that 'The staffing of the archives and its place in the organization of the college are perhaps the most important determinant of how successful it will be'. 18 He did not, however, indicate whether the library or some other department was the preferred arrangement.

In 1989 Maher remarked that the administrative location of the archives is an important variable in its development. 19 He proposed that the location would probably affect the emphasis of the archival programme, but did not recommend the library or some other location as most desirable. 20 Wilson pointed out that 'the inclusion of

16 'Archives and the challenge of change', p. 126.
20 Ibid., pp. 344-345.
archives within university libraries militates against the
development of full records programmes'.

Maher and Wilson agreed that archives located in a
library system will have different priorities from archives
reporting to another department. Wilson, however, clearly
stressed that the relationship of archives and libraries was
essentially a difficult one since the archivists had limited
power and were sometimes several levels below the chief
librarian.

The subject of the relationship between archives and
libraries was discussed by the participants during the
interview. Many of those situated in libraries mentioned
that they encountered difficulties due to their location,
and there was a tendency to lay the blame on what they
perceived as an unequal relationship, with the library
administration having the authority to make decisions which
affected their programmes.

The results from Part II of the questionnaire re-
enforced this viewpoint. The location of archives in the
library was the third most frequently reported cause of the
combined problems of lack of resources, staff and space.
Representative comments were the 'lack of understanding of
library colleagues', and 'archives (has) a low priority
within the library'.

21 'Canadian university archives', p. 20.
22 Ibid., p. 21.
Because of these indications, it was decided to analyse the data in the climate survey to determine if there were statistically significant differences between the responses obtained from archivists located in libraries (library-located - LL) and the answers of those situated in other departments and offices (non-library located - NLL). Considering the information described in the literature and the results of the interview and Part II of the questionnaire, it was hypothesized that NLL would register a higher degree of satisfaction and indicate a need for less change than LL.

Accordingly, the data was divided into two groups, the nineteen United Kingdom and Canadian archives reporting to university and college library systems and the ten United Kingdom and Canadian archives reporting to other departments or senior management. No differentiation was made between the archives located in Canada and the United Kingdom. To test the hypothesis of a statistical difference between the two groups the two-sided Wilcoxon rank sum test was applied to the means of the two groups to determine if there were significant differences between the two groups.

L. COMPARISON OF LL WITH NLL: PERCEPTIONS (P)

Of the twenty-two dimensions compared, all were more positively regarded by NLL than LL.
<table>
<thead>
<tr>
<th>Dimension</th>
<th>Rank Sum LL</th>
<th>Rank Sum NLL</th>
<th>p-value</th>
<th>p-value (range)</th>
<th>Archives with more positive response</th>
</tr>
</thead>
<tbody>
<tr>
<td>OS</td>
<td>214.5</td>
<td>220.5</td>
<td>0.0013</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>UC</td>
<td>226.5</td>
<td>208.5</td>
<td>0.0073</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>B</td>
<td>229.0</td>
<td>206.0</td>
<td>0.0091</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>RT</td>
<td>228.0</td>
<td>207.0</td>
<td>0.0092</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>DC</td>
<td>231.5</td>
<td>203.5</td>
<td>0.0145</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>SP</td>
<td>232.5</td>
<td>202.5</td>
<td>0.0163</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>WE</td>
<td>235.5</td>
<td>199.5</td>
<td>0.0225</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>P</td>
<td>236.0</td>
<td>199.0</td>
<td>0.0251</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>O</td>
<td>239.5</td>
<td>195.5</td>
<td>0.0375</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>PR</td>
<td>242.0</td>
<td>193.0</td>
<td>0.0480</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>DM</td>
<td>242.0</td>
<td>193.0</td>
<td>0.0481</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>RR</td>
<td>242.0</td>
<td>193.0</td>
<td>0.0491</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>R</td>
<td>245.5</td>
<td>189.5</td>
<td>0.0725</td>
<td>.05-.10</td>
<td>NLL</td>
</tr>
<tr>
<td>WC</td>
<td>248.0</td>
<td>187.0</td>
<td>0.0908</td>
<td>.05-.10</td>
<td>NLL</td>
</tr>
</tbody>
</table>

NLL responded significantly more positively than LL to fourteen dimensions. This was more than the sum of the significant differences of all the other comparisons, and represented a very clear signal that LL were less satisfied than NLL with more than half the dimensions measured. (The fourteen dimensions will not be listed here as in the previous comparisons, but each will be discussed below).

**ORGANIZATIONAL STRUCTURE** (definition)

This dimension included questions to determine if the structure promoted integration and enabled the completion of the institution's mission, objectives and goals, or if there were too many or too few layers to achieve results.
NLL showed significantly more satisfaction with this dimension than LL. There were usually several layers between LL and the chief librarian. On the other hand, most NLL reported directly to senior administration which afforded them a stronger voice in the decision-making process as well as greater visibility. A relevant LL comment from Part II stated that there was 'a lack of management understanding' which signified that it was difficult for LL to obtain appreciation for needs and problems.
NLL exhibited a significantly more positive reaction to this dimension than LL. With marginal input into the planning process most LL had limited opportunity to influence decisions with respect to the allotment of the library budget. In Part II a fundamental and serious problem which characterized the position of LL was identified as 'low in priority for getting adequate equipment'. Resources of all kinds were needed by many LL and one relevant reason given in Part II was that there was a 'lack of understanding of archives needs'. This type of comment reflected the tension between the different values and practices of libraries and archives.

Emery suggested that 'Communication is not successful unless the person from whom it issues achieves his expected
purpose or results. Information or ideas do not themselves constitute communication - it is a process.\(^{23}\)

**CHART 38: BENEFITS**

NLL demonstrated a significantly more positive reaction to this dimension than LL. As mentioned above, BENEFITS was not an area that was discussed particularly during the interview.

**RISK TAKING** (definition)

This dimension included questions referring to the administration as being slow, safe, sure and cautious, as compared with being innovative, decisive and prepared to take reasonable risks.

\(^{23}\) 'The process of communication' in *Strategies for library administration*, p. 149.
LL were significantly less satisfied than NLL regarding this dimension. It was clear many felt dominated by the library administration and the generally cautious and traditional approach.

LL reported a significantly less satisfactory reaction to this dimension than NLL. Usually administrative plans and decisions had to filter through several layers to reach
LL whereas NLL were closer to the decision-making centre and were more likely to be aware of changes and new initiatives. Consequently, they had the information as well as the mandate to plan more effectively. One LL concern expressed in Part II was that there was 'no recognized procedure for representation'.

**SYSTEMS AND PROCEDURES (definition)**

This dimension included questions dealing with the presence or absence of red tape, administrative controls or excessive paper work.

**CHART 41: SYSTEMS AND PROCEDURES**

NLL recounted a significantly more satisfactory reaction to this dimension than LL. During the interview some of the latter expressed their frustration related to the difficulties of getting things done efficiently and the need to justify their actions. Because the procedures and practices in archives are different from those of libraries, it was not surprising that this was an area of tension. An
LL statement to this effect in Part II was that 'there is) a predetermined difference between library and archives'.

CHART 42: WORKING ENVIRONMENT

NLL found this dimension significantly more acceptable than LL. As archivists in a library setting, LL noted that their work was frequently misunderstood. One relevant comment from Part II was that there was a 'lack of understanding of library colleagues'.

Donald J. Morton stated that 'Improved administration of libraries offers substantial opportunities for an improved work environment. Library administrators need to learn and practice modern administrative skills and attitudes ... They ought to cultivate a greater sense of confidence in their staffs and assign them a larger role in goal setting, planning and evaluation.'

24 'Applying theory Y to library management' in Strategies for library administration, p. 269.
in Part II that LL understood these sentiments when they expressed their lack of input into the planning process.

CHART 43: PAY

NLL had a much more positive response to this dimension than LL. To compare the salaries of the two groups, the figures obtained from the classification information were calculated to determine the averages. The results indicated that NLL wages were at least thirteen percent higher than those of LL.
NLL signified a much more satisfactory reaction to this dimension than LL. Considering the atmosphere described in the interview by many LL, it is not surprising that they felt constrained to express their opinions and, furthermore, in Part II it was clear their needs for resources were frequently not fulfilled. It should be pointed out, however, that many LL were aware of the pressures on library administrators to provide increasingly expensive resources from budgets that were shrinking.
NLL expressed a significantly more affirmative response to this dimension than LL.

In discussing college and university archives, McCarthy pointed out that 'The upward mobility of archivists within library systems is quite limited.' He also observed that 'Whether by temperament, professional dedication, lack of opportunity, or lack of degree, few archivists have assumed positions of significant administrative responsibility in major libraries at any policy making level above department head.'

In the comparison of UK with CN described above, UK had a significantly less positive perception of PROMOTIONS than CN. It was suggested that this might be due to the location

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25 'Archives under library administration: points of convergence and conflict' in Archives and library administration, p. 25.

of the archives and that the hypothesis would be tested in this section. The results of LL compared with NLL confirmed the results of the UK with CN comparison.

DECISION-MAKING (definition)

The questions included in this dimension concerned the promptness, deliberation, consistency, firmness and wisdom of the administration's decisions and their effect on work, compared with procrastination, inconsistency, lack of firmness, and incorrect or unwise decisions.

CHART 46: DECISION-MAKING

LL responded significantly less positively to this dimension than NLL. It was evident during the interview that many LL were dissatisfied with the decision-making process as it affected their programmes. A problem identified in Part II illustrated this as 'the limitation of being placed administratively in the library', and relevant causes were the 'dysfunction of having archives in the
library' and the 'lack of (a) clear path to change priorities'.

NLL indicated a significantly more positive reaction than LL to this dimension. The lack of resources and staff were two of the major problems documented in Part II and one relevant LL comment was the 'lack of mandated authority'. Almost all NLL administered a budget and a sizeable department which gave them more responsibility and control of their programmes.

**WORKING CONDITIONS** (definition)

This dimension included questions dealing with the work environment such as noise, work areas, essential privacy, as well as provisions for comfort, safety and the health of employees.
LL viewed this dimension significantly less positively than NLL. The differences in the WORKING CONDITIONS of the two groups were obvious. Two relevant problems identified by LL in Part II were 'poor physical environment' and 'isolation'. It was evident during the visits that the majority of NLL had large, often spacious offices, whereas LL had much less adequate accommodations.

In Part II one of the four most serious problems, lack of space, was reported by eleven archivists. Three were from NLL while the remaining eight were LL. Three of the causes given for the lack of space were 'low on library priority list for refurbishing', 'failure to identify continuing growth of archives', and 'low priority compared with other building requirements'.
REWARD SYSTEM (definition)

The questions included were related to the existence of favouritism in granting raises and promotions, recognition, and reward for good work, and general fairness in reward for merit.

CHART 49: REWARD SYSTEM

NLL indicated a significantly more satisfactory response to this dimension than LL. There was evidence in the interview and in the answers to Part II that most LL perceived their location as a difficult and sometimes unrewarding situation. The causes cited in WORKING CONDITIONS (Chart 48) illustrated how many LL regarded their priority and status under library administration.

Summary

Reviewing the fourteen dimensions, it was concluded there were two general areas that were significantly more positively perceived by NLL than LL. A convenient way of
summing them up is to divide them into the context factors (non-job related) and the content factors (job related).

Context factors include interpersonal relations, supervision, company policies, pay, working conditions, status, security and personal life.\(^{27}\) Nine of the fourteen dimensions satisfied this definition: ORGANIZATIONAL STRUCTURE, BENEFITS, RISK TAKING, SYSTEMS AND PROCEDURES, WORKING ENVIRONMENT, PAY, DECISION-MAKING, OPENNESS, and WORKING CONDITIONS.

LL perceived they had limited involvement in the administrative processes. This is consistent with the comment in Part II that LL had 'a low priority in the library'. Administration was viewed as slow and cautious and the structure was often unsatisfactory. Inherent in these perceptions is that LL had less responsibility over the planning of their programmes than NLL.

Content factors consist of achievement, recognition, responsibility, advancement and growth in competence.\(^{28}\) The five dimensions which fell into this category were UPWARD COMMUNICATION, REWARD SYSTEM, PROMOTION, DOWNWARD COMMUNICATION and ROLES AND RESPONSIBILITIES. This result indicated that LL enjoyed the archival work but found some

\(^{27}\) Maurice P. Marchant, 'Motivation and job satisfaction' in Strategies for library administration, p. 266.

\(^{28}\) Ibid., p. 266.
of the content factors which influenced their situations less satisfactory than NLL.

It was noteworthy that many of the dimensions which were not significantly different were the less tangible aspects of the work itself, such as personal influence and individual responsibility. This further confirmed that LL enjoyed certain aspects of their work but were generally less contented than NLL.

M. COMPARISON OF LL WITH NLL: AMOUNT OF CHANGE (C)

NLL required less change to twenty-one of the twenty-two dimensions compared with LL; less change was required by LL compared with NLL on the remaining dimension.

CHART 50: LL WITH NLL: SIGNIFICANT DIMENSIONS: C

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Rank Sum LL</th>
<th>Rank Sum NLL</th>
<th>p-value</th>
<th>p-value (range)</th>
<th>Archives requiring less change</th>
</tr>
</thead>
<tbody>
<tr>
<td>B</td>
<td>350.0</td>
<td>85.0</td>
<td>0.0022</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>OS</td>
<td>338.0</td>
<td>97.0</td>
<td>0.0155</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>R</td>
<td>329.5</td>
<td>105.5</td>
<td>0.0422</td>
<td>&lt; .05</td>
<td>NLL</td>
</tr>
<tr>
<td>SI</td>
<td>325.0</td>
<td>110.0</td>
<td>0.0681</td>
<td>.05-.10</td>
<td>NLL</td>
</tr>
<tr>
<td>DM</td>
<td>324.0</td>
<td>111.0</td>
<td>0.0751</td>
<td>.05-.10</td>
<td>NLL</td>
</tr>
<tr>
<td>P</td>
<td>322.5</td>
<td>112.5</td>
<td>0.0869</td>
<td>.05-.10</td>
<td>NLL</td>
</tr>
</tbody>
</table>

LL registered that significantly more change than NLL was required to six dimensions - twice the number of significant differences found in any other comparisons of the amount of change. Compared with NLL, LL were significantly less satisfied with fourteen dimensions in
their perceptions of the work environment. There was some relationship between these dimensions and the dimensions which required more change.

**CHART 51: BENEFITS**

<table>
<thead>
<tr>
<th>Benefits</th>
<th>Amount of Change Required</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Percentage of Responses</td>
</tr>
<tr>
<td></td>
<td>1</td>
</tr>
<tr>
<td>no change required</td>
<td></td>
</tr>
<tr>
<td>extensive change required</td>
<td></td>
</tr>
</tbody>
</table>

LL expressed a need for significantly more change to this dimension than NLL. Lack of resources was cited as the major problem in Part II and most of the archivists recognized that additional support was unlikely to be forthcoming. Therefore, BENEFITS might have been suggested as a possible area for change, because they are generally determined, not by the library administration, but by the university or college administration, or bargained for by staff associations.
NLL signalled the need for significantly less change than LL to this dimension. It was clear that LL were dissatisfied with their position in the library hierarchy. Consequently, a different structure, one which would place LL closer to the decision-making level, represented a change necessary to provide more authority. The 'archives (has) a low priority within the library' was an LL remark from Part II which expressed the difficulties they encountered.
NLL expressed significantly less need for change to this dimension than LL. This was understandable given that LL perceived the archives function as sometimes misunderstood by the library administration. In describing an equitable reward system Edwin Rausch suggested the following guidelines: distributing increases and other incentives in a fair way among staff members, acquiring the best benefit package, providing career counselling and choosing candidates for promotion in an impartial way.\(^{29}\) The author added that these objectives should be administered in an environment where staff members can voice their opinions and also have information regarding the realities of the administrative situation.\(^{30}\)


\(^{30}\) Ibid., p. 244.
SUPERVISOR'S INFLUENCE (definition)

This dimension included questions referring to the extent employees perceived that their supervisors have influence with higher level administration in the institution.

CHART 54: SUPERVISOR'S INFLUENCE

LL responded that significantly more change was required than NLL to this dimension. The problems of lack of resources, a poor image and low priority were identified in Part II, and many LL expressed the opinion that their supervisors had little influence to change the situation. It was understood that all departments scrambled for a share of the diminishing funds. A relevant comment from Part II was 'the lack of a committed senior'.
LL wanted significantly more change to this dimension than NLL. Their position in the library systems did not offer much opportunity to contribute to the planning process and, as one LL in Part II stated 'The insensitivity of (the) administration (concerning) the importance of maintaining a good archive'.
Significantly more change was required by LL to this dimension than NLL. In spite of the fact that LL had approximately the same amount of records to manage, relatively they were paid considerably less than NLL. Collectively, the latter received salaries that were at least thirteen percent higher than the former. This was a remarkable and tangible result which was based, not on inference, but on factual evidence.

Summary

Of the six dimensions which LL indicated required significantly more change than NLL - BENEFITS, ORGANIZATION STRUCTURE, REWARD SYSTEM, DECISION MAKING and PAY - five were regarded significantly less positively in the perceptions of the work environment comparison with NLL. The sixth dimension, SUPERVISOR'S INFLUENCE, however, was not significantly different in the perceptions of the work environment comparison. In fact, it was not found in any of the other comparisons.

N. CONCLUSION

The climate survey results provided information about the archivists' perceptions of their work environment and the amount of change required. This data corroborated the findings presented in earlier chapters. For example, there were many aspects of work which all groups of archivists perceived positively but there were a number of aspects which presented difficulties. The relationship of the
archives and the library was clearly a fundamental element in the dissatisfaction some archivists expressed.

In 1993 Dearstyne stated that 'The archivist in a library setting may feel unappreciated - and underfunded. In the competition for already scarce library resources, the historical records program may not be regarded as a priority.'

LL appeared to enjoy their work but were frustrated and constrained by the lack of control over their work environment. As far as the amount of change required was concerned, the emphasis was on the context factors.

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31 The archival enterprise, p. 41.
CHAPTER X: CONCLUSION

The problem of the paucity of research into the management of archives was raised in Chapter I. Much of the archival literature relating to management practices in archives is derived from impressions and assumptions rather than being based on systematic research. The management of archives, the planning, organizing and evaluation of work, has tended to be a controversial topic. Research is needed to understand the nature of archives so that they can be managed more effectively, particularly in this period of increasingly rapid social and technological change.

A. OBJECTIVES OF THE RESEARCH

This thesis was undertaken to address the scarcity of investigation into the management of archives: therefore, the objective of the research was to explore and diagnose the administrative practices of archives. Data was gathered about the archivists' perceptions of and responses to the changing working environment.

B. METHODOLOGY

The methodology consisted of two instruments discussed in Chapter II and administered to the random samples. One was the interview format of questions about the archives
management practices. The second procedure was a three part-questionnaire: Part I, a climate survey; Part II, written answers regarding the most favoured aspects of work and the most serious problems; and Part III, questions about classification information. A pilot project, which consisted of visits to selected archives, was undertaken to test the methodology and was discussed in Chapter IV. After modifications were made, on-site visits to the participating archives were arranged and carried out to gather the research data.

C. PARTICIPANTS

The establishment of the two populations of United Kingdom and Canadian college and university archives and the selection of the random sample were presented in Chapter III. A previous survey was the basis of the United Kingdom population and a new survey was undertaken to establish the Canadian population. For both groups, the samples represented thirty-eight percent of the total number of university and college archives which equates to the following: forty-four percent of both the United Kingdom (UKL) and Canadian (CL) large-sized archives, and forty-two percent of both the United Kingdom (UKM) and Canadian (CM) medium-sized archives.

D. CONCLUSIONS

The findings were presented with relevant discussion in Chapters V to IX. The conclusions are a summary of the principal results.
1. **Resources**: The overarching problem which permeated the archives was a product of the increasing difficulty of acquiring funding to provide adequate human, material and financial resources. Cutbacks and disappointments were the norm, especially for the library-located archives which were severely disadvantaged, not only by the deteriorating fiscal situation but also by their limited input into the planning process. The autonomous units, which reported to senior management, were relatively more fortunate but were mindful of the budgetary problems which had seriously affected their resources. There was the spectre of even greater future financial problems as well as an increasing dependence on external grants, a notably unreliable source of funds.

   The impact of diminishing financial support to universities was a key focus of discussions during the visits. The findings showed that lack of resources comprised three of the four most frequently identified problems. The shrinking income was often cited as the reason for not undertaking various activities, for example, improved user-services and records management programmes.

2. **The Environment: External Changes**

   Archivists are responding to a rapidly changing environment characterized by new innovations and
unanticipated shifts which can signify both opportunities or problems. There was little evidence in the results that the majority of the archivists were confidently or externally focused. Their responses to the changes occurring were generally reactive, not quite a wringing of hands but certainly not a ringing of bells, except perhaps warning bells. Most of the participants were very concerned with practical matters. Trying to make headway with processing backlogs, endeavouring to acquire additional space and satisfying increasing research requests were three of the principal preoccupations.

The external changes affecting archives were raised in Chapter I and the conclusions from the research are summarized below.

a. **Electronic Revolution**: Most of the archivists were aware of the impact of the electronic information revolution. A limited number had utilized electronic capabilities to institute programmes of registering and processing records. In the majority of cases, however, the lack of resources and the sometimes seeming lack of desire made it difficult to undertake major initiatives utilizing new computer techniques.

b. **Information Management**: Not a great deal of concern regarding the development of information management was expressed by the participants. There was, however, considerable interest in records management, particularly among the Canadian participants. The small percentage of
archivists with records management programmes stemmed, not only from the lack of resources, but also from the dichotomy between archivists and records managers. A striking finding was that the archives with comprehensive records management programmes were autonomous units.

c. **Volume of Records**: Most of the archivists were very aware of and concerned about the increasing volume of records. The lack of resources was perceived as the root of the problem of inadequate space to house the records and again, it was the archives situated in library departments which encountered the most difficulty.

d. **Legislation**: The reactions to the new legislation regarding freedom of information and privacy were mixed. Some archivists thought the new regulations might have a positive influence and result in more interest from the university administration. Others speculated that a consequence could be additional work since careful checking and consultation with higher authority might be required prior to the release of records.

e. **Increase in Researchers**: The participants, for the most part, were aware of the increase in the number of researchers and felt it strained their already limited resources. In many cases it was difficult to provide a satisfactory level of service and there was no possibility of acquiring additional staff. The effect of increased student enrolment was not mentioned as contributing to the increase in the volume of researchers.
3. Three Archival Issues

Three archival issues were raised in Chapter I. The conclusions from the research are summarized below.

a. Image: The issue of the archivists' perceptions of their image as inconsequential and the low priority of archives was verified in the findings from Part II: the seeming lack of priority in the university hierarchy and the powerless image were advanced as one of the leading causes of the lack of resources and as the leading cause of administrative problems.

The findings clearly confirmed the impression, found abundantly in the literature, that archivists have a 'colossal inferiority complex'.1 Many of the participants were convinced their unsatisfactory image contributed to their low priority, and vice versa, which resulted in a frustrating working environment. The results showed that this was particularly true of archivists located in library departments.

Some of the archivists regarded their situations as hopeless and their priority and image seriously flawed. The notion, however, of marketing the archives, of adopting a more 'commercial' approach, was seldom mentioned as a possible solution. The literature was replete with examples of archivists' grievances about being misunderstood or

undervalued. One assumption was that this unfortunate image was externally imposed. Another assumption was that archivists are tentative with respect to change. The findings confirmed the archivists' yearning for a more impressive image and also illustrated their reactive approach to change and innovation. It was demonstrated that the image was not totally externally imposed but was, at least in part, a product of the archivists' hesitant attitude towards change: there appeared to be a causal relationship.

b. **Archive/Library Relationship**: The findings, with respect to the issue of the relationship of archives and libraries, demonstrated that archives located in library departments had less resources and responsibility than those which reported to other offices, usually senior administration.

The climate survey results reinforced other findings with respect to archive/library relationships. The findings strongly confirmed that archives located in libraries were much less satisfied with their work environment and required more change than archives which had autonomous status.

There were marked differences in the salaries of archivists located in libraries and those in autonomous units. The former were notably lower than the latter. It was also shown that the independent units had considerably more staff members than the archives in library departments.
The results forcefully confirmed the conjecture that archives reporting to library departments are almost bound to have difficulties since they are competing, generally from a rather powerless position in the lower echelons, for increasingly scarce resources. It was also demonstrated that the byproducts of the archive/library relationship were frequently tension and uncertainty for the archivists. The autonomous units had independent status and, almost without exception, enjoyed more responsibility, resources, and well-defined working arrangements which afforded freedom of action as well as the mandate to plan current and future initiatives. The findings also confirmed the assumption that, if an archives is situated in a library, the possibility of developing a records management programme is very unlikely.

c. Education and Training: The third issue was the education and training of archivists. The results showed that the predominant subject of study at the undergraduate and graduate level was history, or history together with another subject. The majority of the participants had received archival training; it varied from postgraduate programmes and short courses to on-the-job training.

A number of archivists identified the need for more training in management skills which illustrated acknowledgement of their lack of expertise in this area. Most of the archivists, however, were prepared to accept the status quo. There were a few notable exceptions who displayed a more confident approach, a willingness to swim
upstream and, not surprisingly, they were remarkably successful.

4. **Comparison of the United Kingdom and Canadian Archives**

The principal similarities and differences between the two groups of archives investigated are summarized below.

a. **Purpose**: The most consistent similarity was the way in which the archivists related to their work. The common purpose and understanding of the various functions of archival work as well as the common vocabulary were evident during the visits. In addition, the aspects of work which were most favoured and the most serious problems were similar for the United Kingdom and Canadian archivists. The general public may be unaware of the rationale for preserving records, but the vast majority of the archivists were dedicated to their work and well acquainted with the importance of their occupation to safeguard, interpret and make available the collections in their care.

b. **Reporting Relationships**: The most outstanding differences were between the archives which reported to library departments and those which were autonomous units. Of the Canadian sample, more than fifty percent were independent units; of the United Kingdom, about fourteen percent were independent units. Almost all the autonomous archives had more resources and staff, administered their own budgets, and had the mandate necessary to plan, organize and implement programme activities. The salaries of archivists
in independent units were higher than those of archivists reporting to library departments (presumably because they had more staff and more authority).

c. Documented Processes: A comparison of the findings clearly demonstrated that the Canadian archivists placed importance on having supporting documented policies, procedures and management practices. Not surprisingly, the most extensive and detailed materials were provided by the autonomous departments. Only one question in the interview format was answered affirmatively by all archivists in the four groups: the preparation of an annual report.

The overall conclusion was that the Canadian archivists had more structure and definition in their management practices. A greater percentage of the participating Canadian archives were independent units and consequently, were less likely to rely on the documented processes of library departments.

d. Records Management Programmes: A small percentage of the archives in the samples had comprehensive records management programmes - for all four groups together the total was twenty-five percent. One notable finding was that the four Canadian archives with records management programmes were all located in Quebec. This was due to an historically different approach: records management activities represent an important component of Quebec archives and the provincial law requires that programmes be maintained by public organizations. Furthermore, in this French-speaking
province archives are managed differently; there is a strong imperative to preserve the unique historical and cultural heritage.

e. Management Processes:

i) Mission Statements: Most Canadian archivists had mission statements whereas fewer of the United Kingdom participants had a written mandate and, in many cases, it was the mission statement of the library department. This may have been a contributing factor to the Canadian archivists, especially those in independent units, being more satisfied with the work environment. If the purpose of a programme has been carefully thought through and documented, a positive outcome is more likely. A statement of purpose cannot guarantee success but it is a critical part of the management process, particularly when it includes future aims which provide a blueprint for introducing change.

ii) Goals and Objectives: Very few of the archives, either Canadian or United Kingdom, had documented goals and objectives. To be an effective management tool, goals and objective should be carefully negotiated, written down, and reviewed and evaluated on a regular basis. Otherwise, they tend to be rather vague and superficial and are not very useful in managing effectively, particularly in a volatile environment. More than half the archivists did not utilize a planning process to manage current and future initiatives but tended to respond reactively.
Because work is dynamic, and the unexpected is almost bound to happen, realistic, challenging long-term goals enable managers to adjust to the positive or negative realities of the work situation. If, for example, extra funding is received - a welcome event - or a staff position is eliminated - a less agreeable occurrence - well-established goals will make it easier to accommodate to either circumstance. What is required to manoeuvre successfully in the current environment of rapid change is a clearly articulated destination, a confirmed travel plan and a tolerance for ambiguity.

f) Attitude to Change: Administrative issues were the second most often named problem, which indicated that the archivists were aware that their programmes were not effectively managed and required a different approach. There were, however, few practical solutions offered for the problems raised.

In the comparisons of the climate survey findings there were very few dimensions which the archivists perceived as requiring a great deal of change. This confirmed that most of the participants did not relate the dissatisfaction they perceived in their working environment to the need for change.

It is threatening and difficult to introduce change in most occupations and, in can be argued, it is antithetical to the basic purpose of archival work. Many of the archivists in the study either disregarded or resisted the
need for change, an unfortunate strategy and, ultimately, a short-term tactic. It was evident that the majority were disinclined to 'rock the boat', even those - and sometimes especially those - in the most deprived situations.

Archivists are not usually trained to deal effectively with change. Introducing new ways of accomplishing tasks or undertaking new initiatives is a difficult, time-consuming and often discouraging task. It takes time and energy to successfully initiate change. Firstly, the current situation should be carefully diagnosed; secondly, the plans should be carefully worked out, and thirdly, the changes should be well understood not only by the archives staff members but also by other departments or units which use the archives facilities. Even with the best will in the world, careful planning and implementation, unanticipated consequences can occur.

E. RECOMMENDATIONS

Archivists and resource allocators should be aware that the role of the archivist needs to change in today's increasingly turbulent environment. Archivists are struggling, on the one hand, to respond to a variety of external pressures and, at the same time, to resolve perplexing internal issues. This dilemma is demanding and consists of balancing internal strengths and weaknesses and external threats and opportunities.² A more pro-active and

flexible management approach is recommended as well as an investigation of the education and training needs of archivists to meet current and future demands.

The research in this thesis can be useful to archivists, particularly those working in university and college archives. It provides the first step to introducing a change programme - the diagnostic phase - for administrators and resource allocators who are reviewing already established archives or considering creating archives. The recommendations which follow offer a number of practical solutions to the major problems advanced by the archivists. It should be noted that some of the archives visited were utilizing many of the recommendations and had first-rate programmes.

1. **Resources:**
   a) **Archivists should lobby senior management to acquire more resources** by written and personal presentations, emphasising the importance and value of archives for the short- and long-term. A useful vehicle to justify additional resources would be an enhanced annual report containing a good deal of quantified data. Other measures could include relevant articles in academic and other journals and in university newsletters and informational brochures. It is critical, however, to investigate ways to accomplishing more with less as there may be no additional resources. Two possibilities are engaging volunteers who can provide needed assistance and using students to undertake projects for course credits.
b) **It is important to pursue strategic alliances** with other departments and disciplines, particularly those which can provide support and information: for example, staff members in the management or commerce faculties, computer departments and centres, library systems and library schools and information systems departments. In addition, strategic alliances with relevant organizations, associations and government agencies outside the university should be fostered.

c) The **investigation of external funding opportunities** is an important strategy to securing resources. Writing winning proposals is an important skill and, once mastered, can be utilized as opportunities arise. Colleagues with successful track records in this area will often provide helpful advice and counsel. Statistical data on archive activities is useful in the preparation of proposals as it is more forceful than vague or general descriptions.

2. **Responding to the Environmental Changes**

a) **Archivists should utilize new computer techniques**, including taking courses to gain expertise. Relevant programmes are frequently offered by university computing centres or other departments. Advice about new developments can be learned from colleagues as well as from computer experts and from becoming familiar with, and a part of, the information highway. Some university computer centres will provide consulting services to university departments, either free or at a reduced rate. Unique solutions are sometimes required to computerize archival processes. The
implementation of user-friendly systems which researchers can use themselves will provide better service as well as providing the archivists with time for other work.

b) The exchange of problems and successes with colleagues and other information management specialists is an important tactic, for example, records managers, librarians and information systems practitioners. Shared presentations, workshops and conferences can be arranged to provide information on new developments. Frequently these events can be organized within the university and sponsored by equipment manufacturers or subsidized by other organizations or interest groups (for example, friends of the archives associations). The utilization of special, regional and national newsletters and journals as well as those of allied professions can provide useful forums to share ideas.

c) A careful examination of the area of collecting should be made and a practical, concrete plan for selective collecting and weeding developed. This should be documented in a new or revised collection policy. To divide specialized areas of collecting, archivists can help to establish or strengthen local, regional or national groups, stressing cooperation. Archivists should be prepared to transfer collections to more appropriate locations, and to accept materials consistent with their special collections. Archivists can urge senior management to underwrite a records management programme, emphasizing the long-term benefits of systematically collecting, processing and
destroying (or retaining as archival materials) administrative records.

d) **An effort to influence senior management regarding the importance of legislation** should be made (freedom of information, protection of privacy and copyright regulations). It is important to explain that mistakes can be extremely costly to the university and to forward examples of problems in other archives which have been publicized in newspapers and other forums. This lobby should emphasize the need for resources to maintain an appropriate level of control and to keep staff abreast of new developments.

In consultation with colleagues, senior management and the university's legal representatives, relevant policy for the archives should be established. Involving the upper echelons can increase their awareness of the problems inherent in the legislation as well as advancing their commitment to the archives.

e) **User-services should be streamlined.** For example, research requests can be prioritized on the basis of urgency. A system of charges can be introduced with a sliding scale based on the immediacy of the questions. Since requests are frequently repeated, well-organized files of recurring questions are very useful. A comprehensive brochure, outlining the collections and the procedures for researchers, will eliminate many repetitive questions. It is perhaps simplistic to suggest that archivists should resist
the temptation, frequently an appealing prospect, to undertake extensive research for users. It is important to keep comprehensive user statistics. Every archive should have a reasonably detailed form for visitors to complete to provide information for the annual report as well as data to substantiate requests for additional resources.

3. Image

a) It is vital that archivists gain more visibility by stressing the value of archives to senior management. Articles and reports can be prepared which emphasize the usefulness of archives in providing critical information to administrators. A high priority should be placed on providing materials to decision-making groups - for example, senate - and to answering questions thoroughly and thoughtfully.

b) Archivists should become involved in university committee work, at the highest possible level, for example, as a member of senate and of other senior decision-making groups. In addition, becoming involved in other committees can provide forums for informally publicizing the archives. In short, more visibility will enhance the image of archivists.

c) The archives can be demystified by outreach activities, including orientation for students and the general public, which stress the value of archives as sources of information. This is most effective if it is done on a
formal basis. Students or volunteers can help with this activity if staff are not available.

d) A balance between historical expertise and management skills should be sought. All research requests should be received with equal enthusiasm: frequently, genealogists can be the most fervent supporters of archives.

e) It is important to provide an external focus which relates to university and community activities, thereby promoting the value of archives. For example, exhibits should be topical and innovative. Encouraging faculty and department exhibits, utilizing their cooperation and involvement, can help publicize the university and the archives, gain exposure for the archives and win friends in the process.

f) Archivists need to become skilled in public relations activities by learning from the tactics employed by successful colleagues in allied disciplines. This approach may be repugnant to some archivists but, in to-day's uncertain climate, perception is reality and improving the archives' image may be a key element to survival.

g) Change should be regarded as a challenge, not as a menace. Today most people have concerns about change and it is difficult for some archivists to embrace the value of changing the way work is accomplished. It may, however, be a critical component to continuing existence. Developing strategic alliances and learning how to introduce change
from other professionals can make the process less threatening.

4. **Relationship between Archives and Libraries**
   a) **It is vital to lobby for an independent archives** by pointing out the advantages of a well maintained programme to the university administration. The proposal should be substantiated with concrete examples, facts and figures.

   b) **It is important to convince senior managers of the importance of archives** by emphasizing that costly problems can occur if the archives are not well maintained. Again, the use of concrete examples, stressing the unique information which is critical to the decision-making process of the university, can help to persuade senior managers.

5. **Education and Training**
   a) **Archival education can be enhanced with more cross fertilization with other disciplines**, for example, library and information studies, management and commerce faculties, computer centres and systems departments. Archivists should be encouraged to learn and share with other information specialists.

   b) **It is important to have consistent training with recognized professional credentials**. To improve the possibility of promotions, education and training should be designed to be suitable for a variety of archival and allied information specialist positions. Emphasis on acquiring
transferable skills - for example, the ability to manage effectively - would enlarge archivists' future prospects.

c) Archivists should work towards strengthening special, regional and national organizations as forums for encouraging better education and training which are consistent with the current environment of increasingly rapid change. Archivists can contribute by serving on committees to encourage better education and training.

6. Programme Management
a) Management expertise can be gained from university courses, particularly those offered by management faculties. Professors and lecturers are frequently willing to provide expert advice on planning programme activities. Students, especially those at the graduate level, can furnish free consultancies which they can use as course assignments.

b) It is important to develop a mission statement and goals and objectives. Utilizing the experience of colleagues in allied disciplines as well as texts which contain templates can help to introduce these activities.

For the goal setting exercise it is critical to examine and prioritize what can reasonably be accomplished and to eliminate tasks which cannot be fulfilled. The current mandate of most archivists is doing more with less. The goals and objectives need not be an elaborate undertaking: it has been found, when even the briefest goals are documented - on scraps of paper, for example - the
likelihood of successful accomplishment is greatly increased. Involving staff and supervisors in the process is a key element to gaining their input and commitment to the process.

The cyclical nature of the goal setting exercise, planning, reviewing and evaluating, should be carefully followed for maximum benefit. The one caveat is to attempt goals which are achievable and not to be too ambitious. It takes time to implement change and especially to introduce new systems which are unfamiliar to many archivists.

c) All key activities should be documented. They should be reviewed as changes occur and revised to reflect current practices. There are excellent texts today which provide templates which can be modified to suit local situations. In addition, keeping statistics consistently can provide valuable data on archival programme operation.

F. CONCLUDING COMMENTS

The limitation of the research in this thesis is that all possible questions could not be addressed. Furthermore, the study is limited to university and college archives in the United Kingdom and Canada. The need for more studies, designed to furnish quantitative and qualitative data about the management of archives, is recommended. Research should be conducted to provide further insight into the management processes of archives, to understand the nature of archives and to build a body of information. Determining the
appropriate management skills for archivists would be of particular interest since change is needed to either negotiate additional resources or to manage existing assets more effectively.

Other important areas of research include the many issues related to archival education and training, and the investigation of the image of archivists and how it might be improved. The reasons why Quebec university and college archives are so successful should be studied as, to date, there has not been an in-depth examination of this topic. There may be elements of their programmes which could be replicated in other archives.

In 1992, Gabriel O. Alegbeleye summarized the current archival situation when he stated that 'Perhaps management principles have never been needed in the management of archival resources more than now - with dwindling resources and ever-increasing materials to control.'³

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DIMENSIONS - ABBREVIATIONS USED IN CHAPTER IX *

AT - AVAILABILITY OF TRAINING
B - BENEFITS
C - CHANGES TO THE UNIVERSITY OR COLLEGE
DC - DOWNWARD COMMUNICATION
DM - DECISION-MAKING
I - IMAGE OF UNIVERSITY OR COLLEGE
IFC - INTER-FUNCTIONAL COOPERATION
IR - INDIVIDUAL RESPONSIBILITY
O - OPENNESS
OS - ORGANIZATIONAL STRUCTURE
P - PAY
PI - PERSONAL INFLUENCE
PR - PROMOTIONS
QS - QUALITY STANDARDS
RS - REWARD SYSTEM
RT - RISK-TAKING
RR - ROLES AND RESPONSIBILITIES
SI - SUPERVISOR'S INFLUENCE
SP - SYSTEMS AND PROCEDURES
UC - UPWARD COMMUNICATION
WC - WORKING CONDITIONS
WE - WORK ENVIRONMENT

* The abbreviations are in alphabetical order.