

## APPENDIX A: FINAL WORKSHOP DOCUMENTS

To a certain extent, these workshop documents are the core of the volume: they are the results of a lot of deliberation by the participants. They may be dry reading but we all hope that anyone contemplating to form an archives will read them carefully.

### **Document 1:**

#### **On Archive Advocacy: Archives Are About the Future**

Introduction: Research archives often have difficulty justifying their existence, the high cost of preservation and access and the need for specialist training. They operate in institutional structures not designed to accommodate archives—universities, for example. The following document was drawn up to be a mission statement for archives. It is written for a general audience—members of the society at large, funding agencies and administrators—and expresses the importance of archives in the new millennium and the need to support them for the general good. Readers may be able to think of some additional justifications but in late 1999 digital changes were perceived as overwhelmingly important. Any given archives might wish to modify the statement, but each member felt that some kind of advocacy statement for archives was extremely important for every archives.

#### *Archives Are About the Future*

One of the most dramatic developments of the current times has been the development of digital technology. This revolution is causing

hitherto unforeseen challenges to cultures and traditions. As we look to the new millennium, it is clear that the Internet and other communication channels will provide new dimensions of accessing information—potentially to people all over the world.

Archives present a unique opportunity to serve as hubs in the flow of information, safeguarding the newly-created information while providing access to the accumulated treasures of human cultures.

Audiovisual documentation has provided the most effective medium for the preservation and study of cultural expression. Research archives are the prime custodians of orally-transmitted cultures be it the rituals of the Andes or the *gamelan* orchestras of Bali. They also preserve the linguistic, religious, artistic diversity of the peoples of the world in a time when globalization threatens with world wide homogeneity.

Audiovisual archives, however, need a higher level of care and support as their collections are recorded on fragile media—be they tape, film or compact disc. As modern carriers have greater data density, chemical deterioration is generally more drastic for newer formats. Recording equipment and standards too undergo rapid changes and thus archives have to maintain various kinds of equipment that may be obsolete in the commercial domain. Apart from technical challenges, such archives have the responsibility not only to physically preserve materials but to safeguard traditions, rights and collective memory of the peoples of the world.

**Document 2:**  
**Strategies for Archives**

One of the reasons archives have difficulty obtaining financial support is that it can be hard for non-specialists to understand what an archives does and whom it serves. Archives and archivists remain an esoteric group. Archivists are often accused of being possessive about material in their custody because the needs of preservation, the expense of copying and the legal intricacies of rights and intellectual property are not known or understood by their critics. The document on strategies for archives attempts to provide practical guidelines for archives policy. Above all, the document is meant to assist archives to garner support for their existence and development.

### *1. Collecting*

#### DEFINING THE COLLECTION

A strong focus of the nature and scope of the collection will strengthen the archives and give it a clear identity—to the organization it exists within and the public at large. Especially in a small archive, trying to collect too much or too many kinds of things may use valuable human resources and space on material that is not really central to the archives' purposes. However, an archives must also be flexible and ready to take advantage of unexpected opportunities. A donation of a large collection that is outside the archives' original scope may result in additional benefits including personnel, space, equipment, funding and public awareness.

In many cases, only a part of a potential collection fits within the scope of an archives' focus. An archives may choose to reserve the right to dispose of, pass on or return those materials which do not belong in the collection.

#### EXPANDING THE COLLECTION

For every archives, a primary task is convincing potential donors that their material will be well taken care of. This means proper storage, easy access and all the other things discussed earlier but perhaps even more crucially, an understanding that the material will be used but not abused. Archives must also be vigilant about whether agreements concerning access, duplication and publication are being scrupulously followed by all personnel in the archives. An awareness of the importance of maintaining the highest professional, legal and ethical standards must extend all the way from the archives' director(s) to part-time student assistants and clerical staff.

An additional consideration that often escapes administrators searching for greater 'efficiency' through 'pooling' of resources is that a donation to an archives is specifically to that archives. Transfer of archival materials to another location (a library, a museum or even another institution) may displease donors who have carefully chosen a site for depositing their materials and may even invalidate agreements made between the collector and the archives. Since changes in the

physical location and distribution of materials are always possibilities, agreements with collectors should always include contingency arrangements.

In addition to promoting the archives through public relations strategies, in some countries (e.g. Australia, India, the US) donations of collections or money to archives is tax deductible and potential donors should be made aware of this financial incentive. Since national regulations vary widely, it is up to individual archives to determine whether or not contributors to their collections qualify for such exemptions.

### *2. Technology and Preservation*

Archives commonly use highly specialized equipment which is difficult to repair even in the best of circumstances. Before making any purchase of equipment the following should be taken into serious consideration:

- i)* Seek the advice of radio and television technicians who generally have the most updated information about sound/video equipment;
- ii)* Look for commercially manufactured and/or locally distributed equipment. Locally purchased equipment ensures a continuous supply of spare parts and expert technicians for replacements and/or repairs. It will also be beneficial for the archives should a memorandum of agreement be entered into with the supplier who will agree to make spare parts and services available for at least a five-ten year period.

In general, technical goals are obvious: using the most long-lasting and stable media to preserve the archives holdings, transferring to better media when these become available, having an established track record for reliability and longevity and preserving all materials in the best way possible.

In many cases, collectors have materials they can no longer readily use. For example, the descendants of a collector may no longer have an open-reel tape recorder, and donating these tapes to an archives in exchange for cassette copies will be a mutually beneficial exchange. The possibilities are more complex with commercially produced materials (e.g. 78rpm records) but in these cases some arrangements may also be possible within the relevant copyright guidelines.

### 3. Funding Strategies and Financial Considerations

#### SOURCES OF FUNDING FOR ARCHIVES:

1. Local (institutional and individual).
2. Marketing of CDs, print publications, etc.
3. Income from subscriptions by individuals or institutions to an archives' newsletter or from membership dues from 'friends of the archives'.
4. National and international funding agencies (academic, governmental, international).
5. Corporate funding.
6. Indirect funding (faculty members, training of staff, graduate assistants part-time student assistants provided by a department). In addition to an archives' salaried staff, indirectly funded help is often essential to making the archives work. Museums, for example, often use voluntary help and archives should try to explore this possibility as well.
7. Archive staff applying for research grants may include funding that supports an archive either directly or indirectly. An ideal long-term solution for an archive's financial problems is to find an endowment, either individual or corporate.
8. Licensing of music can be made one of the archives' fund resources: a film or television programme using materials from the archives may generate considerable income for years to come.
9. In a fundraising campaign, tax incentives on donations made in cash or in kind could attract prospective benefactors.
10. The annual budget must always specifically include the maintenance of the equipment and the training of staff. Allowance for a 10% annual depreciation of all the equipment will facilitate justification for new replacements.

If free programmes are not provided by the institution or government, the budget should also include staff training for

- a) fire/disaster planning which is necessary for safeguarding the archives against *force majeure*;
- b) skill development of the staff especially on the use of new technologies, e.g. the software being used in the archives. The use of new

technologies should not depend on the ingenuity of the staff to learn them by themselves.

#### *4. Public Relations*

Public relations strategies include both the materials produced by an archives and the interpersonal interactions that shape and supplement these materials.

Among the kinds of materials produced by archives are:

1. Brochures
2. Posters
3. Websites
4. Compact Discs (with samples of the archives' products, as opposed to commercially produced discs)
5. CD-ROMs
6. Promotional Videos
7. Educational Materials

The last category is far-reaching and may extend beyond working with the archives' materials by involving archives staff and including archival material in books, song collections, scores, photo collections or other materials. This may increase the visibility of the archives.

Archival staff can also bring attention to the archives by giving lectures within other departments of a university or government organization. The media—print, radio and television and the Internet—are major components in public relations. Archival staff can promote the archives themselves through the various media; by cultivating long-term media relationships, the media representatives themselves may be made to take the initiative to pay attention to the archives.

#### *5. Public Service*

Convincing administrators and funding agencies that archives provide essential services to the public at large rather than to a small group of scholars is one of the most important and challenging tasks facing most archives. A first step is identifying the various audiences potentially targeted by the archives:

1. General Public
2. Students
3. Artists (including, but not limited to, musicians)
4. Academics
5. Other interested groups
6. International audiences

Some of the activities that can be used as evidence of public service include:

a) Helping performers by providing them access to and information about traditional performing arts;

b) Providing access to or copies of (within copyright restrictions) recordings or memorabilia from deceased performers to their families or students;

c) Keeping records of important visitors and trying to include media coverage of VIP visits to the archives;

d) Written or videotaped testimonials from outsiders acknowledging the archives' contributions to them;

e) Attracting attention to the archives through performances of music and dance, displays of musical instruments or other activities held in or near the archives;

f) Bringing groups of students, including local schoolchildren and students, to the archive;

g) Archives also need to develop strategies for making the materials usable by all types of visitors. These strategies should include:

h) Accurate, complete, up-to-date and user-friendly catalogues (either card catalogues, online catalogues or both);

i) Good storage and easy retrieval of archival materials;

j) Listening facilities, providing both quality sound and video reproduction and adequate space for multiple users;

k) Space for reading, taking down notes and writing;

l) Improving staff efficiency and morale: if the archives staff make visitors feel like welcome guests (rather than intruders interrupting work), they will be more likely to return and spread the word about the archives.

*6. Networking with Other People and Institutions*

Types of networks important to archives include the following:

A. LOCAL AND NATIONAL

These include institutional, media and government contacts. Getting the support of local government officials, embassies and foreign dignitaries can be very important and useful (in the Philippines and Nepal, for example, officials can support funding proposals that will specifically include the archives as a receiver of some of the funds). Local computer networks which lead to international linkages are also important. In Sudan, for example, the archives is connected to the main library, which is in turn connected to other institutions overseas and is involved in 'distant learning' projects.

Alliances can be helpful but not always so. Beneficial alliances include working with collections of musical instruments and performing groups who can bring attention to the archives if they are in the same location or inside the archives itself. Potentially harmful alliances include those that may swallow up the archives or not have similar goals and methods (the university library or a radio station).

B. REGIONAL

These refer to networks among countries in a region. A model for this type of regional network has been established in Africa where seven countries (South Africa, Mozambique, Kenya, Ethiopia, Ghana, Senegal, Mali and Sudan) already share access to each others' data through Culture Africa Network (CAN), officially established in 1999. Funded by the Ford Foundation, the main objectives of the project are to facilitate the identification of cultural creativity in an African context and build mutual enrichment by sharing the rich diversity of the African cultures. CAN administrators visit each of the countries involved in the network, establish standards for technical specifications and connectivity and allot funds to those institutions which need to be brought up to a certain standard. Each institution is required to produce a CD-ROM and these are exchanged. This network will eventually be expanded to include all the other countries in Africa, forming an 'intranet' (in other cases, an 'extranet?') of connectivity.

In India, the ARC (Archives Resource Community) fulfils a similar function; although within a single country, the size of the country makes this network one which is analogous to the African regional network.

#### C. INTERNATIONAL

Exchange relationships with overseas institutions may allow not only student exchange programmes but external funding for the archives (e.g. Ghana with Swarthmore University), among others

International links with other archives and archivists have a potential for exchange of materials as well as information. Membership in international organizations such as International Association of Sound Archives (IASA), Society for Ethnomusicology (SEM) and International Council of Traditional Music (ICTM) enhances the status of the archives and could be used as leverage in requesting increase in budget for its operations (this will also have implications for funding).

#### 7. *Disaster Relief and Prevention*

When natural disasters like floods, earthquakes, fires or manmade disasters like wars or cultural revolutions occur, an archives must demonstrate its role as a preserver of cultural histories.

When these occur in the location of an archives, the need for disaster preparation may also suddenly become apparent. Before it is too late, archives in locations with the potential for such events should make arrangements to have duplicate copies of their most essential holdings stored in a safe and distant location. Such an exchange of materials has already begun between the ARCE in Delhi and the Music Department of Kathmandu University.

Practical steps to cope with disaster include proper training of all staff (including building custodians and guards) in fire evacuation and other safety procedures. In some cases, training courses are provided free of charge by government organizations.

Particularly in tropical climates, a much slower but equally terminal disaster will eventually befall all audiovisual and printed materials that are not properly stored and cared for. Collectors should be

reminded of these processes and also reminded that an archives is by far the safest place to keep their materials for posterity.

### **Document 3**

#### **Steps Toward An Ideal Administrative Structure**

Administrative or organizational structure is a matter of concern for all archives because they are usually parts of larger administrative units that were not specifically designed to serve them. One benefit of having a group of individuals pool their experience in Manesar was to provide an outline of institutional structures for archives. This document was also drawn up to provide new and developing archives with a frame of reference that comes from joint experience and expertise. The recommendations apply to both government and non-government archives although the composition of the governing body and/or the advisory board might differ between the two.

#### **An Ideal Administrative Structure for Archives**

##### *Aims and Objectives*

A 'scope and objectives statement' needs to be developed for the archives. A 'mission statement' also needs to be included. Both statements should be defined in a way to keep abreast of developments in society, emphasizing the relevance of the archives to present day events and needs.

##### *Governing Structure*

The archives needs a GOVERNING BODY that may have a variable number of members according to the needs of the archives. Experience tells us that five to seven people would be a useful number. Such a body has executive powers over the archives including long-term policy planning and fiscal policy. The archives DIRECTOR should be an ex-officio member of the body. The election of the Chair and the replacement of members on the governing body should be established at the outset. This group could comprise people with:

- expertise in technical matters of audiovisual archives;
- expertise in the subject matter of the archives;
- expertise in financial matters;

- an effective government representative who has a demonstrated interest in the archives and its work;
- expertise in legal matters including copyright;
- a media personality/ eminent artists;
- community representation of people who have material deposited in the archives;
- a potential benefactor.

These positions should be fixed-term renewable (once) positions of three to five years.

In the event that the archives is part of a larger institution which already has an executive board, it should then consider having an advisory body which would assist the archives staff in decision making by offering advice. In such a case, the advisory board could also consist of five to seven people who would have the same sort of expertise as the governing body. The terms should be the same as the governing board. The director should be a member of this board.

As archives are parts of other institutions, both bodies should be appointed by the highest possible authorities so as to increase the influence of committee recommendations on the administrators in the upper levels of the institution with responsibility for the archives.

A category of PATRONS could add to the profile of the archives.

#### *Employee Functions*

An ideal audiovisual archives would include the following functions, many of which may be filled by a single person in a small archives or by more than one person in a large archives. Thus, in a small archives the director might be in charge of acquisitions as well as legal, contractual, dissemination and other functions. In the case of a very small archives, a single person could undertake all functions—though it would be wise to have some of them done by specialists in other institutions or in other parts of the parent institution.

A **director** is responsible for administration and setting and maintaining the directions of the archives. The director should be a member of the executive body of the institution of which the archives is a part. This position should be filled by someone who is committed to the concept of an archives and ideally, would have qualifications in

one or more of the subject contents or focus of the archives and have proven administrative abilities. Part of the job would involve fundraising, and if this activity took a large part of the director's time, s/he might want to have a staff member dedicated to that function.

The **acquisitions** staff is responsible for augmenting the collection through purchasing, donations and exchange and possibly research by the archives staff. Decisions on the type of acquisitions would have implications for the type of staff required. For example, an archives deciding to acquire through its own activities would need its own research and recording staff.

**Accessioning/Cataloguing function.** Accessioning involves the primary registration of the material. Cataloguing means providing a full description of the contents. The holdings should be accessible through a database that is designed for easy and efficient retrieval of information. The staff in this area should have knowledge of information management including computer skills and whenever possible, knowledge of the subject matter.

A **technical function** that would be responsible for making archival and dissemination copies of the holdings. Staff in this area should have professional technical qualifications and hopefully, experience in archival work.

A **preservation function** that would purchase and maintain the equipment and ensure appropriate storage conditions in the vaults. Qualifications for staff in this area are the same as for the technical area.

A **dissemination function** that would actively seek ways to promote appropriate use of archives' holdings including publication, media, exchange of copies with other archives and arranging for copies for private requests. Some experience in publications and public relations would be desirable.

A **legal and contractual function** that would be responsible for agreements with artists and users, copyright of material in the archives, etc. While contracts and agreements might be prepared by specialists outside the archives, someone needs to ensure that they are implemented, appropriately stored and are accessible. Work in this area requires administrative ability.

A **computer function** that would oversee system maintenance, back-ups, programming and management of the cataloguing database. They should also recommend appropriate hardware and software. Experience in information technology is necessary.

There are **infrastructure** areas that are often administered for the archives by the larger institution such as accounting, clerical support, maintenance staff and security personnel. In some cases archives may have to assume these responsibilities for themselves.

Due to staffing and financial constraints, many archives will not be able to perform all of these functions in-house. For example, outsourcing in the areas of database development, making multiple copies of material and legal advice on creating contracts and forms may be both necessary and desirable. In any case, the archives needs firm guidelines on processes for outsourcing.