

MAINE STATE LEGISLATURE

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Documenting our Heritage: Historical Records in Maine

**A Report to the 120th Maine Legislature
On the Condition of Historical Records in Maine**

February 1, 2002

"Knowledge will forever govern ignorance: And a people who mean to be their own Governours, must arm themselves with the power which knowledge gives."

-- James Madison, letter to W.T. Barry, 1822.

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Executive Summary

INTRODUCTION

This report is a response to LD 1020, which gave the Maine State Archives and the University of Maine a mandate to develop “a comprehensive plan providing for assessing:

1. The condition of historical records in the State;
2. Threats to the integrity of those records; and
3. Accessibility of those records.”

The report is based on a number of studies and surveys of archival repositories in Maine, professional archival literature, and on communications with professionals with responsibility for collecting, preserving, and providing access to historical records relating to Maine.

CONDITION OF RECORDS AND THREATS TO THEIR INTEGRITY

One-third (about 67 million pages) of the state’s historical records are spread among about 200 relatively small, understaffed repositories.

There is a massive volume—more than 202 million pages—of historical records in the state’s over 240 public repositories. There is also a significant, perhaps equal, volume of materials held by municipalities, churches, businesses, and other organizations as well as by individuals and families that are not part of any archival program. The condition of the historical materials in the second category could not be assessed for this report.

Of the records held in public repositories, approximately one third are held in approximately 200 relatively small institutions, staffed primarily by volunteers. The preservation of most of the paper records in these small repositories, as well as some in larger ones, is threatened by absence of climate control, fire suppression and security systems, and by the lack of staff with training in archival procedures. The losses resulting from this lack of archival infrastructure are significant:

- Since statehood, more than 175 municipalities have lost records due to natural disasters.
- Nearly 20% of repositories lost historical records in a recent three-year period.

Despite the long-term threats to these records from improper storage, mishandling, theft, and disaster most of these paper records will survive for several decades without significant

intervention. In fact, the modestly funded grant and training programs administered by the Maine Historical Records Board and the State Archives have significantly mitigated the deterioration of many of these records, preventing a crisis situation from developing.

There is, however, a more immediate threat to the historical records of the state, affecting both large and small repositories that will require a more significant response, if the historical records of the state are not to be left in jeopardy. This is the challenge posed by the non-paper media that already constitute a significant component of the historical materials about the state and comprise a rapidly growing percentage of current records, which (if they survive) will be historical records in the future. These include a wide variety of materials, including electronic media, motion pictures, phonograph records, audiotapes and videotapes. These not only deteriorate much more quickly than paper—with digital media having a reliable life of only 2-5 years—but their use is dependent upon equipment, operating systems, and software that quickly become obsolete. Because of these rapid changes, media archivists have likened their job to wrestling an octopus.

**a more
immediate threat
is the challenge
posed by non-
paper media**

Archivists responsible for digital records face all of these and the further challenge of ensuring over time the authenticity and integrity of documents that can easily be modified or deleted, either accidentally or deliberately.

Such challenges must be addressed by programs that support media preservation and, in the case of electronic records, ongoing programs that ensure the capture and preservation of records as soon as they are created. Northeast Historic Film and the Maine Folklife Center have expertise and offer services in the preservation of sound recordings and moving images respectively, though most repositories can afford to use their services only selectively, if at all. There, however, are no functioning electronic records programs in the state.

ACCESSIBILITY OF RECORDS

The degree to which the state's historical records are publicly accessible varies greatly. Clearly, those that are in private hands are not accessible to the public. There is often very limited access to those that are held in small repositories, because they do not have the space to allow for use by researchers. Those records in the larger repositories are generally available for use, however, researchers may have difficulty locating them because they are not cataloged, there are no archival inventories, and because there is no central

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online site from which to begin searching for historical materials in Maine.

Access to Maine's historical records could be significantly enhanced if all collections were cataloged in Maine InfoNet or URSUS; if there were inter-repository agreements between small repositories and larger ones to allow for the temporary loan of collections when they need to be used by a researcher; and if archivists and librarians in the state developed standards to facilitate the development of a statewide search engine for online archival inventories.

RECOMMENDATIONS

The following recommendations are based on the findings in this report.

An Agenda for Legislative Action

Statutory Changes

Establish the Maine Historical Records Advisory Board

The Maine Historical Records Advisory Board was established by Executive Order in 1989. (See Appendix H.) A more permanent statutory designation would insure the Board's continuation and provide it with increased status as it attempts to carry out its mission.

Appointment of a state task force to investigate the impact of digital technologies on the critical records of local governments.

It is clear that both state and local records have been lost because of the problems with electronic record keeping. It is important to determine the extent to which these may involve records that are vital to the ongoing functioning of the local government, that document rights and responsibilities of individuals in their jurisdiction, or that are important for other reasons.

Enforcement of Local Vault Requirement

Amend 5 MRSA 95-B as follows:

2. Safe or vault for preservation. Each local government shall provide a fireproof safe or vault for the preservation of all records that must be retained permanently but are not required for business purposes. The official having responsibility for those records shall deposit them in the safe or vault where those records must be kept except when required for use. [1997, c. 636, §8 (amd).] Beginning in 2002, each local government shall respond to a survey distributed biennially by the State Archivist requesting 1) a description of the fireproof

safe or vault required by this section, 2) a statement of the adequacy of the safe or vault for the preservation of records that must be retained permanently, and 3) a plan, if any, for the establishment or enhancement of a safe or vault to comply with the requirements of this section. The State Archivist shall report the results of these surveys to the Committee on Education and Cultural Resources.

Enforcement of Local Digital Records Requirement

Establish a survey and reporting requirement (similar to that for safes and vaults) regarding local governments' adherence to proper standards to insure the survivability of, and access to, public historical records in digital format.

State Funding

Digital Records Management Position

After years of requests with no results, this position should be filled as essential to executing the existing, detailed State Digital Records Management Plan, outlining the problems of managing those records and proposing techniques to preserve them. Otherwise, the loss of expensive and important digital records, created by the State, will continue.

Grants for Local Repositories

The Legislative New Century Community Program had a great impact on the preservation of Maine's historical records in FY 2001: thousands of records were care for and made accessible to researchers (see Appendix G). These small grants to local institutions are one of the most cost-effective ways of contributing to the preservation of the state's historical records, so an ongoing program of this sort should be a high priority. An analysis has indicated that most of these records would not have received treatment without these funds. (See Appendix I)

Initiate an archival cataloging service

An archival cataloging service, cataloging archival collections in small repositories with no professional staff, would greatly enhance access to the materials held in these institutions.

Funding to support the development of a Digital Preservation Service at the University of Maine

This program has the potential to offer digital preservation services analogous to those offered for the

Maine's historical records will not be properly preserved without the expenditure of public funds.

Most of these records would not have received treatment without these funds.

preservation of other media by Northeast Historic Film and the Maine Folklife Center, thereby benefiting repositories throughout the state.

An Agenda for Private Sector Action

Private and public non-governmental institutions should pursue cooperative programs to improve the preservation of, and access to Maine's historical records. The following are important supplements to recommendations made in the Maine historical Records Advisory Board's Strategic Plan. (See Appendix G.)

Develop standards for online archival inventories, indexes, and other finding aids.

In order to maximize the utility of online archival finding aids, archivists, librarians, and other professionals with responsibility for Maine's historical records need to collectively develop standards for online archival inventories, and protocols for linking cataloging records, inventories, and online copies of documents from collections.

Develop a mechanism for coordinating purchases and distributing information about historical materials for sale.

Those public institutions with funds to purchase historical materials should establish a mechanism for communication, such as an e-mail listserve, to avoid competition between each other for specific materials and to alert each other to the availability of historical collections that are for sale.

Encourage inter-repository agreements to facilitate use of historical materials.

Small repositories and larger ones, those with professional staff and regular hours, should be encouraged to form agreements that would allow for temporary loan of collections from the smaller institutions when a researcher wanted to use it. Organizations such as Maine Archives and Museums could encourage this by preparing and circulating a model agreement.

Introduction

Maine has been losing its historical memory. As older records deteriorate, burn, become lost, stolen, sold, or literally cut into pieces for collectors, our ability to understand our path to the present is diminished.

Information for this report has been gathered from several sources. These symbols help identify them in the text:



Survey of Maine historical records repositories in 1997



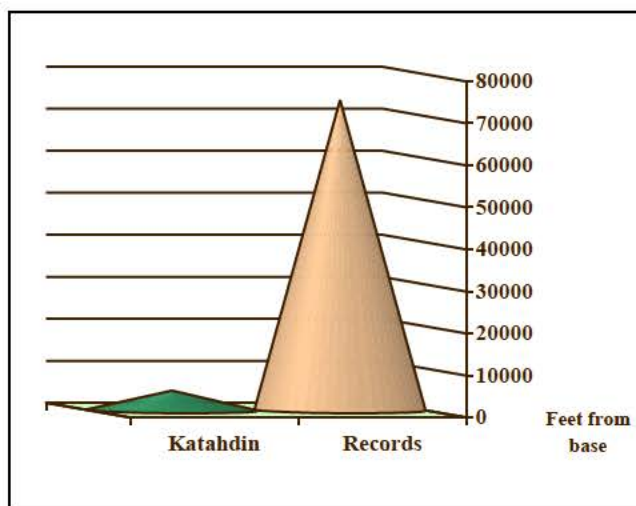
Individual comments from historical records experts



Digital records reports, State Archives Digital Records Plan

Miles to go . . .

Packed side by side, Maine's 200 million historical records would wind over ten miles of scenic highways. Stacked on top of each other, they would tower nearly twelve times the height of Mt. Katahdin, from its base.



**Stacked, they
would tower
nearly twelve
times the height
of Mt. Katahdin**

Those are the dramatic, yet conservative, conclusions of a 1997 survey of 167 historical records repositories in the state. A "repository" is an organization (archives, historical society, library, or museum) that maintains historical records of businesses, non-profit organizations, and individuals.

The 1997 survey did not even include the historical records in our 16 counties, over 450 municipalities, and innumerable special districts (school, water, planning, etc.). Nor does it encompass the valuable private records in business and non-profit organizations.

The results are truly the tip of the document iceberg that may, or may not, be available to assess our past as we prepare for the future. Our valuable resource of heritage information, in its many variations, has tremendous potential not only for

historic interpretation, but also for practical contemporary application.

We expect that public records documenting birth, marriage, divorce, and death will always be available. We need verification of property ownership, educational status, contractual obligations, and bequests. We hope to trace the lineage of our families, the development of our towns, and the history of our state.

. . . before we rest.

While much of that information is available today, it may not survive. With increasing paper records, and a dizzying variety of technology-dependent media (motion picture film, video and audiotapes, magnetic and optical computer disks), repositories are under siege with very limited resources to carry on the battle against obsolescence.

They have cited needs for the training and resources to preserve these records and provide access to them now and in the future. The first step toward these goals is to develop an understanding of current conditions and challenges.

What are Historical Records?

Format



Traditional

These records include the obvious paper items (letters, ledgers, official documents) and a lot more. Photographs, maps and architectural plans form major portions of historical records collections in Maine. Each of these traditional formats requires unique preservation approaches.



From the George French Collection, Maine State Archives



1891 Trademark



Early map of "Mayne"



Aziscohos Dam in the Rangeley Lakes Region in the Mountains of Western Maine. U.S. EPA 1973

Newer Formats

Microfilm, motion picture film, audio and videotapes, and computer media add to the mix of records requiring diverse treatment, storage, access policies and trained staff.

Nearly half of repositories surveyed report videotapes as part of their collections, in addition to sound recordings and motion pictures. These are formats and media that need very special attention if they are to survive many more years.

Special techniques are required to produce archival quality microfilm, but the images will last more than one hundred years with the low-tech reading requirements of a light source and a magnifying lens.



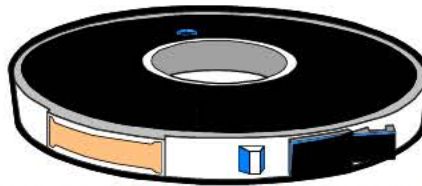
Motion picture film was produced in scores of different sizes and formats, with or without sound and color. Most require a specific projector to view. Very early Maine home movies were created on now defunct formats.



More recently, videotapes have been used not only for entertainment, but also for recording daily life through home videos, and for documenting events such as public meetings and community activities. Several popular formats of video tape (Beta, VHS, 8 millimeter) in addition to a variety of professional formats provide the seeds for preservation problems.



Audiotapes have been used extensively to record public meetings, including sessions of the Maine Legislature, and oral histories created by families, students, and historical societies. Cassette media are often of poor quality and lose content relatively rapidly, especially if not properly stored.



Magnetic computer media are increasingly becoming the choice for the creation and retention of historical records. The Maine District Court's dockets are now retained only in electronic form. As with the films and tapes noted above, a

State District Court's dockets are now retained only in electronic form.

Maine's oldest paper court record dates from 1639.

Will today's court records be available 363 years from now?

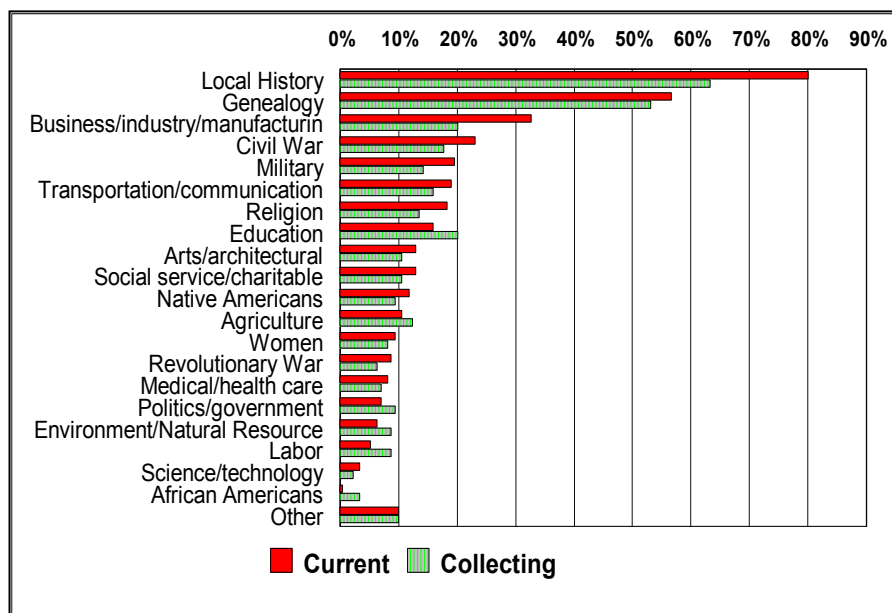
Historical Records In Maine

wide spectrum of formats (8" discs, 5.25" discs, 3.5" discs, several reel tape sizes and formats, and cassette-type tape formats) will be a major challenge to future generations.

Subjects

Local history and genealogy dominate the collections of the vast majority of repositories, though most of these are local historical societies. Economic (business, transportation) and military (especially Civil War and some Revolutionary War) records are also widely held, followed closely by religious and education records.

Some subject areas are now being collected by more repositories than have current collections in those areas. These new collections include education, agriculture, politics and government, environment and natural resources, labor, and African American records.



Town Records

Local government records are among the oldest to be found in Maine, and in the nation, dating from the 17th Century in York, Cumberland and Lincoln Counties. Town Clerks historically have been, by law, recorders of the most basic vital information. Until the creation of a State vital statistics registry in 1892, they were sole legal keepers of birth, marriage and death records.

Other town records show the earliest evidence of everyday concerns as manifested in minutes of town meetings, and in the transactions of other municipal officers, such as tax assessors, overseers of the poor, and selectmen.

Records of Religious Congregations

Along with town records, church records provide some of the earliest documentation of life in Maine, dating from as far back as the 17th century. The records of religious congregations include minutes of regional and local meetings, membership lists, baptism, death and marriage records, financial records, and correspondence. Many sets of church records have survived but are kept in denominational archives outside the State of Maine. For example, the American Baptist Historical Society has records of 37 churches dating back to 1768, the Vatican Archives has records relating to the Acadia Mission dating from 1622, and the Congregational Library holds records of 3 churches dating back to 1735.

Some historical church records have found their way into archival repositories in Maine and others continue to be kept by churches throughout the state, but the status of the latter is not clear. In the 1940s, the WPA conducted surveys of records religious organizations in many states, but none was completed for the state of Maine. However, the records survey team prepared a directory of such organizations in the state, and in the introduction, it was noted "Many early church records are also extant and are of even greater value [than town records]."¹

Town and church records are among the oldest found in Maine, dating from the 1600's.

They combine to offer insights into early American community life not available in many areas of the United States, which were settled much later.

¹*,Directory of Churches and Religious Organizations in Maine* (Portland: The Maine Historical Records Project, 1940) p. 16.

Where are Maine's Historical Records?

Types of Repositories

Historical records are found in public libraries, historical societies, museums, the Maine State Archives, college and university libraries, and in private homes, nonprofit organizations and businesses.

Based on a 1997 survey of institutions that collect historical records, the largest volume is at the State Archives in Augusta, with historical societies and academic special collections containing most of the rest. A conservative estimate places the survey results at two-thirds of actual volume, since at least one-third of repositories did not respond to the survey. That is the basis for the "Estimate: All Repositories" entries below. One linear foot contains the equivalent of 3,000 8½x11 pieces of paper, for a total of more than 202 million pages.

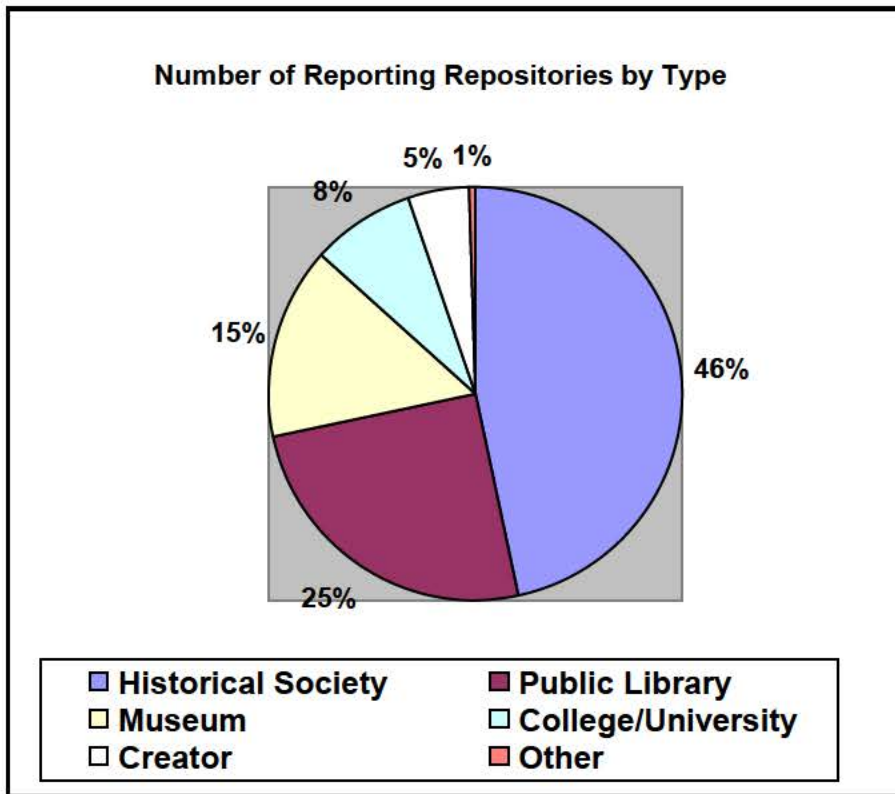
**Maine
repositories
hold over 202
million pages
of historical
records!**



Paper Records by Type of Repository				
Types	Reporting Repositories		Estimate: All Repositories	
	Linear Feet	Percent	Linear Feet	Percent
All Repositories	55,012	100%	67,350	100%
State Archives	30,000	55%	30,000	45%
Historical Societies	10,639	19%	16,000	24%
Academic Institutions	8,655	16%	13,000	19%
Public Libraries	1,475	3%	2,000	3%
Museums	3,237	6%	4,850	7%
Creators	1,006	2%	1,500	2%

Most repositories are historical societies. Maine's local tradition has supported many small, usually volunteer, always enthusiastic and sometimes inexperienced, historical organizations. Public libraries are the second most numerous locations of historic documents, often with good facilities and typically with professional staff.

The over 400 municipal offices and 16 counties all contain historical records relating to their local government functions. For instance, all town meeting records, ordinances, minutes of official board meetings, and certain tax and budget records are among those officially designated as "archival." They all must be retained permanently by each municipality or county.



Only about one-third of the repositories had acquisition policies, indicating a low level of formal organization and a major limitation on giving priority to important historical records. This seems especially true for the small historical societies.



Only 12 percent of libraries reported having an acquisition policy. Since their major orientation is published material, they are often passive recipients of historical documents because of their institutional stability and visibility. Academic institutions and museums were more likely to have such policies

Size and Location of Repositories

Size

Clearly, size varies from the large State Archives, academic institutions, and Maine Historical Society to the medium and small societies, museums and libraries.

Historical Records In Maine

Expenditures on historical records preservation and access is a good indicator of “size” which includes the number and professionalism of staff members. Larger organizations spend more and have professional, full-time staff, while the smallest spend little and rely on part-time volunteers. Here is the Maine profile based on 147 respondents to the 1997 survey for which there was financial data:

One-third (about 67 million pages) of the state’s historical records are spread among about 200 relatively small, understaffed repositories.



Number	Size	Historical Records Budget
7	Large	\$50,000 or more
9	Medium	\$10,000 to \$50,000
36	Medium-Small	\$1,000 to \$10,000
95	Small	Less than \$1,000

Based on the distribution of records by types of repositories, approximately one-third of the state’s historical records are spread among at least 140 relatively small, understaffed repositories whose volunteers have little training.

Location

Every municipality in Maine has one repository of historical records: the town office or city hall. An estimated two-thirds have either a public library or a local historical society; and some have both.

Even the medium-to-large institutions are widely distributed around the state. The University of Maine and major colleges campuses include those in Fort Kent, Machias, Farmington, and Biddeford. The Maritime Academy in Castine and the maritime museums in Searsport and Bath range over 100 highway miles along the coast.

Geographic distribution is not a major problem for collecting local materials and providing local access. However, statewide research access to these widely scattered records is a major challenge.

Preserving Maine's Historical Records

The Condition of Maine's Historical Records

Information about the condition of historical records during the past decade derives from two comprehensive surveys of repositories by the Maine Historical Records Advisory Board, and from applications seeking support from the occasional grant resources that have been available through the Board. Supplemented by other information about access issues, the Board maintains a strategic plan to guide its activities. (See Appendix G.)

Physical Condition

The physical condition of historical records varies by where and what they are.

The physical condition of historical records varies by where and what they are. Records held by larger institutions (the State Archives, Maine Historical Society, Maine State Museum, academic and large municipal libraries and museums) are generally in reasonable physical condition, since they are stored in appropriate environments under good supervision. However, because of the large numbers of records at these institutions, few get active conservation treatment and are subject to long-term, slow but certain deterioration.

Records held by smaller institutions, including very small, informal historical societies and town governments (probably a quarter to a third of all historical records), are frequently in very poor condition because of improper handling, unregulated access, unregulated storage environments, and "exhibits" of original documents exposed to direct light. Obviously, these are also subject to accelerated deterioration.

One-third to one-half of the state's historical records are very insecure and subject to theft, loss, or destruction by fire or water.

Private individuals hold an unknown portion of Maine's historical records, so their condition too is unknown. From the experience of material that has come to light, condition ranges from excellent (those held by caring descendents or owners) to tragically deformed (those completely neglected or temporarily "lost" in an attic or basement).

Security

The larger institutions and even smaller formal organizations (such as libraries) have security ranging from excellent to good. However, the smaller, informal organizations often have no inventory of their materials, let alone a procedure for monitoring use of records. Few have security systems, fire alarms or fire suppression systems. Many are in buildings with aging electrical wiring and plumbing, thus susceptible to fire or water emergencies.

A reasonable estimate is that one-third to one-half of the state's historical records are very insecure and subject to theft, loss, or destruction by fire or water.

Accessibility

As indicated above, too much unregulated access accelerates deterioration and increases chances of loss or theft. At times, however, especially in municipal offices, access is unduly limited because local officials often 1) do not see public access as a major responsibility; 2) feel they do not have the time to find the relevant records; or 3) are concerned about confidentiality, even though the requested records are by law public and non-confidential. Some of these issues are discussed in greater detail in the section on **Access and Use** below.

Threats to Preserving Maine's Historical Records

Threats to preservation involve at least three broad areas: physical damage from a variety of sources; loss due to theft; and loss through mismanagement.

Physical Condition

Deterioration from storage environments

Simple chemistry, and sometimes biology, is at work in the destruction of historical records. Warm, moist environments accelerate both. Acidic material, which includes most paper created between 1850 and 1980, disintegrates faster in these conditions. Mold and mildew multiply and can reduce paper to a pile of powder.

Vermin, such as insects and rodents, feed on the glue, grime, and other material in many records, especially in a "comfortable" environment. Wooden shelving with its glues (in plywood) and natural fumes are a threat to records, both directly and indirectly as it attracts pests. Adding paint provides yet another source of fumes.

Unfortunately, these conditions are frequently found in repositories across the state, even among those with caring, yet untrained, volunteers.



Protection against the "slow fires" of deterioration is virtually non-existent. Fully one hundred, or 60 percent of all repositories, had no year-round humidity controls; forty-nine percent had no year-round temperature controls

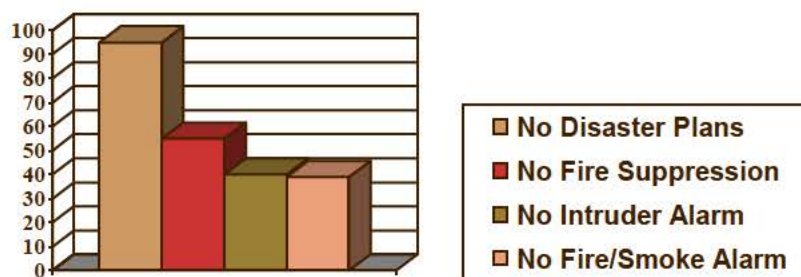
Most repositories have no fire suppression, no fire or smoke alarms.

Fire, Water and other Disasters



Disaster planning, difficult for most organizations, is practically non-existent among historical societies and rare (one in ten) among libraries. The academic and museum institutions fared somewhat better at just under two in ten.

Percent of Repositories with . . .



Nearly one in five reported a "loss of historical records" during the previous three years from fire, water damage, misfiling, or other causes.



Thirty-one repositories (19 percent) reported a "loss of historical records" during the previous three years from fire, water damage, misfiling, or other causes. An amazing ninety-two, or 55 percent, had no fire suppression system; fifty-eight had no smoke or heat alarms.



1999: Liberty's 170 year old Community Hall burned to the ground with the loss of town records and an historic building.



1998: Industry's town office roof collapsed destroying or damaging official records.



1995: Canaan's town office burned to the ground with the loss of town records.



1994: Fort Fairfield town office lost records to flooding.

Damage by Users

Untrained staff or volunteers, under pressure to "be helpful," often allow records to be improperly handled, folded, or soiled thus reducing their useful life.


Security

Theft

Other than large institutions, registration of users is rare in Maine repositories, probably due to the informal, trusting

nature of people in small communities, especially if the user is interested in the material that the custodian hopes will be used.

Recently a major public library lost, then recovered, original records that were cut from their bindings and stolen, primarily due to a lack of supervision of users of such material.

 Two in five repositories had no security system, which were described in the survey as “motion detectors, locks, surveillance cameras, alarms.”

Mismanagement

Loss through mismanagement is partially related to the custodian's recognition of the need for inventories and catalogs that essentially keep track of the historical records in their care. Too often, valuable original documents are loaned to a person or group that fails to return them. Without good record keeping, the document becomes lost.

In the case of public records, custodians should be aware of the legal requirements to retain certain records permanently. The Maine State Archives, through its Archives Advisory Board, officially designates those records that may legally be destroyed. No official record (state, county, town, school, etc.) may be destroyed without official authorization. No official record may be sold or given away by any government body in Maine. (Obviously this does not include documents, such as licenses, tax bills, etc., formally issued to private individuals in the course of official business.)

No official record may be destroyed without official authorization.

No official record may be sold or given away by any government body.

What Repositories Need

Physical Condition

Maine's important documents need physical protection and improvement through both active and passive strategies. For threatened and deteriorating material, proper preservation and conservation action is necessary. For material in good condition, proper storage and disaster prevention will maintain them indefinitely.

Preservation and Conservation Action

Preservation implies keeping records from further deterioration and preventing the loss of information they contain; conservation is directed at repairing, deacidifying and other active treatment on a particular item. Literally millions of historical documents in Maine need this active intervention, which may include some or all of the following:

Literally millions of historical documents in Maine need active intervention.

"Local government officials shall carefully protect and preserve the records of their office from deterioration, mutilation, loss or destruction,"
5 MRSA 95-B (6).

- cataloging to reduce deterioration by "thumbing" through many records looking for the desired item,
- placement of originals in archival folders and in archival boxes,
- copying originals on microfilm to reduce direct use and to provide security,
- copying photo prints to archival negatives to improve long-term survival and to create multiple user copies,
- placing buffered paper between documents or pages to reduce deterioration caused by acid in the material or by ink "bleeding" from one page to another.

Improved Storage

Repositories need cool (near 60 degrees Fahrenheit), dry (near 50% humidity), and stable (minimal fluctuations of temperature and humidity) storage environments, secured against pests. A simple, clean storage space with air conditioning, proper heating and unpainted metal shelving would extend the life of many records for literally hundreds of years.

Fire, Water and other Disasters

Clearly, repositories need help in 1) understanding the need for disaster planning, 2) developing disaster plans, 3) obtaining the supplies and making physical changes necessary to implement disaster plans, and 4) maintaining the plans and the supplies so neither is neglected.

While a grant-funded project is currently underway to help with items 1 and 2 above, continued financial support is essential to implementing and maintaining these plans, and thereby save valuable historical documents for future use.

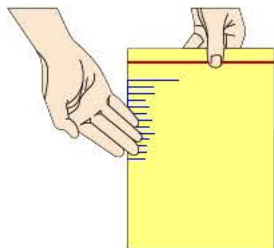


Liberty's Community Building,
lost to fire, January 1999

Security

Inventory of Holdings

The most basic security step is having a list of the historical records, or groups of records, owned by the repository. Then, if one of the records is stolen, lost, or misplaced, notice can be given about the loss and the inventory becomes evidence of ownership.



Recovery of a copy of the ***Declaration of Independence*** for the Town of North Yarmouth was aided by the careful inventory kept by the Town Clerk in 1776. He had placed a number on each document, entered

the number and a description in a book, and filed the documents by number. The crucial document number "16" was missing from the collection but the number on that document confirmed its ownership.

Registration and Supervision of Users

Unfortunately, many users of original historical records cannot be trusted to protect them. The custodians of this material need to develop interpersonal skills and techniques that allow them to enforce proper procedures while maintaining a "customer friendly" atmosphere.

These procedures should include 1) obtaining positive identification, preferably through a photo ID's, such as a driver's license; 2) recording names, addresses and other contact information in a log; 3) recording the use of materials, if appropriate; and 4) checking materials against an inventory after use.

Custodians should never leave researchers unattended or out of sight when they are using important, original documents.

Needs from the 1997 Survey

The following activities were ranked as "major" or "moderate" priorities by repositories. More than half focus on the need for improved access to and use of collections; better preservation, conservation, and storage efforts; improved support and funding; and additional training for staff.

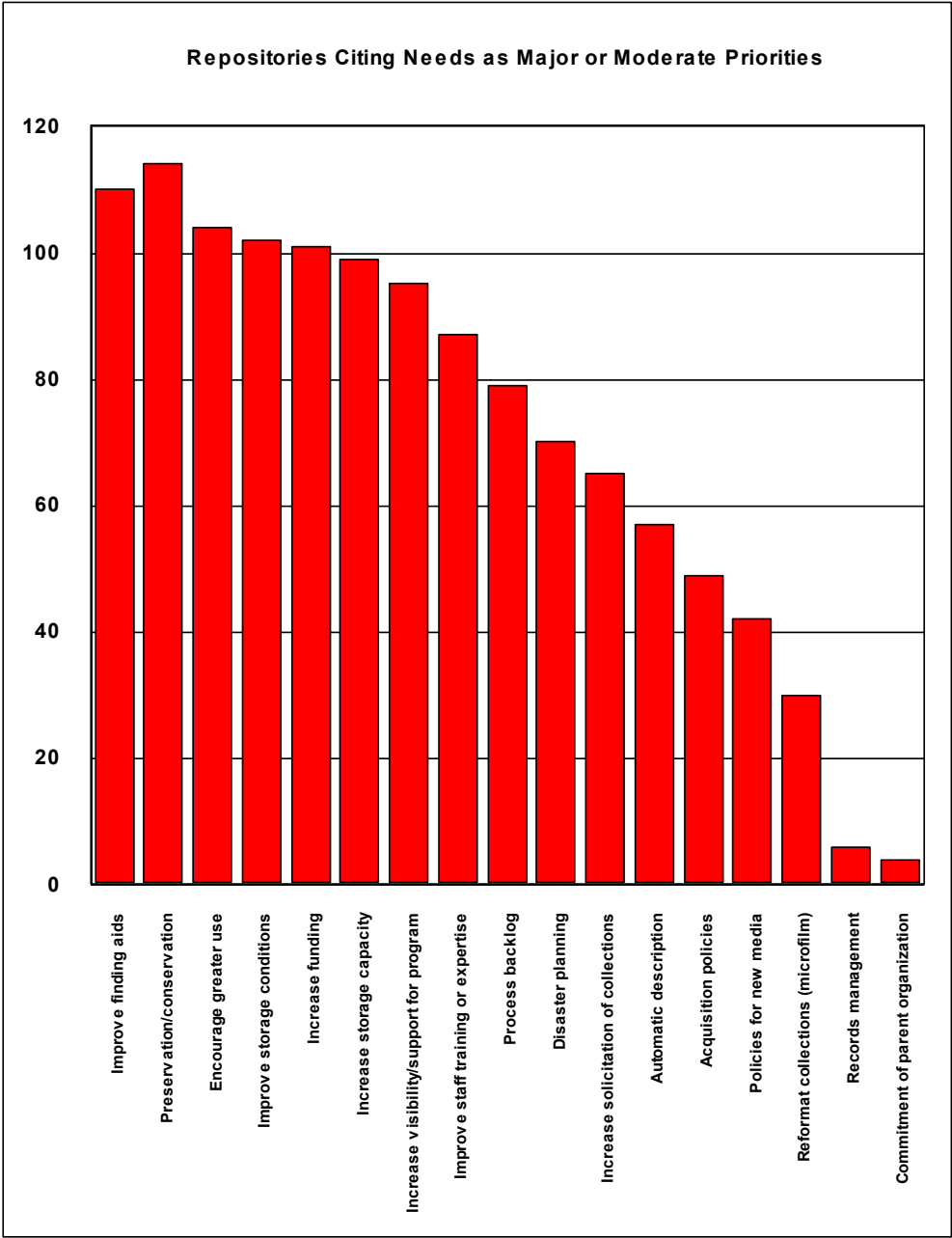
After the basics of obtaining resources and training to preserve and provide access to collections, respondents in smaller proportions identify the "supplemental" activities of disaster planning, soliciting more collections, and applying technology (such as microfilm and computers).



Major and Moderate Priority Needs	Number	Percent
Improve finding aids	110	65.9%
Preservation/conservation	114	68.3%
Encourage greater use	104	62.3%
Improve storage conditions	102	61.1%
Increase funding	101	60.5%
Increase storage capacity	99	59.3%
Increase visibility/support for program	95	56.9%
Improve staff training or expertise	87	52.1%
Process backlog	79	47.3%
Disaster planning	70	41.9%
Increase solicitation of collections	65	38.9%
Automatic description	57	34.1%
Acquisition policies	49	29.3%
Policies for new media	42	25.1%
Reformat collections (microfilm)	30	18.0%
Records management	6	3.6%
Commitment of parent organization	4	2.4%

When asked to volunteer “the most pressing problem” facing the repository, one in four mentioned the need to “organize” or “catalog” or “index” their records, usually to improve access. More than one in five expressed the need for more space, both for processing and for access.

Approximately ten percent mentioned each of the following: “not enough time,” “improve access,” or temperature/humidity concerns.



Access and Use

Introduction

Making historical records available for use is the *raison d'être* for collecting and preserving them. Effectively facilitating their use, however, requires a broad range of resources that have not been consistently available for the records of the state. The resources may be broadly divided into categories that support intellectual and physical access to historical materials. Providing "intellectual access" to materials simply means circulating information about collections so that researchers know they exist and can use them, in accordance with legal and preservation management conditions. Physical access means providing researchers with access to the collection.

Intellectual Access

Repositories commonly use an array of tools to enhance intellectual access to their holdings. These include:

1. *Cataloging holdings.* Usually this entails preparing bibliographic records for an entire collection or record group, but they can be prepared for smaller components of a collection or even for individual documents. These records may be entered into local on-line catalogs, into statewide bibliographic databases (e.g., URSUS, Maine InfoNet), or into national databases such as RLIN and OCLC.
2. *Preparing and circulating archival inventories.* Such inventories are a product of "processing" a collection, an activity that often involves re-arranging the materials in an order that more effectively facilitates their use. These finding aids include more detailed information about collection than a cataloging record. For example, they may include box, folder, or item lists, components that are extremely useful for researchers. Inventories can be circulated in paper format and/or published in electronic format on an Internet site.
3. *Publication of original materials.* This is typically done by publishing part of a collection, or set of collections, in book format, by microfilming them, or by digitizing documents and placing them on an Internet site. The Maine Memory Network, sponsored by the Maine

Historical Society, is emerging as an important tool in providing access to images held in repositories across the state. It allows repositories across the state to contribute photos, maps, and images of manuscripts electronically, without losing physical control of their own collections. Researchers are able to enter keyword searches on topics of interest. The Internet-based Network will then present all images on that topic, regardless of where the originals are located. A catalog record describing the item and providing historical context accompanies each image. For hand written manuscripts, a printed transcript provides easy access to the text.

The larger archival repositories in Maine use each of these techniques, but their holdings also include large numbers of collections for which there are no finding aids at all. Smaller repositories use such access tools less frequently, but Maine InfoNet and the Maine Memory Project have the potential to provide most of them with venues for collection-level cataloging and digital publishing of selected historical documents.

What is missing from the current array of access tools is a centralized Internet site for posting or linking to inventories of Maine-related archival collections. Such a site, along with protocols for linking inventories with Maine InfoNet and the Maine Memory Project records, would complete a seamless system of finding aids that would greatly enhance access to the historical records of the state.

Physical Access

In the larger repositories, researchers can generally arrange to use a collection in specific areas of the institution during regular opening hours. In some cases, the physical condition of materials (including lack of arrangement) may temporarily preclude use of the materials pending processing or preservation work. In smaller repositories, understaffing and lack of space (for storage of collections and for researchers) constitute significant impediments to access.

Alternatives to Physical Access

While certain records lend themselves to microfilming and digitizing, as methods of preserving the originals and/or enhancing access to them, these technologies are not appropriate in every situation. Microfilming, though relatively inexpensive, may omit subtle notes or marks; and digitizing can be very expensive, especially in the long run as technology changes. The State Archives has over 91 million pages of

records, most of which are not used in any given year, and this is only a fraction of the historical records of the state. Reformatting even a large percentage of these would be a task of monumental dimensions. Making all or most historical records available in digital format, even if it were possible, would be counter-productive. It would tax the existing information infrastructure and present researchers with a huge volume of digital material that would be nearly impossible to navigate without indexing and searching tools that do not currently exist. In most cases, paper-format records can be more easily used in their native format. Reformatting is a valuable tool to preserve and provide access to fragile or frequently used records, but original records will always have to be maintained and will continue to be critical to the serious researcher.

Legal issues.

Government records are public property requiring proper organization and retention or destruction according to federal and State regulations. Archival public records must be protected, preserved, and made available for use by government departments and the public, except for certain legally defined confidential records. Non-government records may be restricted by donors or holding institutions.

Problems

Sale or Transfer Out of the State

Maine-related collections that are transferred out of state or sold to private parties are not as easily accessible to Maine researchers as those kept in public repositories in the state. Even when identified before a sale, historical records, especially if very old and graphically attractive, are frequently priced far beyond the financial capacity of most interested institutions.

Often the records do not travel to an out-of-state library or archives, but pass into other private hands or are disassembled to make posters, post cards, greeting cards, or other products, thus losing their research value.

Private Records Not in Accessible Repositories

A large but unknown portion of Maine's historical records is not in publicly accessible repositories. The casual visitor to the Internet auction site E-bay, or reader of *Antique Digest*, or browser at flea markets, is often surprised to see the 150 year-old letter, tax bill, poster, or glass plate photo negative. Though not everything that is old is of equal historical significance, many of these items have potential value for historical research or to illustrate past ways of life. Unfortunately, separated from their



original context, that potential may be minimal. The wonderful letter describing "life on the farm" has less meaning if the farm could have been in Iowa as easily as Maine, and in the 19th century as well as in the early 20th century. The terse note to "Proceed with the deal we spoke about," though dated April 10, 1843 has absolutely no informational value since it was separated from the business enterprise of which it was a part. Many records remain intact and available to family members or business owners, never to be seen by others.

Many Archival Collections Have No Finding Aids

At present, we are unable to say what percentage of collections have some kind of finding aids, a situation that is itself indicative of a lack of adequate intellectual control over the state's historical collections. It is clear, however, that there are hundreds, and probably thousands, of archival collections in the state for which there are no finding aids. Without finding aids, these collections are effectively inaccessible.



When asked to volunteer "the most pressing problem" facing the repository, one in four mentioned the need to "organize" or "catalog" or "index" their records, usually to improve access. More than one in five expressed the need for more space, both for processing and for access.



Lack of Standards for Internet Finding Aids

As opportunities arise for using the Internet to direct researchers to historical records, repositories need to develop the knowledge and skills for giving clear directions. To do so, the staff should be trained in the standards necessary to describe their collections.

For example, an entry on an Internet Web page boasting "We have General A. S. Smith's Papers," has no value to those unfamiliar with the General's great career in war and in business. Nor might it help much if he were described as "involved in mercantile affairs." However, key words such as "merchant" or "business people" or "lumber industry" would attract skilled researchers employing these terms standardized by the Library of Congress. The terms themselves need to be placed in the "metadata" fields in Web pages to enhance their discovery.

Lack of a Centralized Information Source

Ideally, Maine researchers should be able to go to one Internet site to search collection-level cataloging records,

detailed archival finding aids, and indexes for digitized documents, and they should be able to use hypertext links to move from one level of description to another. Such a system of finding aids requires standards and protocols that have been agreed upon by the various professional communities in Maine having responsibility for historical records.

Need to Improve Research Assistance Skills in Repositories

While even volunteers in very small repositories know where everything is located, they may not understand what researchers "really" needs. The question "Do you have any property tax records?" might be answered with a simple "No." Another option would be to say, "No, what exactly are you looking for?" If the response is, "The location of the house where Aunt Effie lived in 1910," the reply could be, "We do have a microfilm copy of the U.S. Census for that year and it lists the addresses where people lived."

An understanding not only of what historical records exists in a repository, but their significance and their relationship to other records is very important in providing meaningful access to the information contained in them.

With regard to public records, officials and researchers are often confused about the public's right to view most records, and the legal basis for limiting access to confidential records. This is both a source of frustration for researchers and a barrier to the use of some records that are not legally closed. (See Appendix E Local Government Issues.)

What Repositories Need

Cataloging service for small repositories

A cataloging service, offered by the Maine State Library, for unique materials held by repositories with no cataloging staff would greatly enhance access to these collections for a minimal investment. These bibliographic records would be valuable not only to researchers but to granting agencies, who would be better able to make more informed choices about what archival projects should be funded.

Agreements between larger and small repositories to provide reference services

Many of the problems regarding physical access to collections could be mitigated through inter-repository agreements in which a collection from one repository is temporarily loaned to another repository that is better-staffed

when a researcher wishes to use it. This would allow the collection(s) to be used under supervision.

Funding for archival training programs and archival processing projects.

Many historical societies and smaller repositories would be unable to process collections to professional standards without grants for training programs and processing projects.

Standards for online inventories, indexes and digital copies

Standards for finding aids, statewide searching tools, and digitizing historical documents will have to be worked out within the relevant professional communities within the state. State funding will probably be required to develop and sustain searching tools, once standards have been agreed upon.

Ability to attract records in private custody

Among the reasons that documents are not in accessible repositories are that owners of these records 1) are not aware of their historical value, 2) believe they have substantial financial value, and 3) do not believe that local repositories are capable of providing proper care and access to the documents. The latter concern can be addressed by resolving many of the problems outlined earlier, including technical training, appropriate storage conditions, improved security, attention to preservation and conservation issues, and, possibly most important, developing a stable, well funded and staffed organization with a positive reputation in the community.

Maine repositories need to capture important records before they are separated from their context and dispersed hundreds or thousands of miles.

In addition to gaining internal strengthen, collecting institutions need to educate their communities on the importance and value of providing access to significant historical records.

Training in legal issues of access and use

For public officials, this means an understanding of the State's "right-to-know" law. For private repositories, it means knowing the restrictions, if any, on records in their collections. It also requires a general knowledge of copyright protections to insure the repository is legally protected, and that the owner of intellectual rights is not deprived of those rights.

Special Problems of non-paper media

While preservation of paper records is a significant challenge, preservation of materials generated and/or stored in non-paper media present an array of preservation issues that are considerably more daunting. Almost all non-paper media have a useable life that is significantly shorter than that of paper, and their use is dependent upon machines that quickly become obsolete. There are additional challenges to be faced with computer-generated electronic records, because their mutability makes it difficult to ensure their authenticity, integrity, and reliability over time.

Deterioration of Non-Paper Storage Media

Composed of multiple layers, each with a different chemical composition, non-paper media are particularly sensitive to environmental storage conditions—both to high temperatures and relative humidity and to changes in these environmental factors. Most of these should be stored in conditions colder and dryer than those typically used for paper. For example, the following charts give the storage conditions recommended by UNESCO for several common types of storage media²:

Medium	Temperature	Maximum Fluctuation in Temperature	Relative Humidity	Maximum Fluctuation in Relative Humidity
Magnetic tapes	5°- 10° C	+/- 1° every 24 hrs +/- 2° in a year	40% r.h.	+/- 5% r.h. every 24 hrs +/- 5% r.h. in a year
Phono-discs	5°- 10° C	+/- 1° every 24 hrs +/- 3° in a year	30% r.h.	+/- 5% r.h. every 24 hrs +/- 5% r.h. in a year
Color Motion Pictures	-5° C	+/- 1° every 24 hrs +/- 2° in a year	30% r.h.	+/- 2% r.h. every 24 hrs +/- 5% r.h. in a year
Black & white nitrate motion pictures	-4° C	+/- 1° every 24 hrs +/- 2° in a year	50% r.h.	+/- 2% r.h. every 24 hrs +/- 5% r.h. in a year
Optical Disks	20° C	+/- 1° every 24 hrs +/- 3° in a year	40% r.h.	+/- 5% r.h. every 24 hrs +/- 5% r.h. in a year

While the usable life of these storage media can be extended significantly by storing them in appropriate conditions, few repositories in Maine have the facilities to do so and none

² International Advisory Committee for the UNESCO Memory of the World Programme, *Memory of the World: Safeguarding the Documentary Heritage, A guide to the Standards, Recommended Practices, and Reference Literature Related to the Preservation of Documents of All Kinds* (Paris: UNESCO, 1997).

are able to provide different storage environments for each type of media.

Studies at the National Media Laboratory (NML) have shown that the lifespan of currently-produced media vary significantly both from brand to brand and from lot to lot (within the same brand), so that it becomes quite difficult to ascertain with any degree of certainty how long a given media recording can be expected to last. The following chart, derived from NML research data³, shows the maximum and minimum useable lives of different media stored in conditions that would be appropriate for paper materials:

Useable life of selected media stored at 67 F., 40% r.h.:

Medium	Useable Life (Minimum)	Useable Life (Maximum)
CD-R	2	30
Magneto-Optical disks	2	30
4mm, 8mm (audio/video tape used for data storage)	2	10
D-2, D-3 (digital video tape)	5	15
D-1 (digital video tape)	5	20
3480, 3490, DLT (data storage tapes)	5	20
CD-ROM	5	50
WORM	5	100
Medium-term microfilm	15	20
Standard office paper (low lignin)	20	100
Acid-free paper	100	500
Archival Microfilm	100	200

With a reliable life span of only 2-5 years, digital materials can only be preserved through an on-going program of monitoring the media for data loss and regular “refreshing.”

Media considered archival, such as acid-free paper, archival microfilm, and polyester-based motion picture film, can be expected to last more than a century. The useable life of analog media, such as audio and videotapes, and motion pictures, is usually measured in decades. Consequently, the preservation of these materials requires periodic—but not continuous—intervention.

But the situation is different with digital media. With a reliable life span of only 2-5 years, these materials can only be preserved through an on-going program of monitoring the media for data loss and regular “refreshing” (making new copies of them). This situation was exacerbated by the announcement,

³ Dr. John W.C. Van Bogart, *NML Storage Technology Assessment: Final Report* (National Media Laboratory, 1994).

made during the preparation of this report, that the last manufacturer of 9-track computer tapes, which are used for digital preservation in many archives, will discontinue their production.⁴

Machine and Format Obsolescence

A program for the preservation of computer-generated records must not only include regular copying of the data, but regular migration of some records from one format to another one.

The twentieth century has seen a proliferation of recording and communication media, for both business and consumer markets, most of which have quickly fallen out of use. Typically, the physical media will be used longer than the specific “formats” that they are used for. For example, there have been 10 sizes and types of magnetic tapes used for analog video recording in the US, but there have been more than 30 analog video formats (i.e., standards for how data is configured on the tapes). Viewing a videotape requires a machine that can play the tape in the same format in which it was recorded, but most of these are no longer sold and are not in common use.

The situation is more complex with computer-generated materials, where use of a document may require a specific series of compatible hardware, operating systems, and software. Proprietary platforms and software typically change at least once a year, and often are revised more frequently. Each of the revisions may have an impact on documents created under an earlier version. There are some platform-independent document formats (e.g., html), but these are not routinely used for the creation of office or personal documents unless they are to be distributed via the Internet. Moreover, such formats have no relevance to the networked databases that are an integral part of record keeping in most businesses and government agencies. Consequently, a program for the preservation of computer-generated records must not only include regular copying of the data, but regular migration of some records from one format to another one.

Capturing and Preserving Electronic Records

During the past 20 years an information revolution has taken place that records management and archival systems have only begun to address. At the beginning of that period, the overwhelming majority of records were created (written or typed) in a readable code (standard language) directly onto the medium (paper) on which they were to be communicated and

⁴ “eMag Solutions LLC announces end of life plan for open reel (9-track) tape,” 12/17/01, emag Data Management web-site (<http://www.emaglink.com>)

eventually stored. They were readable by humans without mechanical or electronic technology. The business processes which placed the records in files, and the physical files themselves, were the *record keeping system* which guaranteed that the records were captured in a manner that ensured their authenticity, reliability, and integrity. Records that were produced electronically were usually generated by centralized databases in which current information was maintained. The records containing information selected from the databases were printed, communicated, filed, and maintained on paper.

Now most records are created electronically, and increasingly they are communicated electronically. The records of many business transactions, such as contracts and purchases, continue to include a paper component, because they often require a signature. But as one recent survey shows, routine business communications, such as memos and minutes, that provide essential context for these transactions as well as for policy decisions, are often distributed only electronically and are not retained and filed in any consistent manner.⁵ Unlike paper records, electronic content is not dependent on the medium and it cannot be read directly by humans. These are not physical files in the traditional sense. Because of the ease with which they can be intentionally or accidentally modified, deleted, copied, and circulated, “digital records”⁶ present an array of new problems of authenticity, security, access and maintenance. Because of these issues, a program of preserving electronic records must include measures to identify and capture critical records at the time of creation and to retain them in a manner that does not allow for their modification or deletion. Such a program necessarily requires archivists or records managers to be involved in developing the functional requirements for computer systems before they are designed.

While it is viable to establish such programs to preserve the records of public agencies, it is not realistic to think that comparable programs can be established for business records or personal records, which constitute a large percentage of the historical documentation of the state. Consequently we face an almost inevitable loss of future historical materials because of the personal and business use of electronic media. This loss

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We face almost inevitable loss of future historical materials because of the personal and business use of electronic media.

⁵ Richard Hollinger, “Summary of Surveys on the Use of Network Communications in Organizational Settings,” *Knowmap* [forthcoming]

⁶ A “*digital record*” is a type of *electronic record* commonly used in modern computers. It retains data in a series of characters in binary code of “on-off” or “one-zero” electronic switches. *Analog electronic records* include phonograph records, and audio and videotapes other than the latest digital tapes. This plan focuses only on digital *electronic records* used in modern computers.

could be mitigated by legislation requiring permanent retention of selected corporate records; by pro-active programs in collecting archives to capture and preserve electronic materials from donors of records and papers; and by filling in the gaps in historical documentation through the collection of internet communications.

Existing Programs for the Preservation of Non-paper Media

Although the existing programs for non-paper media preservation are far outstripped by the needs in the state, Maine is fortunate to have several programs in place that provide facilities and expertise to historical records administrators.

Maine State Archives Electronic Records Program

The State Archives, thanks to a federal grant, has developed a detailed Digital Records Management Plan, outlining the problems of managing those records and proposing techniques to preserve them. Unfortunately, several attempts at securing a Digital Records Management Analyst position to carry out the plan have not been successful.

The Rules for the Disposition of Local Government Records, adopted by the Archives Advisory Board, establish standards for the retention of, and access to, records kept in electronic form. (See Appendix E.)

Northeast Folklife Center

The Northeast Folklife Center collects oral history interviews and other materials relating to folklife in Maine. It has its own audio preservation laboratory, which is used to make preservation copies of its own recordings, and it offers an audio preservation service to other institutions.

Northeast Historic Film

Northeast Historical film collects and preserves moving images documenting the history of northern New England. It also provides viewing facilities to other institutions and makes preservation copies of moving images for them. In addition, it will soon have the capacity to provide appropriate environmental conditions for film storage.

University of Maine Digital Preservation Service

As part of its Digital Library Prototype Project, The University of Maine is in the process of developing a program to preserve a variety of digital materials including digital publications, research data sets, electronic records of the University, and internet sources that will support future historical

research on Maine. At this stage, the program entails preserving prototypes of different kinds of materials in order to develop procedures and identify needed resources. It will not be possible to address issues relating to University records in the absence of a University Archivist, and additional staffing will be required to fully implement a digital preservation service. However, once fully implemented, the program has the potential to offer digital preservation services beyond the University and could become an important source of expertise to those responsible for historical records in the state.

Much information in electronic form, for which the State has spent substantial resources creating, is no longer accessible.

Problems with Digital Records

It is almost certain that important historical materials generated in digital formats by individuals, businesses, and non-profit organizations in the state are being lost because of the difficulty of preserving them.

At present, it is impossible to state with any certainty how electronic record keeping may have affected the status of many records relating to the rights and responsibilities of the citizens of the state, such as local land records, tax records, and student records. However, the experience of the state government is illustrative in this regard. The Maine State Archives' legislative mandate states the challenge:

"The Legislature declares that it is the policy of the State to make the operations of State Government and local government more efficient, more effective and more economical through records management; and, to the end that the people may derive maximum benefit from a knowledge of state affairs, preserve its records of permanent value for study and research." [5 MRSA 92]

In today's **digital records** environment, the Archives must undertake special efforts to insure that computer "records of permanent value for study and research," which document State government, are preserved and made continually accessible. However, after years of persistence, the State of Maine has failed to provide the resources to implement a digital records management program. As a result, critical State records in digital formats will not be preserved, even on paper.

Millions of State documents and sets of data are now in electronic form. State agencies are encouraged to "digitize" and use electronic systems with little or no thought to preserving critical records. Much information in electronic form, for which the State has spent substantial resources creating, is no longer accessible.

For example:

Historical Records In Maine

**Legislative
information (bills,
proceedings, status)
is now on-line but
with no known long-
term preservation
provision.**

- Uniform Crime Reports data of the early 1980's on obsolete computer tapes
- State Planning Office data on 8" floppy disks no longer readable by State equipment
- Mapping data originally on Geographic Information System (GIS) databases has been deleted by agencies who have no current need (e.g., early road locations)
- Human Services attempted to "scan" vital records but found them inaccessible when their indexing database was corrupted.
- E-mail containing policy level material has either been deleted or exists on obsolete e-mail systems no longer supported.

Legislative information (bills, proceedings, status) is now on-line but with no known long-term preservation provision.

Needs

- Full funding for electronic records program in the Maine State Archives
- A state task force to identify vital records retained in digital format in county and municipal governments with a mandate to recommend standards and/or strategies for their preservation.
- Funding for a digital preservation program at the University of Maine and for a University of Maine Archives.
- A state task force to identify corporate records that represent essential historical documentation with a mandate to recommend strategies to ensure their preservation.

Microfilm

The most cost-effective, preservation friendly method of making a security copy of historical records is archival quality microfilming. A proven approach for over half a century, properly created and stored microfilm will last more than 100 years and requires very simple technology to read: a light source and magnification; no upgrades and migration every few years; no obsolete equipment.

However, not all techniques are of "archival quality." Repositories opting to use microfilm for preservation and access must carefully select certified vendors, and must insure secure and environmentally appropriate storage. Some earlier microfilm was not done to archival standards and develops "measles," dots on the images that grow and ultimately make

them illegible. Film, older ones especially, need systematic inspection and maintenance to insure against information loss. See Appendix A for the Maine State Archives' technical and outcome microfilming standards.

Analog Tape

Each of these media needs special treatment and storage, and requires duplicate copies for users. Appropriate finding aids will reduce "wear-and-tear." In both cases, the strategy involves copying to a higher quality tape medium and creating analog tape, or digital tape or CD-ROM copies for user access.

The processes are both capital and labor intensive, thus relatively expensive per hour of material preserved. Each requires specialized equipment and trained staff for both information transfer and content analysis.

Audio

Audiotapes of meetings and interviews are often either old and brittle, or more modern but recorded on lower quality media, usually inexpensive cassette tapes. Both provide technical challenges to achieve audible, understandable results. Background noise, varying sound levels, occasional inaudible or silent passages, and disintegrating tape are some of the challenges to this process. See Appendix B for the current Maine State Archives' *Audiotape Preservation Plan*.

Video

Moving images with historical significance come in two basic formats: motion picture film and analog videotape. Images with historical significance created in the 21st century are increasingly in digital format on magnetic and optical storage media (tape, compact disks (CD), and digital videodisks (DVD)).

Current preservation efforts are focused on the pre-digital images. These include the earliest home movies; promotional films created by State government (for tourism, wildlife management, encouraging economic development); and chronicles of logging, agriculture and other aspects of life in Maine in the early 20th century.

See Appendix C for the current Maine State Archives' *Moving Image Preservation Plan*.

Comparison of Media Longevity

Information Created on ...	Max Life in Years		Readable Years (shorter of the life of the medium or the technology - not to scale after 500 years)								
	Recording Medium*	Reading Technology	100	200	300	400	500	1,000	2,000	Plus!	
Egyptian stone tablet	2,200	Unlimited									
Archival acid-free paper	500	Unlimited									
Archival microfilm	500	Unlimited									
Archival B/W photo negative	500	Unlimited									
Maine State Archives oldest document -	500	Unlimited									
Archival color photo transparency	100	Unlimited									
Newspaper	100	Unlimited									
Archival color photo negative	50	Unlimited									
Digital linear tape	300	10									
Data grade VHS tape	30	10									
Other magnetic tape	30	10									
Compact Disk (CD)	100	10									
Floppy disk - 3.5 inch	15	10									
Floppy disk - 5.25 inch	5	10									

* Assumes archival storage conditions (50% humidity, 65 degrees Fahrenheit) and retention of 95 percent of original information

Conclusions

Maine's historical records contain a rich source of information about our families, communities, local and state governments, and about the special ingredients that are "Maine." They are a resource for writers, surveyors, publishers, governments, and people seeking official records or researching their family histories.

However, some significant threats face this essential resource.



- With increasing paper records, and a dizzying variety of technology-dependent media, repositories are under siege with very limited resources to carry on the battle against obsolescence.

- Approximately one-third of the state's historical records are spread among at least 140 relatively small, understaffed repositories whose volunteers have little training.
- Historical records come in an ever-widening variety of formats on new media, which is increasingly technology dependent.
- Most repositories need improved access to and use of collections; better preservation, conservation, and storage efforts; improved support and funding; and additional training for staff.
- Few repositories holding precious historical records have collections policies, disaster plans.
- Since statehood, more than 175 municipalities have lost records due to fires, floods and other disasters.
- Nearly one-in five repositories lost historical records in a three-year period.
- Most repositories have no year-round temperature controls, no humidity controls, and no fire suppression systems.
- Two in five have no security system.

Recommended Comprehensive Plan

The following recommendations are based on the findings in this report.

An Agenda for Legislative Action

Statutory Changes

Establish the Maine Historical Records Advisory Board

The Maine Historical Records Advisory Board was established by Executive Order in 1989. (See Appendix H.) A more permanent statutory designation would insure the Board's continuation and provide it with increased status as it attempts to carry out its mission.

Enforcement of Local Vault Requirement

Amend 5 MRSA 95-B as follows:

2. Safe or vault for preservation. Each local government shall provide a fireproof safe or vault for the preservation of all records that must be retained permanently but are not required for business purposes. The official having responsibility for those records shall deposit them in the safe or vault where those records must be kept except when required for use. [1997, c. 636, §8 (amd).] Beginning in 2002, each local government shall respond to a survey distributed biennially by the State Archivist requesting 1) a description of the fireproof safe or vault required by this section, 2) a statement of the adequacy of the safe or vault for the preservation of records that must be retained permanently, and 3) a plan, if any, for the establishment or enhancement of a safe or vault to comply with the requirements of this section. The State Archivist shall report the results of these surveys to the Committee on Education and Cultural Resources.

Enforcement of Local Digital Records Requirement

Establish a survey and reporting requirement (similar to that for safes and vaults) regarding local governments' adherence to proper standards to insure the survivability of, and access to, public historical records in digital format.

Appointment of a state task force to investigate the impact of digital technologies on the critical records of local governments.

It is clear that both state and local records have been lost because of the problems with electronic record keeping. It is

important to determine the extent to which these may involve records that are vital to the ongoing functioning of the local government, that document rights and responsibilities of individuals in their jurisdiction, or that are important for other reasons.

State Funding

Digital Records Management Position

After years of requests with no results, this position should be filled as essential to executing the existing, detailed State Digital Records Management Plan, outlining the problems of managing those records and proposing techniques to preserve them. Otherwise, the loss of expensive and important digital records, created by the State, will continue.

Grants for Local Repositories

Maine's historical records will not be properly preserved without the expenditure of public funds.

The Legislative New Century Community Program had a great impact on the preservation of Maine's historical records during FY 2001. Along with funds from the National Historical Publications and Records Commission, a federal agency, thousands of records were cared for and made accessible to researchers. (See Appendix F.) An analysis has indicated that most of these records would not have received treatment without these funds. (See Appendix I)

Modest State funding of \$100,000 annually for the Archival component for the New Century Community Program in FY2004 and FY2005 would provide substantial direct and matching resources to preserve and provide access to Maine's historical records. Grant requests would be considered in the context of the strategic plan established by the Maine Historical Records Advisory Board. (See Appendix G.)

Initiate an archival cataloging service

An archival cataloging service, cataloging archival collections in small repositories with no professional staff, would greatly enhance access to the materials held in these institutions.

Funding to support the development of a Digital Preservation Service at the University of Maine

This program has the potential to offer digital preservation services analogous to those offered for the preservation of other media by Northeast Historic Film and the

Maine's historical records will not be properly preserved without the expenditure of public funds.

most of these records would not have received treatment without these funds

Maine Folklife Center, thereby benefiting repositories throughout the state.

An Agenda for Private Sector Action

Develop standards for online archival inventories, indexes, and other finding aids.

In order to maximize the utility of online archival finding aids, archivists, librarians, and other professionals with responsibility for Maine's historical records need to collectively develop standards for online archival inventories, and protocols for linking cataloging records, inventories, and online copies of documents from collections.

Develop a mechanism for coordinating purchases and distributing information about historical materials for sale.

Those public institutions with funds to purchase historical materials should establish a mechanism for communication, such as an e-mail listserve, to avoid competition between each other for specific materials and to alert each other to the availability of historical collections that are for sale.

Encourage inter-repository agreements to facilitate use of historical materials.

Small repositories and larger ones, those with professional staff and regular hours, should be encouraged to form agreements that would allow for temporary loan of collections from the smaller institutions when a researcher wanted to use it. Organizations such as Maine Archives and Museums could encourage this by preparing and circulating a model agreement.

Appendix A: Microfilm

Technical Standards

Maine State Archives

TECHNICAL STANDARDS FOR ARCHIVAL MICROFILM

June 25, 1998

All microfilm produced under service agreements will conform to the **ANSI/AIIM** standards, procedures and recommended practices specified in the following or most recent update:

- ANSI/AIIM MS 111-1994, Micrographics - Standard Recommended Practice for Microfilming Printed Newspapers on 35 mm Roll Microfilm
- ANSI/AIIM MS 23-1991, Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver Gelatin Microfilm of Documents.
- ANSI/AIIM MS 14-1988, Specifications for 16 & 35 mm Microfilms in Roll Form.
- ANSI/AIIM MS 18-1987, Splices for Imaged Film Dimensions Operational Constraints.
- ANSI/AIIM MS 19-1987, Recommended Practice for Identification of Microforms.
- ANSI/AIIM MS 34-1990, Dimensions for Reels Used For 16 mm & 35 mm microfilm.
- ANSI/AIIM MS 43-1988, Recommended Practice for Operational Procedures /Inspection and Quality Control of Duplicate Microforms and Documents from COM.
- ANSI/AIIM MS 45-1989, Recommended Practice for Inspection of Stored Microfilm.
- ANSI/AIIM MS 51-1991, Micrographics - ISO Resolution Test Chart No. Description and Use.
- ANSI IT9.2-1988, Imaging Media - Photographic Processed Film, Plates and Papers -- Filing Enclosures and Storage Containers.
- ANSI IT9.1-1989, Imaging Media (Film) Silver Gelatin Type Specifications for Stability.
- ANSI IT9. 2-1988, Imaging Media - Photographic Processed Films, Plates, and Papers Filing Enclosures and Storage Containers.
- ANSI IT9.5-1988, Imaging Media (Film) Ammonia Processed Diazo Films - Specifications for Stability.
- ANSI PH1.25-1984 (R1989), Photography (Film) Safety Photographic Film.
- ANSI PH1.43-1985, Photography (Film) Processed Safety Film - Storage.
- ANSI PH1.67- 1985, Photography (Processed Vesicular Film - Specifications for Stability.
- ANSI PH4. 8-1985, Photography (Chemicals) Residual Thiosulfate & Other Chemicals in Films, Plates & Papers - Determination and Measurement.
- AIIM TR26-1993, Resolution as it Relates to Photographic and Electronic Imaging.

Outcome Standards

Maine State Archives CUSTOMER EVALUATION FOR IMAGING SERVICES

Project and rolls to which this evaluation pertains:

Please answer those items below that apply to your project.

Service Evaluation

YES	NO	Service was provided within agreed time frame.
YES	NO	Staff was courteous.
YES	NO	Pickup and delivery was convenient.
YES	NO	Records were returned in good condition.
YES	NO	Agreed number of user copies was delivered.

Image/Film Evaluation

Required for continued access to the content

YES	NO	Full capture of each image
YES	NO	No loss of data on any image without alternate capture strategy*
YES	NO	Uniform focus on each page
YES	NO	Even difficult text can be viewed and printed legibly at some reader/printer setting

* if film portion cannot produce a readable image, it will be identified and an alternate capture strategy will be recommended (photocopy, photograph, certified transcript, etc.)

Preferred for convenient access to the 90% of the content

YES	NO	Uniform light/dark across each page, discounting spot variations due to inking.
YES	NO	Appropriate contrast for readability
YES	NO	Acceptable viewing quality
YES	NO	Acceptable print quality - see attached print samples

Film management

YES	NO	Agreed format (35mm/16mm) was used.
YES	NO	Agreed user copy process (silver/Diazo) was used.
YES	NO	Film packaged properly
YES	NO	Film labeled properly
YES	NO	Film winds correctly for reader/s
YES	NO	Film targets appropriate and legible

Additional comments: (use other side if necessary)

In summary, the work to which this evaluation applies is

☐ acceptable ☐ unacceptable.

Completed and signed by _____

Date: ____/____/____ (customer representative)

Appendix B: Audio Tape

Maine State Archives AUDIO TAPE PRESERVATION PLAN

Problem

The Archives has various State departmental audiotapes, some of unknown content, in reel-to-reel format. We also have cassette tapes of the proceedings Maine State House and Senate. None of these is on archival media or stored in archival containers. Without appropriate archival processing the media will continue to decay until unusable and researchers will not have access to their content.

Completed Objectives

The Archives has . . .

- *Inventoried* all audiotapes in the custody of the Archives, providing the following information: unique identifier or title; media holder: reel or cassette; speed of recording; run time; date of recording; condition comments; location.
- *Selected* approximately 10 hours of tape for initial preservation action, including at least 5 hours of tape from the earliest House of Representatives material.
- *Delivered* the selected tapes to the Maine Folklife Center at the University of Maine in Orono.

The Folklife Center has . . .

- *Assessed* the source tapes to confirm or create the following information: speed of recording; run time; date of recording; condition comments; general content note; (for the non-legislative tapes) title and/or description of each content item (jingle, program, etc.).
- *Provided* a report to the Maine State Archives summarizing the assessment.
- *Processed* the tapes, based on State Archives instructions, by 1) transferring to archival quality preservation master 10.5" analog reel-to-reel tapes at 7.5 inches per second; 2) creating a master user copy compact disk using the CD-recordable technology (CD-R); and 3) creating brief content descriptions, and labeling for each tape.

Continuing Objectives

The Archives will . . .

- *Store* 1) the original source tapes, 2) the archival quality preservation master reel-to-reel tapes, 3) the master user copy CD's, and 4) public user copy CD's created from the master user CD's.

- *Document* the labeling, location, format, and content of all media in an electronic database, which will serve as an inventory control device and as a finding aid.
- *Promote, and provide access* to user copy CD's through listening stations with headphones. Provide access to unprocessed legislative cassettes after first creating a duplicate copy for the user.
- *Establish priorities* for audiotape processing, including possible sampling of certain series.
- *Contract* with the Maine Folklife Center to process priority archival audiotapes.

The Maine Folklife Center will . . .

- Review the tapes to ascertain physical condition, speed, and potential problems such as peaks and pauses. 15 mins./tape hr.
- Make flat copy (with no editing or improvement of original tape) of tape to preservation master (10" archival quality reel at 7 1/2 ips, one side only).
- At the same time as the preservation master is being made, also route the signal through a compressor/limiter to eliminate sudden high recording levels, and through an equalizer to eliminate hiss and hum, to the computer hard drive. This will take care of the worst problems without requiring additional editing time and should suffice for the purpose of creating audible listening copies. 1 hr./tape hr.
- On the hard drive, using digital editing software, delete long pauses and place markers or tracks at the beginning of each meeting or hearing or other natural division in the recorded program and at five minute intervals. This will make it easier for listeners to skim through the recorded program and/or to find specific segments. If desired we could place the markers to correspond to changes in topic or speaker but this could increase processing time by four to six times. Burn the CD. 15. mins./tape hr.
- *Assess time and costs* according to the following estimates supplied by the Center:

Total processing time: 1.5 hours per hour of source tape
Costs:
Labor: \$30 per hour \$45
Supplies: preservation master reel and CD 25
estimated at an average of 1.5 hr per source hour
(We will charge only for supplies used.)
Estimated total cost per hour of source tape: \$70

Maine Folklife Center Experience

"The project work plan involves prioritizing the oldest and most at-risk tapes. We'll be copying recordings to new 10.5" reels of analog tape, and some will also be "burned" to recordable compact disc (CD-R). Archives around the world continue to grapple with the pros and cons of digital versus analog formats for audio preservation, and the MFC will be using both technologies. The CD-R format offers considerable advantages for listening to recordings, and by copying some recordings to CD-R, we'll be able to test for ourselves how well CDs holds up over time. Meanwhile, our analog reel-to-reel preservation tapes will provide a safeguard for the next 20-50 years."

Appendix C: Moving Images

Maine State Archives MOVING IMAGE PRESERVATION PLAN

The Archives has inventoried all known moving images in its custody with the intention of increasing intellectual control, preserving the images, and providing public access to those images.

Specifically, the Archives has contracted with Northeast Historic Film in Bucksport to perform the following services:

1. Assess film condition and physically organize reels
2. Create basic catalog records
3. Replace old cans, cores, and leader with archival materials; assemble reels for later transfer:

Each catalog record contains the following fields: item number, collection name, title, silent/sound, color/black and white, length, negative/positive, date, transfer, source of notes, and an abstract.

The abstract will contain information about the type of film element ("A" Roll or Work Print, for example) and a description of the content. The description will be approximately one paragraph of content summary information rather than a shot level description. The goal of the cataloging will be to provide adequate access to the content for the average researcher.

Catalog records are generated by NHF in *ProCite*, a cataloging computer program. They are transferred to MS Access, a database program used by the State Archives, and delivered on disk to the Maine State Archives.

NHF also produces VHS videotapes of selected Archives' material, for convenient research access.

Appendix D: Committee on Education and Cultural Affairs 120th Maine Legislature

Senate

Betty Lou Mitchell, Chair (R-Penobscot)
John M. Nutting (D-Androscoggin)
Margaret Rotundo (D-Androscoggin)

House

Shirley K. Richard, Chair (D-Madison)
Mabel J. Desmond (D-Mapleton)
James G. Skoglund (D-St. George)
Elizabeth Watson (D-Farmingdale)
Stephen C. Estes (D-Kittery)
Glenn Cummings (D-Portland)
Vaughn A. Stedman (R-Hartland)*
Mary Black Andrews (R-York)
Carol Weston (R-Montville)
Mary Ellen Ledwin (R-Holden)
Donald G. Soctomah (Passamaquoddy Tribe)

Appendix E: Local Government Issues

From the 1997 Survey of Historical Records Repositories
Report:



Management

Municipal clerks feel a very strong sense of responsibility for the obviously valuable records – town meeting records, vital statistics – but the condition of other historical records is left largely to chance. A Clerk is not primarily concerned with the historical value of the materials held, but with carrying on the necessary business of the town. As a result, active records are usually cared for, while other manuscript materials are "out of sight, out of mind."

The organization and condition of municipal records is seldom the result of a long term plan, but the result of random factors: the amount of storage space, whether the same person is the Treasurer as well as the Clerk, the Clerk's background, and the physical distance between departments. Since the Clerk receives retention schedules and information about organizing records, other departments are dependent on the Clerk for information, but Clerks do not usually have a supervisory role over these departments.

- Only 29% of the Clerks polled are responsible for all of the town's records.
- Very few local government officials have had any training in taking care of their historical records.
- Only one third of the town Clerks said they had attended workshops on caring for their historical records.
- Most Clerks were unaware of services offered by the Maine State Archives in caring for their historical records.

Most municipal officials have a basic understanding of what they should do to comply with Archives-based rules, but few have a fuller comprehension of the concepts involved. As a result, they are not able to take the initiative in planning for the town's records.

Conditions

The condition of municipal records in Maine varies widely among the various cities and towns. Since 1897, State law has

stipulated that towns of more than 1,300 inhabitants provide fireproof safes or vaults for town records, a law that has not been enforced. Towns and cities are generally not well equipped to preserve and protect their records or to make them available for research. Some 179 municipalities have suffered total or partial losses by fire; six have suffered total or partial loss of records by flood, forty-one others have had significant records lost by unknown cause. In smaller towns with no municipal office, officials have conducted business out of homes or private offices - a situation that has contributed to alienation or loss of municipal records over the years.

Many local government records are improperly stored. Almost one third of the town Clerks reported that records were stored either in damp areas or areas that are alternately hot and cold. Many infrequently referenced records are stored in unsupervised areas - the old town hall, the attic, storage closets. Because of lack of training, some records, even those recognized as valuable, are neglected or improperly cared for. On-site visits revealed books that had been "repaired" with harmful Scotch tape, books leaning and bent, and materials stored haphazardly in boxes.

Some towns have implemented restoration programs for their historical records. About half surveyed had professional restoration work done. Some have implemented a schedule of repairs, budgeting to have a certain amount done each year. Over 60% felt that they had the support of policy makers in their town in caring for their historical records.

Almost no municipal officials have a list of the records in their care. Over 80% of the town Clerks had no list of their records, and only two out of the sixty-nine reporting had a complete list. This means that if the records are moved or destroyed there is no reference list. An inventory can provide local government officials with information on which to base a plan for organization and preservation.

Some municipalities do not hold all their historical records. Several historical societies and libraries, in response to surveys, mention "local government records" as part of their holdings.

Use and Access

All local and state government records are "public" and open to inspection and copying unless *specifically* exempted by law. Town meeting records and minutes are "public." If a municipal official believes certain records are "confidential," he or she should cite the specific part of the law that designates them as confidential.

If confidential records are interspersed with non-confidential records, the local official (usually the Clerk) should make special arrangements for viewing the non-confidential records. This could include selecting the specific record requested or segregating the confidential from non-confidential records, or making copies of the non-confidential records.

In some offices, the public is not allowed to handle the records or view them alone. In busier offices, Clerks leave records unsupervised with researchers. They worry about the condition of the records, but don't feel that they have the right to restrict access. Allowing full access to records in poor condition hastens their deterioration.

If records, especially older, fragile records, are not in good condition, researchers should not have access to them directly. However, a photocopy or microfilm copy should be provided as soon as possible. For special cases, professional help may be necessary to carefully prepare the records for copying. In any event, while a reasonable time might be needed to accommodate researchers, access should not be denied.

If a record exists on computer, the public has a right to that copy as well as to the paper copy, but the officials do not have to make a computerized copy if one does not already exist. In fact, generally officials are not required to create records just for the convenience of the public. If they *do* create records, they must retain them according to established rules. *Researchers must pay the actual cost of copying records – both paper and computer varieties.*

While historical societies and others may obtain copies of local government records, they may not obtain the original records; even those slated for destruction, unless specifically designated as an "alternative repository" as provided in the *Rules* cited above.

Beginning in the 1950's, the Church of Jesus Christ of Latter-day Saints (the Mormons) microfilmed a large number of municipal vital records; and since the mid 1970's the Maine State Archives has filmed older records in special arrangements with municipalities. Reference copies of these municipal microfilms are available for research at the Maine State Archives.

Approved Media for Records Storage

From the existing Rules for Disposition of Local Government Records, Section 8 (adopted March 1, 1997).

8. APPROVED MEDIA FOR RECORDS STORAGE

Local government records which have been identified as having archival (permanent) value must be maintained on one or more of the following media: paper; microfilm produced according to archival standards, as established by the American National Standards Institute; microfiche produced according to archival standards, per ANSI. Permanently valuable records may be maintained for convenience on nonarchival media (such as magnetic tape, diskette, hard disk, or optical disk), but the same records must in every case be maintained on an archival medium or must be maintained on a system that meets the following requirements:

A. Imaging Systems:

1) The system must be able to produce output to a nonrewritable medium such as Write Once Read Many (WORM), Computer Output to Laser Disk (COLD), or Compact Disk - Read Only Memory (CD-ROM).

2) The system must use a non-proprietary digital image file format (preferably the most generic version of TIFF - Tagged Image File Format -available).

3) The system must use International Telecommunications Union (ITU) Group 3 and Group 4 compression techniques.

4) The system must use a standard Error Detection and Correction (EDAC) system; for example, the Small Computer System Interface (SCSI) command "Write and Verify" must be used when writing data to digital optical disks.

5) The indexing database must provide for efficient retrieval, ease of use, and up-to-date information about the digital images stored on the system. The software employed must be capable of producing ASCII output.

6) The local government agency must have a specific plan for an ongoing process of migrating long-term and permanent records stored on the system from older to newer hardware and software.

B. Electronic Information Systems:

1) The software and hardware used must be capable of copying data to one or more standard offline storage devices, such as standard-sized floppy disks, magnetic tapes, etc.

2) The system must be capable of exporting data in ASCII code or other standard file types, that can be imported by other commonly used software packages. The data must not be modified or truncated, except to conform with statutory confidentiality requirements. The physical and logical formats shall be described in a manner to permit human interpretation of the files.

3) The local government agency must have a specific plan for an ongoing process of migrating long-term and permanent records stored on the system from older to newer hardware and software.

Whether or not the system is used to maintain permanent records, the public's right to request and receive usable electronic copies of public records must be protected through compliance with A2, A3, and A5 above for imaging systems; and by compliance with B1 and B2 above for electronic information systems.

C. Effective Dates

This section is effective for all new systems installed after January 1, 2002 and for all systems in operation on January 1, 2006. The Board shall review the status of concerns about privacy issues raised by the provisions of this section before March 1, 2001.

Appendix F: Outcome Measures for Records Grants

Summary of Outcomes by Category

The term "historical records" includes all formats, often mixed formats. When specific formats are noted (audio cassette, motion picture film, map or plan, newspaper, photo, volume) their data is not included in that for historical records.

Outcome Category	Number
Audio tapes archivally remastered	36
Audio tapes placed in archival containers	76
Bound volumes receiving conservation treatment	37
Collection guides created for repository collection	87
Collections protected by UV filters	3
Collections receiving general archival assessment	14
Feet of 16mm, B & W, silent motion picture film preserved	2,500
Finding aids created for a collection	20
Historical records images microfilmed	27,126
Historical records inventories	6
Historical records photocopied for a reference set	1,439
Historical records photocopied for preservation purposes	4,588
Historical records placed in archival containers	126,875
Historical records receiving a conservation assessment	3,400
Maps or plans placed in archival containers	200
Maps or plans receiving conservation treatment	5
Newspaper images microfilmed	22,902
Photo archival negatives created	1,291
Photo images receiving conservation treatment	167
Photo negatives placed in archival containers	10,946
Photo prints placed in archival containers	3,824
Photo reference prints created	1,666

Appendix G: Historical Records Advisory Board Plan

Strategic Plan 1999-2004

James S. Henderson, State Coordinator
Maine State Archives
May 13, 1999

Summary

Created by Executive Order of the Governor in 1989, the Maine Historical Records Advisory Board (MHRAB) has been active in the grants program of the National Historical Publications and Records Commission (NHPRC), both as reviewer and grantee. The eleven member Board has been at or near full strength since its inception.

This plan is based on the recent 1994-1998 Plan, as revised through planning sessions with the Board during 1997 and 1998. It takes into account recent experience with two regrant projects, the State Archives Digital Records Planning grant, other NHPRC-directed grant proposals, and events within the historical records community in Maine.

As a result, the Board reviewed and revised its assessment of *strategic issues* and related objectives and activities, its *statement of priorities for Board action* and its *statement of priorities for grant funding*. Most of these implicitly reflect the previously articulated Board priority of "Develop[ing] long-term management plans in historical records repositories providing for basic evaluations of collections, adequate storage, access to ... collections and disaster plans."

MHRAB Background

Mandates

The Board's mission is framed by the Executive Order creating it, the guidelines developed by the NHPRC, and by the Board's interpretation of its role as the lead coordinating entity in the state regarding historical records.

Mission Statement

The Maine Historical Records Advisory Board has taken the broad view that it should use its mandates to coordinate and encourage the preservation of and access to historical records in a variety of ways. These include providing information and training to those responsible for such records; guiding the preparation of grant requests to the NHPRC and reviewing

those requests; developing an informational base regarding the condition and needs of historical records; promoting the importance of historical records to policy-makers and the general public, and encouraging priority preservation and access projects through advice, grant reviews and its own grant programs (from NHPRC-funded regrants or other sources).

The Board pursues collaborative ventures, where appropriate, such as advising the State Archives on its Archaeological-Archival Materials grant program and coordinating Board planning with Maine Archives and Museums, an association of individuals, organizations, and repositories.

The Planning Process

Historical Records Assessment

In January, 1990, MHRAB began an eighteen month statewide assessment of Maine's historical records. The Board acted primarily in an advisory and editorial capacity; the Maine State Archivist (James Henderson) was project director; a full-time Field Director (Janet Roberts) was hired; and Howard Lowell, State Archivist for Delaware was hired as a consultant to provide an outside perspective. The report assessed the condition of records overseen by historical societies, libraries, and museums, as well as those held by local and state government agencies. The resulting information was analyzed and recommendations were made for improving the condition of Maine's historical records, taking into account opportunities for statewide cooperation and coordination. The report, *Fading Images: Maine's Memory at Risk*, was published and distributed to legislators, records repositories, granting agencies, libraries, and interested citizens. The survey information was also used to produce "A Guide to Maine's Historical Records Repositories".

In 1998, the Board participated in the Historical Records Repositories survey coordinated by the Council of State Historical Records Coordinators. Results from the survey have been reviewed by the Board and serve as a basis for its future plans.

Maine's Statewide Preservation Planning Project

From the spring of 1991 through the fall of 1992, the Maine State Archives sponsored a NEH-funded effort to develop a plan to insure that Maine's valuable cultural resources would be available to future generations. This project used the strategic planning process and covered the full range of cultural material, including archival and library resources, artifacts, and art objects with historical/cultural value. The goal of this coordinated planning project was improved access to

collections, better organization and understanding of collections, and a plan for insuring that the collections will be available for future scholars to study. Members of MHRAB participated in the project, and many of the results were directly applicable to the work that MHRAB is doing.

The project resulted in the publication of the general report entitled *An Action Agenda for Preservation Planning in Maine* and *Preserving Your Collections: A Planning and Resource Manual*, which is being revised as part of a current planning grant from the NHPRC.

Planning Assumptions: A Summary of Environmental Conditions

The Board, in its planning sessions, and from its recent collective and individual member experiences, identified certain elements that were considered significant to the current planning process.

- The Cultural Resources Information Center (CRIC), created in 1992 to assist in disseminating technical information and enhance cooperation and collaboration among professionals and organizations, has been discontinued as a result of State budget cuts.
- The Society of Maine Archivists and the Maine Association of Museums recently merged to form Maine Archives and Museums.
- The U.S. Newspaper Project in Maine, now underway, continues the sense of community and cooperative spirit which should support other broad-based efforts.
- Economic conditions, grim in the past few years, are somewhat better and may offer opportunities to restore State support for MHRAB priorities.
- Recent and current regrant projects have increased the pool of trained custodians and has provided incentives and models for local projects.
- Volunteerism is viewed as a valuable, but fragile asset, requiring expert management to maintain consistent, useful results. Economic and demographic variations will shift the volunteer pool continuously.
- NHPRC support for regrants has been helpful, but is not a guaranteed, consistent source of continued funding for local projects.
- Apparently overlapping missions of the NHPRC and NEH regarding preservation of historical records provides both opportunities and confusion.

- The emergence of the Internet, the Archives listserve, and the Maine Cultural Organizations listserve symbolize the continuing rapid change in the area of electronic communication. Increased use of the Internet demonstrates the new approaches to research strategies by scholars and the need for staff training to take advantage of these changes.
- The creation of individual Internet pages for many museums, historical societies and other repositories, both by the repositories and through a program sponsored by Maine Archives and Museums and the Maine Office of Tourism, may attract more users to unprepared repositories.
- Greater use of historical records by K-12 and college students was noted. It may be related to an emphasis on community values and local history supported by teachers and their increased use of libraries and archives.
- The Maine Community Cultural Initiative, a \$3.6 million legislative effort to gain support for archival and other cultural projects, has and will raise awareness of issues of importance to the MHRAB.
- The availability of *Preserving Your Collections: A Planning and Resource Manual* and *Maine's Historical Records: A Guide to Repositories* on the Internet will make these important resources widely available.

Strategic Issues and Board Priorities

These are issues that must be addressed as critical to the success of the Board's mission. They are divided into two priority levels; within each level issues have equal importance. Level 1 priorities will generally receive higher recommendations for NHPRC or Regrant funding. Level 2 priorities are recognized as having importance but are subsidiary to Level 1 priorities.

Level 1 Board Priorities

Basic Training: Many custodians of historical records still lack the training to properly assess and care for archival records both in general repositories and local governments.

Loss of Records: Records are currently being lost to out-of-state repositories or buyers or to the dump.

Preservation and Access: Many of Maine's historic records are not in archival housing, do not have finding aids, and/or are in electronic format, each of which inhibits long-term access and preservation. These records may be in local governments and academic institutions as well

as private archives, historical societies, museums and libraries.

Level 2 Board Priorities

Collections Information: It is difficult for researchers to discover which Maine repositories hold archival records and the scope and content of those holdings.

Archives in the schools: Many teachers do not know how to effectively use archival records in the classroom.

Electronic Records Issues: Although state government has begun to deal with its electronic records, there is concern about Maine's ability to document current important issues and institutions for the future. Will the big organizations take care of their electronic records so there will be an archival record to give to repositories? Will repositories be able to deal with the electronic records when someone donates them?

Cooperation and Collaboration: There is a lack of cooperative arrangements in some areas of the state to make the best use of limited resources; direct researchers to appropriate repositories; develop regional approaches to common issues; and advocate to make the general populace aware of the importance of, and threats to, historical records.

Promote Public Awareness: The public and lawmakers are often unaware of the value of Maine's historical records and the role of historical records caretakers.

Centralized Information: There is a need for a single source for preservation planning and technical/human resources; providing information on funding sources, fundraising, and grant mechanisms; and referring researchers to appropriate repositories.

Strategic Agenda - Goals

Based on the environmental assessment and identification of strategic issues, the Board established an agenda of achieving certain strategic goals during the five year planning horizon.

Level 1 Priorities

- Insure that historical records custodians receive proper training in basic archival planning and management, appraisal, processing and preservation techniques.
- Insure that local government officials receive proper training.

- Prevent the sale of important historical records other than to Maine repositories.
- Place more significant records in archival housing.
- Create more finding aids for significant records.

Level 2 Priorities

- Provide researchers with information about Maine collections.
- Provide teachers with information on the effective use of archival records in the classroom.
- Create an awareness of this problem among creators.
- Develop regional groupings where appropriate.
- Raise level of awareness among legislators.
- Raise the level of public awareness.
- Create a source for information and referral for repositories and researchers.

Board Funding Priorities

The Board will consider the following objectives in priority order when evaluating the merits of NHPRC grant proposals. It will also consider other criteria to insure the most effective use of grant resources.

Priority Objectives

- Provide incentives for custodians to obtain training.
- Provide opportunities for custodians to obtain training.
- Encourage the Maine State Archives to help local governments to improve compliance with regulations governing their records.
- Prevent the sale of government records.
- Prevent the sale of non-government records.
- Obtain the placement of 100 cubic feet of historical records in archival housing by February 1, 2000.
- Create finding aids for 100 cubic feet of historical records by February 1, 2000.
- Create more collections level descriptions.
- Provide repository and collections level directories to researchers.
- Promote use of electronic technology for access.

Historical Records In Maine

- Develop and implement a program to increase primary and secondary school use of historical records in cooperation with social studies, language arts and other educators.
- Encourage cooperation with libraries, possibly via the Maine Library Association
- Provide information about historical records directly to legislators.
- Promote news stories regarding historical records issues.
- Develop notices, flyers, posters for distribution in communities.
- Reestablish the Cultural Resources Information Center (CRIC) sponsored by the Maine State Museum and the Maine State Archives.
- Determine unmet research needs: what projects are frustrated from a lack of documentation or information about the location of that documentation?

Other Criteria

The Board will encourage and give higher rankings to proposals that fit within the Board's priorities. In addition to applying the NHPRC criteria, the Board would be unlikely to recommend funding for projects in which:

- the applicant has not completed long-term planning for its archival collection
- does not have a disaster plan, including strategically placed emergence materials
- the institutional stability of the organization is in question
- item-level conservation is required
- the applicant has not determined whether its collection is duplicated elsewhere and has not checked with either local or statewide organizations to see if a cooperative approach is warranted.

The Board will give higher priority to projects which:

- demonstrate a high level of cooperation with other organizations, and which reflect a state-wide integrated approach to archival preservation.

Issues and Goals Linked to Objective and Activities

These are the goals and objectives intended to deal with the priority strategic issues, along with specific activities that

support those objectives. Each activity designates specific responsibility and a time frame for its execution.

Level 1 Board Priorities

Basic Training:

Many custodians of historical records still lack the training to properly assess and care for archival records both in general repositories and local governments.

Goal: Insure that historical records custodians receive proper training in basic archival planning and management, appraisal, processing and preservation techniques.

Objective: *Provide incentives for custodians to obtain training.*

Activity: Require basic training as a prerequisite to receiving regrant funding.

Objective: *Provide opportunities for custodians to obtain training.*

Activity: MHRAB encourages MAM to offer training workshops

Activity: MAM offers training workshops

Activity: State Archives coordinates workshops

Goal: Insure that local government officials receive proper training.

Objective: *Encourage the Maine State Archives to help local governments to improve compliance with regulations governing their records.*

Activity: MHRAB sponsors distribution of Maine-Massachusetts Archives and NAGARA brochure on the value of local government records.

Activity: MHRAB regrant encourages local governments to become apply, requiring compliance with Archives regulations.

Activity: MHRAB encourages the Maine Municipal Clerk's Association to include records management training in its programs for certification.

Loss of Records:

Records are currently being lost to out-of-state repositories or buyers or to the dump.

Goal: Prevent the sale of important historical records other than to Maine repositories.

Objective: *Prevent the sale of government records.*

Activity: MHRAB issues statement with press release to support State Archives attempt to inform dealers and public that such sales are illegal and undermines Maine's documentary heritage.

Activity: MHRAB commissions poster contest in schools to design media for distribution to public places: libraries, town offices, community bulletin boards, etc.

Activity: Maine State Archives informs clerks and selectmen annually; places notice in *Maine Townsman*.

Activity: Maine State Archives posts notice on its web site regarding the law in this area.

Objective: *Prevent the sale of non-government records.*

Preservation and Access:

Many of Maine's historic records are not in archival housing, do not have finding aids, and/or are in electronic format, each of which inhibits long-term access and preservation. These records may be in local governments and academic institutions as well as private archives, historical societies, museums and libraries.

Goal: Place more significant records in archival housing.

Objective: *Obtain the placement of 100 cubic feet of historical records in archival housing by February 1, 2000.*

Activity: MHRAB provides regrant funds to place records in archival housing.

Goal: Create more finding aids for significant records.

Objective: *Create finding aids for 100 cubic feet of historical records by February 1, 2000.*

Activity: MHRAB promotes and provides regrant funds to develop finding aids.

Activity: MHRAB develops and distributes information on creating finding aids.

Goal: Provide repositories with “best practices” guidance on the documentation, management and storage of electronic records

Objective: State Archives will post its Digital Records Management Plan on its Internet site.

Level 2 Board Priorities

Collections Information:

It is difficult for researchers to discover which Maine repositories hold archival records and the scope and content of those holdings.

Goal: Provide researchers with information about Maine collections.

Objective: *Create more collections level descriptions.*

Activity: MHRAB requires descriptions to be developed for collections assisted with regrant funds.

Objective: *Provide repository and collections level directories to researchers.*

Activity: MHRAB posts Historical Records Repository Guide on the Internet

Activity: MHRAB publishes Historical Records Repository Guide in paper form.

Activity: Regrant requires use of NUCMUC reporting for collections served by a regrant.

Objective: *Promote use of electronic technology for access.*

Archives in the schools:

Many teachers do not know how to effectively use archival records in the classroom.

Goal: Provide teachers with information on the effective use of archival records in the classroom.

Objective: *Develop and implement a program to increase primary and secondary school use of historical records in cooperation with social studies, language arts and other educators.*

Electronic Records Issues:

Although state government has begun to deal with its electronic records, there is concern about Maine's ability to document current important issues and institutions for the future. Will the big organizations take care of their electronic records so there will be an archival record to give to repositories? Will repositories be able to deal with the electronic records when someone donates them?

Goal: Create an awareness of this problem among creators.

Cooperation and Collaboration:

There is a lack of cooperative arrangements in some areas of the state to make the best use of limited resources; direct researchers to appropriate repositories; develop regional approaches to common issues; and advocate to make the general populace aware of the importance of, and threats to, historical records.

Goal: Develop regional groupings where appropriate.

Objective: *Identify and encourage specific groups.*

Activity: MHRAB identifies geographic areas in need.

Activity: MHRAB "encourages" regional groups in these areas.

Objective: *Encourage cooperation with libraries, possibly via the Maine Library Association*

Promote Public Awareness:

The public and lawmakers are often unaware of the value of Maine's historical records and the role of historical records caretakers.

Goal: Raise level of awareness among legislators.

Objective: *Provide information about historical records directly to legislators.*

Activity: MHRAB sends notice of regional meetings to area legislators.

Activity: MHRAB participates in awareness programs at the State House

Goal: Raise the level of public awareness.

Objective: *Promote news stories regarding historical records issues.*

Activity: Contact news media serving areas in which regional meetings are held.

Activity: Contact news media regarding regrant announcements.

Objective: *Develop notices, flyers, posters for distribution in communities.*

Activity: MHRAB commissions poster contest in schools to design media for distribution to public places: libraries, town offices, community bulletin boards, etc. (See Level 1 priority **Loss of Records**.)

Activity: MHRAB sponsors distribution of Maine-Massachusetts Archives and NAGARA brochure on the value of local government records.

Centralized Information:

There is a need for a single source for preservation planning and technical/human resources; providing information on funding sources, fundraising, and grant mechanisms; and referring researchers to appropriate repositories.

Goal: Create a source for information and referral for repositories and researchers.

Objective: *Have Maine Archives and Museums to perform this function.*

Activity: Send letter to MAM Board indicating MHRAB's concern.

Activity: Contribute articles to MAM newsletter.

Activity: MHRAB provides basic information on archival issues and problems, possibly to MAM for their use in responding to questions.

Objective: *Reestablish the Cultural Resources Information Center (CRIC) sponsored by the Maine State Museum and the Maine State Archives.*

Activity: MHRAB supports the Cultural Initiative proposed to the legislature by the Cultural Affairs Council and associated cultural agencies which includes this initiative.

Objective: *Determine unmet research needs: what projects are frustrated from a lack of documentation or information about the location of that documentation?*

Activity: Encourage the State Archives and MAM to conduct a survey or other inquiry to determine these needs.

Communication and Evaluation

Distribution to Constituencies

Copies of the Strategic Plan will be circulated to the Board of Maine Archives and Museums and to the Directors of the State Cultural Agencies (the Library, Museum, Historic Preservation Commission, and Arts Commission). Availability of the plan will be publicized through the MAM newsletter, and copies will be distributed at Board meetings, which are open to the public. The Plan will be posted on the Archives Internet Web site.

Evaluation

The Board will conduct an annual overview evaluation of the Strategic Plan, and will hold a more in-depth review session every two years to make revisions to the Plan.

Appendix H: MHRAB Executive Order

Creating the Maine Historical Records Advisory Board
[Not in electronic form]

Appendix I: Evaluation of New Century Grants

The following observations were taken from a draft report of results of a survey conducted by Mount Auburn Associates of Cambridge, Massachusetts. They were commissioned by the Maine Cultural Affairs Council to evaluate the New Century Program in general.

The following relate to 101 grants totaling \$176,000, provided jointly by the Maine State Archives and Maine State Museum. In addition, local organizations provided \$348,412 in matching funds, resulting in over \$500,000 directed toward preservation of historical records and objects. Nearly half (46%) the projects produced community volunteer involvement totaling 128 individuals.

Ratings by Grantees on the Process

These are rated on a five-point scale based on responses from organizations receiving grants from the Archives-Museum joint program. Higher numbers represent higher satisfaction with each measure.

Measure	Percent Selecting		
	4	5	4+5
Simplicity of the Application	25	55	80
Time between application and funding	28	63	91
Responsiveness of staff	12	83	95

Perception by Grantees of Project Outcomes

The New Century Program intends to build communities in addition to preserving historical material. Here are the percent of grantees surveyed citing selected outcomes. Since multiple responses were permitted, totals will exceed 100%.

Outcome	Percent
Improved relationship with other organizations in the community.	42
Increased the technical capacity of your organization	38
Increased awareness of importance of arts and cultural assets among public officials	35
Enhanced community's image of itself	34
Increased capacity to undertake arts and cultural related development	31
Increased financial viability of your organization	28
Enhanced quality of public education in the community	23

**What Grantees Think Would Have Happened if They
Had Not Received the Grant**

Consequences	Percent
Would not have proceeded	42
Would have delayed	32
Would have scaled back and delayed	17
Would have scaled back	6
Would have proceeded with own funding	1

Appendix J: Historical Records for Sale

E-Bay On-line Auction - January 29, 2002

Item A

"Records of Lyceum, Mt. Vernon, Maine 1889 - Franklin and Kennebec Counties This old ledger from 1889 appears to be records from the Lyceum Association in Mt. Vernon Maine. The lyceum and debating clubs of this period played an important part in both school and community life and the libraries gradually accumulated by these clubs grew to be of such value that it became necessary to place them under the control and management of responsible bodies. . . . The penmanship of the record keepers is excellent. This item would be fascinating for anyone interested in Maine history - especially for the Franklin and Kennebec County areas." (Maine)

Item B

"1863, n.p. A superb Civil War monthly return of clothing, camp & garrison equipage issued to the 30th Regiment Maine Volunteers. Completely issued and signed by Capt. K. W. Moses. very fine. A great Civil war related document." (New Hampshire)

Item C

"1834 Booklet on Maine Constitution This small printed booklet dates from 1834 and is entitled "Remarks on the Constitution of Maine By An Elector." Further markings on the title page are: "Second Edition - Augusta, 1834." Name of the printer appears inside the title page: "I. Berry & Co." 6 X 3 3/4 inches. The name "Hiram Hill" is written in pencil on the paper cover The book is uncommonly prescient citing the need for precise language in a Constitution while bemoaning the practice of loose language in legislating, which practice had begun to carry over into the writing of constitutions also. Heavy wear of course. But not that bad at all as the terminology might imply. For though the outside plain paper covers are heavily worn, bent, and stained, inside the 34 pages are remarkably white. Some staining obviously on the inside but nothing to interfere with reading and nothing threatening to cause the losing of pages. The booklet is still tight in its original glued binding." (New Mexico)

Item D

This is a rare and wonderful 1872 Map of the Town of Lyman, York County, Maine. This Map shows the Public Roads,

PO's and Villages, Districts, location of Buildings with Owner/Business Names, some topography, more. An excellent research and genealogy tool! Beautifully hand colored and bordered." (Arizona)

Item E

"1872 Map Town York, York Co MAINE. All these maps have been cleaned to remove water stains. This doesn't damage the map, does restore some of the paper's original vibrance. It does, however, remove some of the original hand coloring (pink) as applicable. Some maps have an occasional spot of foxing, edge soiling and small edge tears as would be expected after 130 years! Please note the holes used for stitching the map into the atlas are along the top edge and would have to be framed around as the Town extends beyond the border." (Arizona)

Appendix K: Proposal for a University Archives

I. Background on University Archival Programs

Most universities of comparable size and age to the University of Maine have a formal archival program. For example, the other New England land grant universities have all established archives. These archives function as the institutional memory for the university, retrieving documents and information needed by the administrative offices on-campus, and they usually have a significant role in supporting fundraising activities among alumni. In some cases, University Archives also take on the function of records management.

Because the primary users of the archival records and services are the higher-level offices of the universities, archives are sometimes located within the office of the President or Secretary of the University or are supported out of the budget of one of these offices. More frequently, however, university archives are located within the University Library, because the functions of libraries and archives--the collection, organization, preservation and retrieval of information--are parallel, although they use different methodologies and serve very different constituencies.

II. The Current State of Archival Records at the University of Maine

Although the Fogler Library has never had a University Archivist position, in the last 30 years, many university departments have transferred their older records to Special Collections to ensure that they would be preserved. Special Collections currently holds almost 700 boxes of records from about 45 offices, departments, and campus associations. However, most of these materials have never been processed, there are no finding aids for them, so they are unlikely to be used.

An effective archival program entails a careful selection of records for inclusion in the archives, a selection that is based on a knowledge of the entire body of documentation created by the institution. This will ensure that all of the essential institutional functions and activities are documented. The records currently housed in Special Collections, however, were not selected in such systematic way. A cursory examination of them suggests that many of them do not have long-term value. At the same time, the holdings are much smaller than those of

professionally-run archives of comparable universities, most of the records are from recent decades, and there are no records at all for many administrative units of the University. Therefore, it is clear these holdings do not include all of the records that are needed to effectively document the breadth of activities undertaken at the University throughout its history.

III. Developing a University Archival Program

It generally takes several years to firmly establish a university archival program. In the case of the University of Maine, the following initiatives would need to be completed to achieve this goal:

Records Survey. A campus-wide records survey would be undertaken to examine and collect data about the records generated by every office of the University. This data would be used to identify those records that should be transferred to the Archives.

Records Retention and Disposition Schedule. The data from the records survey would also be used to prepare schedules that identify which records are to be transferred to the Archives and which records need to be retained by the originating office for specific periods of time for fiscal or legal purposes.

Arrangement and description of archival records. The records currently held in Special Collections need to be sorted and organized, weeded of extraneous materials, re-housed in archival folders and boxes, and described in archival finding aids. There will always be a backlog of unprocessed records, but, at a minimum, the records of the highest administrative offices of the University – the President, and the vice presidents--before the archives can begin to effectively fulfill its function as the institutional memory of the University.

Electronic record keeping program. Many university records are now created and maintained only in digital formats, in which formats they can easily be altered or destroyed—either accidentally or deliberately. Consequently, it is imperative that there be a program to ensure the retention and preservation of electronically-generated records that need to be retained for administrative, fiscal, legal, or historical purposes. To do this in a way that ensures the authenticity and integrity of the records over time, they must be captured at the time of creation, such as is possible using a “middleware” electronic documents management program.

This initiative would necessarily be a collaborative effort between archivists and the IT staff, in consultation with administrators.

IV. Benefits

Access to Historical Data. The primary benefit of the University Archives would be greater and more rapid access to historical information about the University. Ultimately, we anticipate that key university publications and records would be integrated into the Digital Library program to provide online searching of and access to them. This data is used primarily by administrators, who wish to understand the reasons for previous administrative decisions or to contextualize new initiatives under consideration. Rapid access to information would be expected to have the same benefits it has in the business world: increased speed and efficiency in administrative activities.

Records Management. One of the products of the University Archives project proposed here would be a records retention and disposition schedule for the University. This constitutes the core of a records management program, and would result in significant savings in space (from discarded records) and time (resulting from more efficient file and information retrieval) throughout the institution. Since the schedule would also identify records that need to be retained for legal purposes it could have untold benefits in instances of litigation.

Development and Public Relations. By providing access to the records and history of the institution, University Archives become an important resource for alumni programming and other public relations activities.

Support of Research and Instruction. University Archives, like all archives, provide primary source materials that can be used by students and faculty in their academic endeavors.

V. Required Resources

In addition to the standard office resources that every administrative unit requires, an archival program would need

Storage Space: The holdings of university archives vary widely—from 2,000 linear feet of records to more than 20,000 linear feet, depending on the size and age of the institutions and the volume of records that have survived. It would not be possible to give a reliable estimate of the space

required until after the records survey is completed, but the archives would certainly require no less than 2,000 linear feet of shelf space, it would be prudent to reserve 3,000 linear feet of space for the Archives during the “start-up” period.

Staffing: Although many university archives have only on full-time professional staff person, they are usually staffed more heavily for the first 2-3 years. Typically, for example, two archivists will be employed for 18 to 24 months to conduct a university records survey. We estimate that it would take two full-time archivists two years to complete a records survey of records at the University of Maine campus⁷. A minimal amount of archival processing work could also be completed during records survey, but it would be reasonable to estimate that records of high-level administrative offices acquired after the records survey was completed would require two FTE more than a year to complete.⁸ It would be reasonable to assume that it would require two full-time professional archivists for three years to firmly establish a university archival program. A recent national survey found that 86% of these programs are professionally staffed and 65% also have clerical or paraprofessional support staff.⁹

⁷ This is based on a rate of surveys of two offices per week per person, a rate that is fairly standard and which can rarely be exceeded due to the need to accommodate the schedules of office staff.

⁸ We would include the offices of the President and vice-presidents in this category. Special Collections currently holds 177 linear feet of records from the Office of the President. Typically, the records generated by vice-presidents would be almost as large as (and in the case of Finance and Administration, larger than) those of the President. There are now five vice-presidents. Although all of these offices may not immediately transfer to the Archives all of their inactive records, we should anticipate that the records transferred from these offices will be at least twice the volume of those of the President's office. Assuming that the records of the President's office were processed during the records survey, it would still take more than a year for 2 FTE to complete the processing of the records of the other office (estimated at the average processing of 3 linear feet per week per archivist).

⁹ “Where History Begins: A Report on Historical Records Repositories in the United States,” Tables I.1a-e <http://coshrc.org/surveys/HRRS/hrsmain.htm>.

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