

1998

OUTLINE

LECTURE I Background to American Cultural Systems The Ancient World

Part I. Archival Development

INCIPIIT VERBUM LITTERA SCRIPTA MANET

- A. Records probably developed before general literature
 - 1. A definition of RECORDS
 - 2. There were, or had to be, records of:
 - a. accounts
 - b. trade and inventories
 - c. collections - tithes, taxes
 - d. property ownership
 - e. property bounds
 - f. births, deaths, family relationships
 - 3. Records could be temporary or permanent
 - a. sticks, beads, pebbles as counting devices, wall markings
 - b. on stone, metal, clay or other media for permanence
 - c. medium often determined by geography
- B. Records, and their retention as archives, depended on structure
 - 1. structured governments that needed to keep track of things
the golden crescent civilizations vs. nomadic tribes
 - 2. governments that communicated, internally and externally
 - 3. trading societies, that dealt in goods
 - 4. governments or rulers that collected taxes or tribute
(Luke 2: registration in Judea under Emp. Augustus and
nativity in Bethlehem)
 - 5. governments that had foreign relations
 - a. trade agreements
 - b. treaties
 - c. records of sailings and cargoes
- C. Those records that had long-term value were kept, as what we
today would call ARCHIVES (define from Bellardo, p. 3))
 - 1. to delineate boundaries
 - 2. to denote ownership
 - 3. to register obligations - debts, military service, rents, etc.
 - 4. to keep track of time frames (for treaties, for instance) -
military service, indentures, apprenticeships, agricultural
cycles
- D. Records were also important to individuals
 - 1. to prove tribal or community association (i.e., "citizenship")
 - 2. to show descent from the ruling class - genealogy
 - 3. to prove age, military service, etc.

[QQ Does Martin Guere illustrate the need for good records?]

E. Records as ARCHIVES were important to religion

1. they confirmed dogma - who did what, when. Godly relationships
2. they "proved" miracles - witness accounts
3. they entrenched the priestly class, who could read and knew the records
4. they perpetuated tradition and elevated heresay to "fact"

F. Records, as ARCHIVES, therefore represented certain functions of society

1. business or trade
2. government
3. religion
4. private affairs

G. Records, and therefore archives, are a natural by-product of government, business and trade. They are utilitarian, evidential, and incidentally informational.

LECTURE II
1. Library Development

MATERIALS NEEDED FOR CLASS; THUCYDIDES, HERODOTUS

A. Libraries probably developed as cultural awareness developed

1. Definition of libraries

"a collection of graphic materials arranged for relatively easy use, cared for by an individual or individuals familiar with that arrangement, and available for use by at least a limited number of persons." [Johnson/Harris, p. 3]

2. In order for there to be such collections, or libraries, there had to be social, economic and political conditions existing that were amenable to their establishment and growth.

a. social conditions

1. the growth of urban centers to provide the need for centralizing sources of information
2. the development and growth of education, which required written information that would survive generations - in other words, the end of the oral tradition
3. literacy, which, however, was often confined to elite

b. economic conditions

1. prosperity - ability of society to afford writing materials
2. surplus wealth available
3. need for research materials for economic gain
 - a. navigation routes
 - b. histories or chronicles important to agriculture
 1. weather records
 2. astronomical tables for superstitious societies who planted by certain moons, or for religious reasons, such as determining Easter etc.
4. the presence of persons interested in dealing in books so that libraries will have sources to buy and sell

c. political conditions

1. peace is good for libraries, war is not
2. openness is good, repression is not
3. it is problematical whether conservatism (which lives on tradition, and therefore "the record") is better or worse for libraries than liberalism (which lives on innovation and inventiveness) are better for library growth.

- 4/1/98
4. exceptions:
 - a. where depression bred library growth - searching for ways to improve one's condition (Helena - 1955)
 - b. where prosperity did not
no time for contemplation and learning
 5. perhaps one could postulate that the wealth of prosperity funds the libraries that serve the poor in the depression that follows!
3. Forms of libraries most frequently encountered
- a. the temple library or collection
 1. assumes the existence of a priesthood, hierarchy or panoply of deities, formalized method of worship - traditions, ceremony, ritual
 2. different than an archives because the materials are about persons or institutions, rather than created by such persons or institutions
 3. moves from oral tradition to written tradition, and in the process contributes to dogma and orthodoxy
 4. a religious literature may develop from
 - a. persecution - the need to capture the verities as leaders are scattered or go underground (early Christians)
 - b. migration - the need to relocate with the possibility of losing some of the teachers in the process - the Hebrews
 - c. complexity - the increasing impossibility of individuals to master the complex deistic relationships of a hierarchy of gods or saints i.e. paganism, Christianity, Zoroastrianism
 5. contents of temple collections
 - a. sacred laws or dogma
[Dogma - something held as an established opinion; a definite authoritative tenet; a code of such tenets. A doctrine or body of doctrines concerning faith or morals formally stated and authoritatively proclaimed by a church]
 - b. holy rituals - see Herodotus, p. 137. ch. 42
also see 143, ch 53.
 - c. lives or biographies of the gods or saints
[not limited to Christianity - although Zoroastrianism was anti-polytheistic - that is, monotheistic, and proclaimed only one God Ahura Mazda, there were six entities:
Truth, which presided over fire;
Good mind, which presided over the ox
Desireable Dominion which presided over metals
Beneficent Devotion, presided over the earth
Wholesomeness presided over water
Immortality presided over plants]

- d. theological explications and commentaries
- 6. form of collections
 - a. the greater the importance the more permanent the form
 - b. stone slabs (Moses), metal plates, baked clay
 - c. less important on perishable materials
- 7. keepers of the collections
 - a. first librarians were priests
 - b. access severely restricted to priestly class who "interpreted" holy writ
 - c. probably only a few could read
 - d. in effect, those who could read and interpret held the key to control society, even if only through the political leadership, although religious leaders were quite often the political leaders, and, indeed, often considered gods.

b. government libraries

- 1. most material really archives - records of events and activities, not about them
- 2. true library materials, in our sense, developed with:
 - a. codification and summaries of laws
 - b. ex-post facto accounts of military campaigns [read to class, Thucydides, p. 14]
 - c. genealogies of rulers
 - d. histories of reigns
- 3. biographies and military accounts, often embellished for social or political reasons, became the basis for literature
- 4. form

like temple materials, form was dictated by function: the more important, the more permanent.

the code of Hammurabi dates to 2000 B.C. when he was King of Babylon. It is engraved on a pillar of black diorite, more than 7 ft. high, located in 1901-02 and is the longest Babylonian inscription ever discovered, originally containing ca. 4000 lines of writing in 51 columns, but 7 columns were later erased by a 12th c. B.C. ruler. It illustrates the best of archaic cuneiform script, used for royal inscriptions. Now in the Louvre, Paris

c. business materials

- 1. essentially archival
- 2. business and trade, however, led to narrative accounts of voyages and travels, reports on political or military conditions that might affect trade and travel, manuals that described manufacturing or construction methods, the compilation of "almanacs" giving tides, growing seasons, moon phases, were the start of reference collections

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Lecture 3
MEDIA AND FACILITIES

- A. On What Could One Record Information?
1. Permanent materials:
 - a. steatite (soapstone)
 - b. metal - after the 3rd millennium in Crete
 1. copper
 2. lead
 3. bronze
 4. iron
 - c. clay
 1. in slabs as a writing material
 2. in forms, such as pottery with graphics
 3. had to be fired to be permanent
 - d. ivory
 - e. marble
 2. Long-lived but impermanent
 - a. wood, especially hardwood
 - b. leather, or hides, also known as parchment, parchment, vellum
 - c. wax
 3. bio-degradable but MEDIUM LIFE with careful preparation
 - a. papyrus
 - b. cloth
 - c. paper
 4. Short-lived, but easily reproducible
 - a. mylar - long-lived medium, but not the impression
 - b. selenium (a copper by-product - good conductor)
 - c. other magnetic recording devices

- B. Every document has four elements
1. medium or substrata
 2. impression (paint, ink and various dyes, carbon, magnetism, embossings, carvings, etc)
 3. symbolic or graphic representation: ideographs, phonographs, pictures, etc. - binary code
 4. intellectual content

Keeping 1 & 2 together is a problem in most material e.g. wood, parchment, leather, magnetic iron oxide surfaces, etc. Good paper seems best with good ink/toner. See MOTION

C.. Threats to physical preservation

1. Chemical

- oxygen - oxides [rust]
- ozone - an explosive toxic bleach in concentrated form
- carbon dioxide - mildly acidic
- hydrogen sulfide
- acids, salts, alkalies
- water carrying ground impurities and cleaning solutions - floods

2. Physical threats
 - radiant energy
 - sunlight
 - ultraviolet
 - infrared
 - heat (high) [show PC disk from office]
 - cold (frost) brittle
 - cycles of heat and cold
 - electronic energy - digital/magnetic impressions, magnetism, emf, viruses
 - abrasives
 - dirt
 - airborn dust and smoke
 - water
 - liquid - for porous materials and water soluble inks, etc. as well as rust in iron and steel
 - vapor
 - cycles of relative humidity - curling, bubbling, warping
 - matter in motion
 - mechanical stress - monuments w/inscriptions
 - impact shock
 - wave or mechanical vibrations - Charters
3. biological
 - vegetation
 - algae
 - bacteria
 - fungi
 - lichens
 - plant roots
 - insects
 - ants
 - moths
 - silverfish
 - termites
 - wood beetles
 - rodents
 - man

D. The Earliest Writing Materials

1. Clay - terra cotta, literally baked earth - glazed clay
2. Papyrus
 - a. made from reeds prevalent in the Nile, Mediterranean area
 - also used to make cordage and sails, and root used for fuel
 - Herodotus mentions shoes [sandals] made of papyrus
 - b. worked into fairly smooth sheets - (elaborate)
 - c. sewed or attached together in rolls
 - d. examples from Egypt date to about 4,000 B.C.
 - e. it was a major export of Egypt, which had a monopoly for many centuries, up to the end of the 10th, A.D.

3. Parchment;

- a. "invented" or developed ca. 190 B.C. when Eumenes II wanted to establish a library at Pergamos, but because of difficulties with Egypt he was unable to import papyrus - he had to copy texts onto something in order to establish a library
- b. had been used earlier, by the Persians, the Greeks and the Jews, who copied sacred scripture on it. The Torah is still, traditionally, on parchment. or "pergament" So are the Charters.
- c. normally made from skins of sheep, ewes or lambs, with that of the lamb preferred because of fineness and whiteness
- d. if made from unborn lambs closely approximates "vellum"
- e. vellum made only from the skins of young calves
- f. the great advantage of skins over papyrus is that it lasts longer and can be bound into volumes, or codices
- g. limited size sheets
- h. laborious preparation process
- i. other uses
 - a. drum heads - wolf's hide
 - b. kettle drum heads - ass hide

E. Early Archival and Library Facilities

1. Archives

- a. really just active records depositories and material needed over long time periods
- b. close to, or preferably part of, the administrative offices of the administration or religion
- c. housing clay tablets in containers, jars, or, later, on shelves
- d. many, many clay tablet depositories have survived

2. Libraries

- a. not public, as we know them, although there is some speculation that there may have been some public libraries in Athens
- b. facilities were either associated with the rulers, the priests, or wealthy merchants
- c. essentially clay tablet repositories for over 7,000 years
- d. by the time of Egypt's ascendancy materials stored were papyrus, with some hides

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PART IV
1. Greece and Rome

BRING Herodotus

A. Grecian Archives

1. Greek civilization

- a. concentrated on the Aegean (show overhead of islands)
- b. settled into small, tightly knit communities, the "polis"
- c. in touch with both east and what there was of the west
- d. therefore:
 - sea-based, contributing to travel and trade
 - community based, contributing to formalized government forms
 - international and cosmopolitan, not insular
- e. Greece developed a sophisticated governmental system overlaying democratic principles of duties and responsibilities of citizens (in Athens- not Sparta) led to need for record keeping
 1. Aristotle [4th c. B.C.] tells of the needs for archival functions:
 - registration of private contracts
 - court decisions
 - indictments
 2. later we find private materials in Greek offices
 - property ownership
 - birth and death registrations
 - documents that were "notarized"
- f. it is no accident that Greece has given us the word "archives"
- g. while few if any Greek archives have survived, many references to them in literature are extant
- h. the thousands of examples of documents on stone or metal, as inscriptions, are not archives, but indicate to us the nature of the archives from which they were copied and "published" for public presentation for the illiterate
- i. the Greeks used whitened wood boards for many official documents
 1. citizens had to present petitions on such boards
 2. building plans and working drawings were often on such boards
 3. on occasion the information from such "active" documents was copied to parchment for a "security" copy
 4. wood, while sturdy, has only an intermediate life span
- j. The Metroon
 1. the only known surviving archives building in Greece
 2. located in the Athenian "Agora" (central square) from ca. 500 B.C. [Overheads in Posner, 103-105, photo. 109]
 3. importance of the archives implied by its location with other main government buildings in the Agora
 4. created in a converted older building
 5. also held a place for the Mother of the Gods, whose temple had earlier been destroyed (a compromise like the Madison Bldg?)
 6. the temple of the goddess Meter was known as the Metroon and she became the protectress of the state's archives
 7. the building, destroyed and replaced, seems to have lasted until after 250 A.D.

8. contents of the Metroon: [from Posner, [109-110]
 - a. laws and decrees of the General Assembly
 - b. minutes of the meetings of the Council and of the Assembly [LEGISLATIVE RECORDS]
 - d. records pertaining to management of foreign relations [DIPLOMATIC RECORDS]
 - e. records pertaining to budgetary and financial matters subject to the Council's supervision [FISCAL RECORDS]
 - f. records of public trials, such as that of Socrates [JUDICIAL RECORDS]
 - g. contracts between the state and private parties [LEGAL RECORDS]
 - h. lists of the epheboi, the young men who, at the age of 18 were entered on the community rolls to undergo 2 years of civic and military training [SELECTIVE SERVICE RECORDS]
 - i. official or record copies of the dramas of Aeschylus Sophocles, and Euripides, probably kept in the Metroon as a result of a motion of the orator Lycurgus [CULTURAL RECORDS]
 - j. inventories of the temples and of the guaranteed measures and weights that were kept in the Tholos. [NAT. INSTIT. OF STANDARDS AND TECHNOLOGY-NIST]

B. LIBRARIES

1. Greece

- a. although there are some supposed earlier examples, libraries in Greece flourish in the 6th and 5th centuries, B.C.
- * b. Greek civilization rimmed the Mediterranean Sea, in an essentially maritime culture, absorbing and enhancing the cultures with which it came in contact - Persian, Egyptian, Etruscan

1. Greece got its alphabet from the Phoenicians, in an area now mostly covering Lebanon (Herodotus 397. Show overhead of alphabets)
 2. prior to the alphabet the Greeks, as the Egyptians, depended on a system of syllabic writing which was very complex, and thus limited to a small number of elite scholars
 3. Homer was based on the oral tradition, which functions best in rhyme for retention
 4. the poet, therefore, was the chronicler of events
 5. with the introduction of the Northern Semitic, or Phoenician alphabet it was possible to develop abstract discourse with made-up words Greek spread throughout the eastern Mediterranean

- c. the 5th century could not have produced those it did without cultural resources, such a libraries, museums, theater, and a literate and inquisitive public (Palmer's Atlas of World History, chart p. 32)
 - 1. Aeschylus
 - 2. Aristophanes
 - 3. Euripides
 - 4. Sophocles
 - 5. Soctrates
 - 6. Plato
 - 7. Herodotus and Thucydides
 - 8. Plus sculptors Myron and Phydias and painter Appolodorus
- and these were only from ATHENS (except Herodotus)
- d. in 5th and 4th centuries Athens took an extraordinary cultural leap - in philosophy, dramatic poetry, sculpture, oratory, and history
 - and yet after 300 Athens declined culturally as the focus shifted to the Greek colonies
 - 1. Archimedes lived in Syracuse
 - 2. Euclid the geometer lived in Alexandria
 - 3. Eratosthenes, born in Cyrene but working in Alexandria calculated the size of the earth (3rd c. B.C.) more accurately than Ptolemy did four centuries later
- e. our specific knowledge of libraries for this period is scant, and, despite some reports, it is doubtful that they were public institutions as we know them
- f. most libraries in the 5th century were probably those of individuals
- g. the development of libraries at institutions of learning
 - 1. Plato taught in the 5th-4th centuries (dates 427-348 B.C.) but did not have a "school" in the physical sense - the "groves of Academe" led to the label - the Academy
 - 2. Aristotle (384-321), his student, had a "peripatetic" school, and assembled a considerable library, which had a picaresque existence after his death
 - 3. Aristotle's successor, Theophrastus of Lesbos, formalized the Lyceum, which persisted for several centuries

4. four schools of philosophy flourished in Athens, offering courses - Academic, Peripatetic, Epicurean and Stoic and each had lecture and library facilities

1. the Academic, from the name of a grove near Athens where Plato met his students - the groves of academe
2. the Peripatetic - the school of Aristotle
3. Epicurean named after Epicurus (342-270 B.C.), the philosopher who held that pleasure was the end of morality and genuine pleasure is derived from a life of prudence, honor and justice. School at Samos.
4. Stoic was the school of philosophy at Elea, Italy, founded by Zeno in 308 B.C. and taught that the wise man should be free from passion, unswerved by joy or grief, and submissive to the natural law

- . Such schools, copied throughout the Mediterranean area required collections of books, and the "university" library concept was born

- h. But the greatest Greek Library was not in Greece, but in Alexandria, Egypt, a legacy of the conquests of Alexander the Great (reigned 336-323) and the spread of Hellenism
 1. The Ptolemys in lower Egypt (at the Nile Delta) created
 - a. Hellenistic state in Egypt, which they ruled from the 3rd century until 30 B.C.
 1. Ptolemy I (Soter, or Saviour) was a general in Alexander's army, born in Macedonia and received the satrapy of Egypt on Alexander's death, which he created into an empire. He was succeeded by his son Ptolemy II Philadelphus (Brother-loving) in 285 B.C. There were 15 Ptolemys, and Cleopatra was daughter of Ptolemy XII.
Creator
 - b. the Ptolemys' library at Alexandria assembled copies of all known books in the city, then the world's most populous
 - c. being a major port, it borrowed books from all visiting ships and copied them
 - d. agents were sent to the known parts of the world to collect more books and add them to the library

- e. the library was fortunate to have for almost 500 years a series of scholarly directors (see Harris, p. 39 for list)

2. Contributions of Callimachus at the Alexandria Library

- a. Callimachus (librarian 260-240) was a poet
- b. compiled a catalog of the library, or at least a bio-bibliography, called the Pinakes, or "tablets"
- c. divided long works into six poetic genre and at least 5 areas of prose:
 - 1. history
 - 2. rhetoric or the art of expressive speaking or writing
 - 3. philosophy
 - 4. medicine
 - 5. law

and a section on varia (cooking & fishing)

- a. In Callimachus' library authors were arranged alphabetically in each category
- b. Each work was listed with the number of rolls that it occupied and the number of lines
- c. Where necessary, incipits were noted to avoid confusion with other works
- d. Authors were identified with life dates
- e. critical commentaries were added, especially on works of doubtful authenticity
- f. thus, Callimachus has earned title Father of Bibliography

3. Alexandria purportedly contained some 700,000 rolls

- 4. the library went into decline in the course of a civil war in 89-88 B.C., when much of the city was burned. although it continued in existence into the late Roman period. In 270 A.D. Aurelian razed the main library building

- i. Alexandria's rival, Pergamum (Bergama)

1. Founded by Attalus I, King of Pergamum (3rd c. B.C.)
2. Brought to ascendancy by his son, Eumenes II (197-159)
3. rivaled Alexandria as a library and school
4. Athenodorus of Tarsus was so respected as the librarian that Cato the Elder invited him to Rome to advise the government there on library establishments
5. the story of parchment dates from this period, when the Egyptians supposedly cut the supply of papyrus to keep Eumenes from copying too many books
6. declined after Eumenes death, although continued by Attalus II (d. 138). In 133 Pergamum fell to Rome
7. the collections were scattered, to Egypt and even to Russia

B. Roman Archives

1. no physical remains of a Roman archives
2. our evidence, as in Greece. comes from literary sources
3. the Romans retained the process of writing on wood slabs (tabula) even though other materials were available.
 - a. either painted wooden sheets [MAKE SOME OF THESE!!]
 - b. or wooden tablets with a wax surface, on which one used a stylus to make temporary notations. Could be erased by rubbing over the wax.
 - c. wooden sheets could be linked together to make multiple pages (caudex or codex [a block of wood]). carried over, to some extent, with wood covers
4. the many inscriptions in stone and bronze are really copies of parts of archival documents, in a form of "publication"
5. it was common for officials to retain their own records after leaving office, and place them in their house archives, or tablinum a la U.S. elected officials till recently - thus, public archives were slow to grow
6. role of the state treasury (the Aerarium)
 - a. maintained records of receipts and expenditures
 - b. located, naturally, close to the treasury itself
 - c. when records became too voluminous to handle, the Tabularium was built
 - d. the Tabularium began to take on a life of its own, and became a form of central archives
 - e. it also became the repository for certain Senate documents
7. importance of the censors
 - a. everyone had to register (a census)

- b. heads of families had to submit their financial records for purposes of assessment (taxes)
- c. censors also kept records on the Knights, and records of a sensitive nature containing censures of citizens

- d. kept governmental fiscal and housekeeping functions
 - 1. taxes
 - 2. public building and road construction
 - 3. inventory of state-owned land
 - 4. other public materials that were valuable beyond the term of the censors themselves, and therefore kept as archives
- e. other archives existed - College of Pontiffs (priests) for instance

8. the archivists

- a. normally the quaestors were the archivists
- b. entry level government employees, on their way up
- c. served only one year in the archives
- d. this attests to the poor to nil condition of the archives before Augustus [4th c.] who professionalized them

9. the users

- a. open to a limited research public after approval by a board of six
- b. Suetonius (born 70) and Tacitus (55-117) used the archives

in writing their lives of the Caesars

10. the holdings

- a. approximate our current concept of "record groups"
- b. holdings [from Posner, p. 183]:
 - 1. Records of the comitia
 - 2. Records of the Senate
 - 3. Commentarii of the consuls
 - 4. Records of the censors
 - 5. Records of praetors [Cary, p. 115]
 - 6. Records of the urban quaestors [paymaster, Cary, 82]
 - 7. Records, particularly fiscal, of the provincial governors

NOTE; Constantine Converts to Catholicism 312, moves capital 330 AD.
Rome didn't fall - it was abandoned!

2. Roman Libraries

- a. Did not have the tradition of learning that Greece had
- b. Most early Roman libraries were booty of war
- c. Therefore, the Roman libraries did not begin building up until the period of Roman expansion (1st c., B.C.)
- d. Until Augustus (63 B.C. - 14 A.D.; reigned 27 B.C. -), most libraries were either privately held, or part of government or temple collections
- e. G. Assinius Pollio, wealthy from military conquests, assembled various Roman collections into single library, and housed it in the Atrium Libertatis, where the Public Archives was already. Thus, making first public library in Rome in 37 B.C.
- f. Augustus began a public library a year later in the Temple of Apollo, containing a Greek and a separate Latin section. He also established the Porticus Octaviae library, built in honor of his sister Octavia
- g. successive Emperors established other libraries in Rome, with 28 or 29 in the city by the 4th cent. A.D.
- h. in sum, although we know that there were a lot of private, and some public libraries in Rome, we know little of their procedures or their holdings, and can only speculate from the literature of the day
 - 1. rolls, and later codices, were usually listed by shelf order, with another list by author and first lines
 - 2. there was a hierarchy of librarians, with some scholars at the top, but the day-to-day jobs carried out by slaves or civil servants
- i. with the decline of Rome, and the move to the East, the decline of Roman libraries set in, but were succeeded by the early Christian libraries, with the earliest located in Alexandria in 175 A.D.

- j. censorship was common, both in what could be placed in the libraries and what could be used by the public.
 - 1. Christian materials were suppressed by early Emperors
 - 2. non-Christian writings were often suppressed by later bishops, who destroyed many early works that are now lost to us
- k. most libraries prior to 500 A.D. were destroyed through natural disasters, war, pillaging or persecution (Ephesus)
- l. in effect, libraries and learning moved to the periphery of the old Roman Empire, and to the Byzantine East, to "hunker down" until Europe re-awoke in the Renaissance

LECTURE IV

Background to American Cultural Systems

1. The Medieval World

From the north came the Germans

From the East came the Parthians and Persians

Gaul set itself afloat from Rome, which could no longer protect it, and so did Syria

And in the center the army made and unmade the Emperors

But Rome was Rome, and the hegemony of Europe and the Mediterranean world permitted commonality of language and culture, general protection, distant borders and thus easy internal communication over vast, passport-free areas

slide

The development of Christianity in ^{its} the first 3 centuries meant development of a new philosophy with tinges of Stoicism, and a written communication.

The letters of the apostles, the establishment of dogma, the emergence of a theology were all based on the written and communicated word. Old + New Testaments

The spread of the Empire and free communication led to the need for surrogates to administer to local communities when Peter, Paul and the apostles were not present. Thus the growth of priests, parishes, bishoprics, and a slowly emerging hierarchy

312 Constantine converts to Catholicism

313 the Edict of Milan provided general toleration to Christians.

324 Christianity becomes the favored religion

330 the capital is moved to Constantinople (Byzantium) (Istanbul)

Sanctioning Christianity by the Emperor drew many to it who saw social or political advantage in membership in the church, but their commitment was often weak and they diminished the stature of the religion.

Some of the more serious and contemplative faithful began to withdraw to communities for contemplation and devotion, leading to the establishment of monasteries - in the east, in Egypt, at first, where climate and closeness to the origins of Christendom were factors. Each community developed its "rules" which were written and could be used elsewhere, such as with the Cenobites, the Benedictines, the Augustinians.

Meanwhile the German pressures were felt on the northern frontier, around the Mainz-Regensburg line (5th c.), while further north then-unknown hordes pushed the Germans south towards sunny and prosperous Italy. Some of this movement led to absorption, and some to confrontation as reported by Tacitus.

The German Goths on the Black Sea-Danube border were becoming Romanized slowly but in 375 Mongol tribes known as Huns swept out of the Caucasus and headed south. The wall had kept them out of China some 700 years earlier.

They pushed the eastern Goth (the Ostrogoths) against the Roman frontiers, (the western Goths were known as the Visigoths, later showing up in Spain)

In 407 the Vandals break through from their homeland between the Oder and the Vistula, invading Gaul and Spain, and to the north of them were the Franks, under Clovis, fighting the Alemanni.

In the middle east a new religion also develops with the birth in 571 of Mohammed and the involvement of the Arabs, the growth of Islam and the writing and dissemination of the Koran - another written religious document that promoted literacy among the faithful.

In the 6th and 7th centuries the Arabs and Syrians spread west along the southern Mediterranean coast towards the Atlantic. Far from being raging hoards of infidels, the Moslems absorbed much from the Hellenistic and Persian cultures, translated their classic literature, and took it with them west across Africa and into Spain.

Throughout this entire period disruptions, migrations and global uncertainties led to a reduction in travel, trade and commerce, and the unstable populations, now spreading far inland from the trade routes, turned to agriculture for sustained sustenance. Small tenant farms developed on large estates, and the seeds of feudalism were planted as peasants "paid" the nobility and knights for protection. Development of class structures..

Rome declined as a center of government so much that by the end of the 6th century Pope Gregory (590-604) all but replaced the civil government of the city to treat with the Lombard invaders and to provide relief to a population ravaged by war, floods and pestilence. *Theocracy*

The Christian church was still located in both the eastern empire at Constantine and the Western empire at Rome, but relations between the two branches deteriorated as they faced different problems and became isolated from each other - ultimately leading to their separation in 1054.

Now - what has all this to do with the history of archives and libraries?

First of all, we are now entering an era that we can see and touch and even read. There are more physical and cultural remains than in the Greek and Roman era, and modern languages begin to appear. Before 800 we have only some 1800 "original" items of writings. In 900 A.D. there are 6,700 alone.

A. Changing Governmental Structures

1. as we have seen, religion melded with politics throughout the eastern and western world
2. the Moslem Arabic states ruled through religious orthodoxy, and records of the faith, maintained in the temples and mosques, become records of society

3. the traditional records were kept, but have not often survived
 - a. trade
 - b. land ownership
 - c. regional and international agreements - treaties
 4. perhaps most important, for the West at least, were those records kept in the outreaches, such as Spain and Ireland, because they survived the eastern wars
- B. The effects of Invasions
1. from the 4th to the 14th century was the period of great disruptions
 - a. the Visigoths and Ostrogoths who took Rome
 - b. the Mongol Huns from the northeast
 - c. the Goths from the Germanic north
 - d. the Vandals, Franks and Lombards
 2. these destructive invasions, followed by the western European civil wars and fractionalism, led to a decline in central authority and the records of government
 3. but, through it all, there was the organizing and solidifying structure of the Roman church
 - a. much of Europe was united, not by nationality or temporal rulers but by the (mostly) unifying religious structure
 4. the important records of the time, therefore, for the most part are those of the bishoprics and the monasteries
 - a. after Constantine legalized Christianity (313), and then declared it "specially favored" (324), bishoprics became co-terminus with civil jurisdictions, and the records of each intermingled
 - b. the monastic archives were, on the other hand, of a local and almost wholly religious-institutional nature
- C. The Descent into the Dark Ages
1. The Decline of Government Support
 - a. as Greece, Rome, Pergamum, Alexandria, Constantinople fell to invaders and universities closed, culture moved to the secluded monasteries and isolated cathedrals
 - b. these institutions, however, became holding areas, not centers of learning and innovation
 - c. society did not stop learning and growing, but its experience moved away from support centers into isolated enclaves
 - d. some scholars did gather at early European universities, especially in Moslem Spain, but the university movement generally had to wait for the 11th and 12th centuries
 2. The Role of the Religious Orders
 - a. the major contribution of the monasteries and cathedrals was the copying and dissemination of classical works, not their creation of new scholarship

With all of the disruptions in the 4th through 7th centuries it is not surprising that after Constantine (d. 337) the development of new, advanced or innovative culture practically stops in the early middle ages.

No philosopher the equal of Cicero or Seneca or even Marcus Aurelius

No great scientists after Ptolemy the Astronomer or Galen the physician until Islamic medicine comes to flower.

Pliny the Elder (d. 79) is the last representative Roman of science, and even he has spun off into alchemy, magic and mysticism.

No one in literature to match Virgil, Horace and Ovid of the Augustan age

History dies with Tacitus and Suetonius in the West, and Plutach and Josephus Flavius [History of the Jewiush War, 68AD] in the East.

What replaced them were religious writers - St. Augustine, St. Ambrose, St. Jerome, all writing for the hoi poloi, the masses, the flock, a good part of whom were Germans recently arrived, so that St. Jerome's version of the Bible is known as the Vulgate - or, "of the people." Yet, the writings were in the areas of philosophy, religion and theology - not history, biography and literature.

Language declined, and the classics became more and more difficult for people to read and understand, especially those in Greek

In Gothic Italy two men, Boethius (d. 524) and Cassiodorus (d. ca. 575) were officials of the court of Theodoric the Great, the ~~455th~~ Goth King of Rome. Boethius was the last great classical scholar and philosopher of antiquity, and the end of the 6th century is considered to be the beginning of the decline into the Middle Age - a decline that would last for close to 1,000 years in central Europe. But Boethius (480-524) set himself to translating from Greek Aristotle and Plato (secular authors!). He finished Aristotle when he was murdered.

Boethius divided all learning into seven fields:

- religion
- rhetoric
- dialectic
- cosmography
- geography
- classical literature
- theology
- (no math!)
- no history

Cassiodorus (d. ca.575) remains a somewhat enigmatic figure, coming as he did at the end of the classical era.

1. Known for establishing the first scriptorium, an idea that spread throughout medieval, monastic Europe. — MAP

2. Also known for his writings on the principles and practices of library management, many of which endured until the invention of printing (1440)

3. Cassiodorus established Vivarium, a monastery on some of his vast land holdings in Northern Italy. There he set himself the task of assembling a library - through purchase as well as by assiduously correct copying of texts.

4. Cassiodorus wrote the Institutiones, which set out the classification of knowledge according to Boethius differentiations (see above).

5. Insisting on accurate orthography in the copies his monks were making (orthography=the art of writing proper letters according to a standard usage) he wrote another book De orthographia, for the instruction of his monks. Cassiodorus was concerned about proper punctuation and fine bindings and he had many Greek works translated into Latin.

6. While we owe much to Cassiodorus for what earlier knowledge he was able to preserve, much of it of ancient Greek and Roman texts, for future generations, we also owe much to him for setting the copying standards for codices - a standard that lasted some 1,000 years.

7. Isidore of Seville (570-636) compiled the Etymologies, an encyclopedia devoted to the origin and meaning of words.

Copying methods and the making of books

A. Copying and book preparation

1. Most books for this period were made for use in a religious society. Priests needed bibles, the gospels, the liturgy

a. Monks individually needed prayer books.

b. Theologians needed the writings of the fathers.

2. Multiple copies were often made by one reader dictating a text to a room full of scribes.

3. Sometimes books were copied quickly by distributing a book in sections (by quires), with each quire given to a different copier. Thus, one completed work might have many examples of handwriting, quire by quire.

4. There were other parts of bookmaking, which required specialists

a. rubbing and purifying the skins

b. Ruling or pricking or marking the text

c. Selecting the font for copying

1. each scriptorium was known for its selection of fonts

2. the handsome and artistic fonts were reserved for major works - the common fonts for lesser works

d. illuminating and rubricating - ~~scribing~~

e. binding

1. in a "chemise"

2. in boards to make a codex

5. the standardization of these processes in each of the monasteries permit us to place the origin, or provenance, of manuscripts.

B. The structure of the book (show overhead and discuss) ✓

C. All of these processes were developing in the early centers in Ireland, Britain, and in the monasteries such as Vivarium in Northern Italy by the end of the 6th century.

St. Patrick.

ISLAM

A. Mohammed

1. Born in Mecca (now in Saudi Arabia) 570 (just 5 years before Cassiodorus). Dies in Mecca in 632
2. Never considered a god, but a Prophet who received instructions from God through St. Andrew
3. Father died before M was born - a ranking member of one of the Meccan "clans." Mother died when he was 8, brought up by relatives
4. When he began having revelations assembled a small band of followers. Fell in disfavor in Mecca, left for Medina
5. A long struggle to get back became a military struggle, and Mohammed was as much a military leader as prophet

B. Islam - submission to the will of God

1. established by Mohammed on principles stemming from Judeo-Christian belief, but in a pagan world of Arabia and the East
 - a. unitarian - one god
 - b. transmitter of the prophecies is the angel Gabriel
 - c. man's single source was Adam and Eve
 - d. there will be a final resurrection of souls
 - e. there is only one God, and man is on earth to carry out God's will
 - f. tolerant of other faiths on the condition that they must pay a tax to be different
 - g. intolerant of acts against God
 - h. family is important, but not monogamous (like Mormons later)
2. a theocracy - religion govern the community
 1. only Muslims can be governors
 2. the state is based on the precepts of Islam

C. "Muslim" - those who submit to the will of God

1. rapidly grows
 - a. spreads throughout the Arabic world into India and North Africa
 - b. begins to confront Christianity geographically
2. After Mohammed's natural death in 632 his followers write down his teachings as the Koran
 - a. the Koran becomes more than the Bible - it is the basis for governance and justice
 - b. all Muslims must read the Koran
 - c. literacy important - education important
 - d. as Islam moves into the former Greek, Byzantine and Roman areas it absorbs and translates into Arabic the early writings

D. The Ottoman Turks

1. Militaristic - move west over 5 centuries
2. Bring Islam in conflict with Rome and lay siege to Vienna from 1529 to 1699, when forced by Austria to sign the treaty of Karlowitz, by which the Hapsburgs received Hungary
3. That pocket along the Adriatic is where the Turkish Muslims, the Serbs, Croats and Bosnians all clashed, fighting over old boundaries and religions. The struggle continues today.

And this was the state of things as we move to the 7th and eight centuries. Civil government in chaos in Rome, and the Bishop of Rome running the city.

A rift between the eastern and western church in Constantinople.

Pressures on the borders and the need for constant military preparedness, providing considerable power to the commanders in the field and a weakening of loyalties to the capital.

The spread of eastern people, religion and culture in a crescent stretching from Samarkand in Persia to Saragossa in Spain. SILK ROAD

A retreat to agriculture, a decline of urban areas, a flight to monasteries, and a drying up of cultural, scientific and economic advancement and innovation.

- b. ironically, the decline of Roman culture may have led to the further civilization of the northern tribes, because the spread between cultural classical Rome and barbarian Hun and Goth was lessened, and a simplified Graeco-Roman culture was easier to communicate. In becoming simple, Mediterranean culture became more easily transmissible (McNeil)
- c. the religious orders at least assured the preservation of the Greek (east) and Latin (west) languages for future generations and therefore the ability to access the classical literature

3. The Legacy of Rome

perhaps the most significant, from the point of view of library development and growth, was Justinian's (b.448) codification of all laws of the empire, and the Corpus Iuris Civilis, distributed to libraries throughout the Empire, exercised considerable influence on future Western European systems, as well as on the need for Latin literacy to interpret the laws

4. Libraries in the Early Middle Ages (5th through 9th centuries)

- a. libraries began to develop on the periphery of Rome- in France, Spain, Ireland and England
- b. the Moslem influence in Spain
 - 1. led to knowledge of Arabic
 - 2. while the Crusades destroyed some Islamic cultural sources, they did more to open relations between east and west than to destroy them and, scholarly communication with Moslem East brought contact with Arabic translations of Greek works
 - 3. these were then translated into Latin
 - 4. uncertainty of texts results from this multiple translation through three languages

- c. increased use of parchment led to different physical facilities in Christian libraries
1. shelves instead of pigeon holes
 2. spine titles
 3. more compact volumes with 2-sided texts
 4. adoption of illustrations, illuminations, and the beginning of the art of the book — *slide show*
 5. books became collectables as art or artifacts and not just for their intellectual content, which remained largely religious
- d. books and bookmaking (from Chicago: The Latin Manuscript Book)
- Paper
1. invented in China in 2nd century A.D.
 2. Arabs picked it up in 8th century
 3. the West learned it from the Arabs in 12th century
 4. its use in the West was accelerated in book production in the 15th century, making the printing press (ca. ~~1450~~ ¹⁴⁴⁰) even more feasible

1455 for printing of the 42 line bible

The Codex

1. early books were made of double pages gathered, sewn and bound (quarto), but also another fold making it 8 pages, or octavo, or again 16 pages, ~~duodecimo~~ *16mo*
2. these foldings or gatherings formed quires, from Lat. quaternia and quaternio - set of four
3. one sheet folded twice and top trimmed made 4 2-sided pages
4. to keep these quires or gatherings in proper consecutive order the lower margin of the last page was marked either with Roman numerals, capital letters (rarely), or, later, catchwords that signified what the first word on the next page was.

Ruling

1. ruled lines defined the usable space on the sheet
2. these markings denoted text lines, title areas, margins and sometimes columns
3. the use of a stylus to rule created furrows
4. pencil, ink and fine crayon rulings came later

Pricking

1. a process of puncturing or marking the page surface with pin pricks or slits which guided the ruling
2. usually the pin pricks are found in the outer margins of a double-page sheet
3. if pricks are located to mark off the inner margins (at the gutter), it indicated that the MS came from only a few locations, most probably Britain or Ireland, scriptoria, and usually apply to books of the late 12th or early 13th century

Scripts

1. scripts were formal, standardized and copied from models
2. there was such standardization and training of scribes in the accepted standards that a group of scribes could produce parts of a single work and yet make it appear that it had been the work of only one.
3. some scripts achieved universal recognition in their time periodd
 - a. uncial
 - b. Caroline miniscule
 - c. Gothic
4. although a script form may help us identify the location where the work was produced, scripts also migrated with their proponents, such as from Ireland to the northern Italian monasteries
5. there were other regional or local distinguishing features, however, including abbreviations or text formatting, which allows us to identify some geographic and chronological placement
6. Thus, we can locate some materials in geography and time through the quality of the parchment (rich, urban areas used higher quality), the method of sewing the quires, the nature of the pricking for line drawing, the type of ruling used, and the scripts employed.
7. in addition, we can consider the manufacture of the codex itself - binding, cover construction, clasps, etc.

- e. the rise of silent reading
 - a. reading aloud had some influence on the way reading rooms were designed, with individual carrels
 - b. reading aloud meant that word divisions did not have to appear on a page - thus affecting its appearance and OUR ability to read it
 - c. reading aloud sped up reading and comprehension

f. library institutions

1. the Vatican
 - a. indications that the Bishop of Rome was collecting written materials in the 3rd century
 - b. the library and the archives of the church were housed in the Basilica of San Lorenzo in early 4th century
 - c. the library was removed to the Lateran ^{papal palace} in the 7th.
 - d. the office of bibliothecarius first appears in 8th
 - e. but, more on that later
2. the Bobbio Monastery in northern Italy
 - a. established by St. Columban, who came from Ireland about 590
 - b. the Irish, untouched by the troubles on the continent, had developed fine scholarship and even knew the Greek texts
 - c. a large part of the treasures of Cassiodorus' Vivarium were transferred to the Bobbio
 - d. it had a librarian, and some 650 volumes by 10th c.
3. St. Boniface, coming out of Britain, established the library at Fulda (ENE of Frankfurt)
 - a. we can trace the origins and travels of these MSS by the style of printing, binding, etc.

OVERHEADS
+ slides

OVERHEADS

D. Glimmers of Change - the Carolingian Renaissance

1. the Carolingian Renaissance lasted less than 200 years
(Charles' dates, 768-814, Emperor 800-14)
2. Charles came to the throne legitimately, inheriting his position ~~from~~ as oldest son of King Peppin the Short and his mother Bertrada in 768. Although he shared the kingdom of the Franks with his brother, the latter died just 3 years later, and Charles [Charlemagne] ruled alone until his death in 814.
 - a. Charles was a good administrator, a scholar who was well traveled, and an educator
 - b. although he extended the borders of the kingdom by conquests of most of the southern rim of Europe, and even parts of northern Spain, making him the undisputed master of most of Christian Europe, with the exceptions of the British isles, southern Italy and Moorish Spain, like the Carolingians before him he let local governmental systems continue in each of the regions and benefitted mainly from the booty of his conquests, which gave him a certain independence.
 - c. his reign was noted for a regularized central administration and expansion of communication through the written word, which led to a gradual control over the outer regions of the empire
3. brought to the Franks (France) scholars from other cultures to educate his clergy
 - a. Alcuin, director of the cathedral school at York
 1. b. 735, studied in England and had travelled on the Continent. Known by contemporaries as Flaccus Albinus
 2. became known to Charlemagne when both were in Parma, Italy, and in 782 Charlemagne invited him to his court in an effort to educate and even civilize his subjects
 3. for Alcuin Charlemagne established the Schola Palatina, or the Palace School, and also gave him the superintendance of several monasteries. Alcuin invited scholars from other cultures, including:
 - a. Peter from Pisa and Paulinus from Aquileia
 - b. Paul the Deacon, a Lombard
 - c. Theodulf from Moorish Spain
 - d. a Clement and a Dungal from Ireland
 - e. Einhard, a German from Fuldathese are not household names today, as are the Greek and Roman historians and philosophers
4. Most of the schools in France in this period were either founded or improved by Alcuin, most notably the school in the abbey of St. Martin of Tours, which he established in 796 based on the plan of the school in York from which he had come.

5. While in the court of Charlemagne Alcuin produced many theological writings, several elementary works in philosophy, rhetoric and philology, many poems, and a large number of letters, much of which survived for future researchers.
6. By later Renaissance standards Alcuin was not a polished scholar, but his roughness only represented the uncultivated character of the age. [source:Ency. Amer., 1948, ,v1 - ALCUIN]
7. On Christmas Day, 800, Charles had himself crowned Emperor by Pope [in Aachen] as had become customary with the rise of the power of the Roman Pontiff.
8. in 843 Europe is divided into French speaking under Charles the Bald and German under Ludwig the German, grandsons of Charlemagne. A final partition of central Europe into French, German and Italian comes in 888 (overhead)
9. while the role of the Carolingians was largely one of preservation rather than innovation, Charles and his grandson, Charles the Bald are largely responsible for the production of old texts and their enhancement through bindings, calligraphy and illuminations
10. the tradition of a library for every religious institution, and especially the monasteries, was established during the brief renaissance, but the libraries were largely instructional for the use of the monastics, not for the general populace. But advances in literacy provided the period with the availability of intelligent government officials at Charlemagne's court, and thus an efficient and literate governing body.
11. as bright as the period might have been, it was geographically limited and was ultimately overwhelmed by counter-forces throughout Europe.
12. feudalism returned to Europe in the late 9th century.
 - a. wealth and tax bases shrunk
 - b. learning and scholarship declined

LECTURE IV

Background to American Cultural Systems

2. The Renaissance through the Age of Discovery

A. The Renaissance 12th through 16th Centuries

[See Palmer, Atlas]

1. the four major Crusades, 1097-1291(?) won back for the west some of the Moslem conquests that had stretched up to northern Spain
 - a. there had been some communication with the eastern Mediterranean, mostly with traders and "tourists" visiting the holy sites
 - b. disruptions and disputes among the Moslem powers - with Baghdad, Damascus and Cairo engaged in empire and family disputes led Western Europeans to believe that they could reclaim the holy city of Jerusalem by force.
 - c. the most notable for Western history was the 3rd Crusade, 1189 to 1192, involving the Moslem leader Saladin, and three Western kings - Frederick I Barbarossa of the Holy Roman Empire, Philip II Augustus of France, and Richard I the Lionhearted of England. Not a clear victory for either side, it ended in a negotiated settlement.
2. the campaigns to the east reintroduced the western ruling and military classes to Byzantine and Greek culture, and even to some Asiatic influences
3. the "sack" of Constantinople by Europeans over the Greeks in 1204
destroyed art, buildings, and libraries full of manuscripts, and set back the city as a cultural center, but early works were also brought back from Turkish libraries and translated into Latin, reintroducing some of the classic texts and art forms. The Turks took Constantinople in 1453 and ultimately advanced to Vienna, where they were repulsed in the 17th century (1683)
4. the failure of the Crusades cut off contact with the East once more, but turned venturesome Europeans to the south (Africa) and the west, looking for a way to get to Asia and the Indies without going through Turkish lands
5. the re-consolidation of European nationalities under strong leaders and a process of elimination by conquest and the hegemony of the Catholic Church under Charlemagne and his grandsons
6. the renewal of learning, as scholarship spread out from the monasteries and cathedrals and the patronage of major families once again growing on the profits of trade

B. There was an expansion of learning beyond religious Institutions

1. Early monopoly of the church
 - a. Medieval church held a monopoly on education,
 - b. all knowledge became clericalized
 - c. Latin was the only literary language
 - d. therefore, laymen were largely excluded from cultural affairs

2. Development of the noble and merchant classes
 - a. division of labor in feudal countries led to development of court life
 - b. with it came the nobility and development of a non-working, genteel class
 - c. the need for entertainments - poetry, music, light theater - *Rhinberg*
 - d. the various "peace" crusades of the church to restore civil order (no fighting on holy days, during Lent, etc.) brought some stability and reestablishment of urban life
 1. led to need for popular entertainment
 2. growth of popular reading materials and return of literacy
 3. development of vernacular languages
3. The new monasticism
 - a. the Franciscans and Dominicans were established as urban orders, not contemplative monastics
 - b. they were involved in the foundation of the universities
 - c. the fifth Master-general of the Dominicans, in the 13th century, established instructions for the librarians
 1. appropriate space for the library
 2. comprehensible classification of books
 3. catalogs and shelf marks
 4. a "loan" book, indicating circulation
 5. a yearly inventory
 6. efforts to enlarge the book stock
4. The introduction of paper
 - a. paper came into the Islamic world at the end of 8th century
 - b. it moved west, and in the 10th century there were some 70 libraries in Moorish Spain with many of the works on paper, although it would be 4 centuries before the printing press appears
 - c. the largest was in Cordova, setup by Caliph Hakim II (d.976)
 - d. these were the conditions that existed on the eve of the Renaissance

C. The Renaissance

1. Now largely discounted as a re-awakening and a throwback to Greco-Roman classics, the Renaissance can be said to start in some fields as early as the 13th century, and in some countries as late as the 17th. The tradition is that it is a 15th century Italian phenomenon
2. It was an outgrowth of all that went before - not just a return to classicism
 - a. art
 - b. architecture - some Byzantine influences here, especially in Spain - the Alhambra, but also Gothic influences
 - c. music - certainly not Greco-Roman from what we can tell
 - d. literature - medieval chansons, minisaenger, etc. had their influence
 - e. science - not, however, far beyond the Roman period - in fact, there had probably been some slippage since the Greeks

3. Since much of the 15th and 16th century development deals with humanism and intellectualism it concerns the facilities where things of the mind are kept - such as libraries and archives and their practices. It was the age of Thomas Aquinas 1225-1274, and Erasmus of Rotterdam, 1456-1536
4. Petrarch (1304-74)
 - a. founder of Italian humanism
 - b. focused on classical Rome
 - c. collected writings of the classics
 - d. conceived the idea of establishing a large public library
 - e. in 1362 gave his collection to St. Mark's Basilica in Venice
 1. for use by the "intelligent and noble" people
 2. hoped that the Venetian government might provide for its continued care (it didn't)
5. the Medicis and Venice
 1. Cosimo as a benefactor of Florence libraries through Niccolini Niccoli
 2. Niccoli amassed a library of 800 volumes
 3. sent agents throughout Western Europe seeking MSS
 4. the common complaint of the book collectors of the time was that most monastery libraries were in a shambles - badly cared for - deteriorating. This led to a campaign to "save" the volumes by getting them into other repositories - sometimes resorting to stealing for the cause
 5. at the end of the 15th century the collections of the monastery at Bobbio estab. by St. Columban in 590 were rediscovered, adding to the basis for the next century undertaking extensive philological and historical research
 6. Niccoli, dedicated a "public library" with 1,430 MSS., for which Cosimo d'Medici provided room in the monastery (not the church) of St. Mark
 7. Cosimo's gifts also led to the Laurentian Library, which was later improved and maintained by Lorenzo d'Medici
6. Florence, Naples, Pavia and Ferrara were also centers of developing libraries

D. The Vatican Library

1. The early library established in the Lateran Library in the 7th century was largely lost during the great schism when the Pope went to Avignon in 1309
2. the Popes began assembling the library on the return to Rome in 1377
3. Really founded for the second time by Pope Nicholas V (1447-55)
 - a. he went into debt buying MSS, mostly Greek
 - b. had the support of Cosimo d'Medici and other humanists - *had been Cosimo's librarian (Harris ~ p124)*
 - c. sent agents to Scandinavia and even the Orient
 - d. he aimed to reestablish Rome as a center of the literary and scholarly world
 - e. at his death there were some 800 Latin and 400 Greek mss at the Vatican

4. The work of Sixtus V (1471-84)
 - a. under him the collection grew to over 3500 volumes
 - b. he provided appropriate rooms, decorated by the best artists
 - c. the library contained a public and a reserve (rare book) library
 - d. it was open to the public for research purposes
 5. The Renaissance libraries of the Church
 - a. Renaissance ideas of scholarship implied making available and using books, not just protecting them for the future as was done earlier
 - b. All nature of books were assembled: classical, Humanistic, scholastic, patristic
 - c. Loyola and the founding of the Jesuits in 1534 led to a new relationship between the Church and scholarship as well as a further departure from isolated monasticism
- E. Other States
1. Libraries advanced also outside of Italy, but at a different pace
 - a. England
 1. engaged in the Wars of the Roses (1455-1487), the dynastic struggle between the Yorks and the Lancasters and did not follow Italy's cultural lead
 2. Humphrey, Duke of Gloucester, son of Henry IV, did collect, and on his death his collection went to Oxford - a pattern we will see repeated
 - b. France
 1. Renaissance was delayed until the 16th century, in spite of the fact that France had been the location of the Carolingian Renaissance
 2. but in the Italian campaigns of Charles VIII (1483-98) and Louis XII (1498-1515) libraries were taken
 - a. 1495 Aragon library of Naples removed
 - b. 1500 Sforza library of Pavia
 3. growth of collections really expanded under Francis I (1515-1547)
 - a. built the library at Fontainebleau
 - b. the Philologist & Jurist Bude' was appointed Master of the Library
 - c. imported some prominent Italian librarians
 - d. established the concept of "legal deposit," largely for censorship reasons, but also to force contributions to the collection
 - c. Germany
 1. the nobility and clergy remained traditionalists
 2. the German middle-class embraced Humanism and linked it to German educational efforts
 3. Nicholas of Cusa (d. 1464) competed with italians collecting classical mss
 4. Philip, Count Palatine of the Rhine, modeled his court at Heidelberg on the Italian style, thus with heavy Humanistic emphasis
 5. contrarily, the universities at Heidelberg and Nuremberg remained oriented to the Middle Ages

- F. The Impact of Printing (1456) *Gutenberg*
 - 1. libraries separated from scriptoria
 - 2. printed books were shelved next to codices
 - 3. printed books began to surpass mss codices in numbers in personal libraries
 - 4. the cost of books came down, distribution was broadened
 - 5. the press permitted other things to be printed - broadsides notices, tracts
 - 6. the nature of libraries changed completely, as did the role of the librarian and it presaged dramatic changes in librarianship

G. University libraries

Pick your favorite and read about it!!

- H. Columbus and the Voyages of Discovery
 - 1. the 15th century saw slow expansion outside the confines of coastal Europe
 - a. Prince Henry the Navigator of Portugal explored the west coast of Africa to Sierra Leone, sailed to the Madeiras, Azores, and Cape Verdi Islands in mid 15th century
 - b. Columbus to America in 1492
 - c. the Treaty of Tordesillas in 1494 divided the non-Christian world between Portugal and Spain at approximately 60' west
 - d. Vasco da Gama reaches India via Cape of Good Hope in 1498
 - e. first visit to Japan in 1542 by *Portuguese merchant vessels*
 - 2. the voyages resulted in multiple revolutions
 - 1. geography
 - 2. culture
 - 3. Europeans turning from the old (Greece, Byzantium) to the new and exotic
 - 3. occurred 35 years after printing press
 - 4. led to great outpouring of new literature
 - a. navigation
 - b. botany
 - c. zoology
 - d. entomology *insects*
 - e. etymology *language*
 - f. anthropology
 - 5. this, in turn, led to studies in scientific classification and the book collections to support them
 - 6. the voyages of discovery, and the subsequent colonization of America by Europeans led to the establishment of major archives, such as l'Archivo General de Indias, the British Colonial Office archives etc.
 - 7. ironically, archives of distant possessions quite often preceded archives of domestic governments, and were usually an outgrowth of the records of the Board or Ministry of Trade, only later to become Colonial Offices

LECTURE V

Background to American Cultural Systems

1. European Systems and their Expansion to America
1500-1763

A. ARCHIVES [note: cover royal, church and colonial]

1. the royal archives

- a. quite often divided into two or three parts
 - 1. House Archives - that of the royal family
 - 2. Court Archives - that of the monarch's entourage and the administration of the Court itself
 - a. facilities costs and upkeep
 - b. travel of the monarch and courtiers
 - c. ceremonies, entertainments
 - 3. State Archives - that of the governing bureaucracy
 - a. income - taxes, tribute, fees
 - b. expenditures - military, public services, health (asylums - but often done by the church), roads
- b. kept where the court was, or in the capital
- c. because many of the courts moved around as a management style, their archives or records were either not kept well, were lost or dispersed, or were deposited in the cathedrals with the bishop for each district.
- d. the Austrian Haus- Hof- u. Staats Archives (Dynasty, State and Court Archives) was not established until 1749. This was an early version of an archive centralized for the whole country in the capital (Vienna) as the bureaucracy and national responsibilities grew.

2. the church archives

- a. maintained according to the hierarchy of the church
 - 1. Vatican
 - a. deliberations of the College of Cardinals
 - b. international affairs
 - c. major actions - such as excommunications, elevations to sainthood
 - d. records of the Curia Romana, that body of congregations, tribunals and offices through which the pope governs the Church
 - 2. bishoprics (often the Cathedral Archives)
 - a. records of the region and aggregations of the records of the dioceses and parishes
 - b. records of confirmations of new entrants into the church, annulments, and matters on their way to Rome
 - c. records of the various inquisitions, or investigative tribunals (cite Malta)

3. diocese
 - a. records relating to individuals
 - births, marriages, deaths
 - local charities rendered
 - domestic disputes
 - religious education at primary and secondary level
 4. monasteries and headquarters of orders (Jesuits, etc.)
 - a. records of the orders themselves - rules, members, facilities
 - b. records of the educational and health institutions of the orders
 - c. records of works - farms, scriptoria, vineyards, charities, etc.
 - d. archives of the order aggregated up through the hierarchy
 - b. the more structured the religion, the more structured the archives
3. the municipal archives
 - a. developed from the "free cities" such as the Hanseatic League of Germany (1259-1648) - Hamburg, Luebeck, Rostock, Weimar, - later Dortmund, Muenster and others (Hansa = union or united of Lufthansa)
 - b. contained records of privileges granted by the crown
 - c. commonly covered municipal matters - taxes, bridges, roads property boundaries, trade, etc
 4. The colonial archives
 1. in England, the Colonial Office, estab. 1696 as a successor to the Board of Trade for the colonies
 - a. records of the Colonial Office deposited in the Public Records Office
 1. but it was not established until the Public Record Act of 1838
 2. a building for the PRO not completed in Chancery Lane until 1899 (Kew addition made in 1977)
 2. in Spain there are three major archival repositories, all of which are important for an understanding of the age of discovery - perhaps more important than any other except Portugal, which, however, had few colonies by comparison
 - a. Archivo General de Simancas was established in 1543 at the height of the Age of Discovery
 1. built as a castle in 13th century
 2. used by Ferdinand and Isabella as a prison
 3. close to the old capital of Valladolid
 4. made into an archives in 1540, and an archivist appointed by Charles V that year
 5. in 1545 Philip II issued an edict ordering the surrender of all public documents to the Archives by all councils, tribunals, monasteries, municipalities and other corporations, and individuals
 6. Philip kept the archives under his immediate supervision
 7. when the records of the government outgrew the building, and when the capital was moved to Madrid, Philip ordered the various government offices to send to Simancas only "all papers which by reason of age were no longer necessary for the knowledge and determination of current affairs." It became a true archives

*Records center
hall of records*

LECTURE V

Background to American Cultural Systems

1. European Systems and their Expansion to America
1500-1763
(Continued)

B. LIBRARIES

1. Basic Principles

- a. governments need libraries for:
 1. genealogy (royal)
 2. as a repository for laws
 3. geography
 4. history and biography
 5. the sciences
 6. protection of copyright
- b. to a point, governments can rely on local libraries in the capital city before having to establish their own.
- c. most national libraries develop - are not created. It was different in the U.S., as we shall see

2. La Bibliotheque Royale (Nationale after 1789), Paris

- a. Founding and historical background
 1. oldest of the European national libraries
 - a. was personal library of the French kings, but open to students with certain restrictions
 2. dates from Louis XI (1461-83)
- b. Growth through military action and confiscation
 1. greatly added to by Charles VIII (1483-98) who captured the Royal Library of Naples in 1494
 2. Louis XII (1498-1515), nephew of Charles VIII and son of Charles d'Orleans, added the library of the House of Orleans
 3. a successful Italian campaign brought in books from Venice - Petrarch's library [1304-74 Ital. poet and Humanist whose library had been given to St. Mark's Basilica in 1362 (remember?)]
- c. Growth through collecting
 1. Francois I (1515-1547) had agents gather Greek and Oriental MSS for the library, i.e. Persian, Turkish, Arabic
 2. consolidations greatly expanded the collections in mid-16th century
 3. the Hurault collection of Greek & French historical MSS added in 1661
 4. the Lomenie de Brienne coll. of political papers (1638)
 5. the Dupuy collection in 1656
 6. Philippe de Bethune coll. of French historical papers 1662
 7. in short, Colbert and Louis XIV (1643-1715) made a good library into a great library
 8. by 1700 the library held some 10k MSS & 43k printed books (CLIS currently has about 50 thousand volumes)
 9. at death of Louis XIV (1715) library had over 70,000 vols.
 10. 1756 Notre Dame needed money & sold 301 ancient mss to Louis XV
 11. expulsion of the Jesuits from Paris in 1743 led to a distribution of their libraries and the Library picked up copies that it otherwise lacked
 12. despite financial problems, Louis XVI (r. 1774-92) supported the library, making some major purchases.

- d. Growth through law or edict
 a. a system of deposit was established by Francis I ^{in 1537} ~~ca. 1530~~ and the law was strengthened whereby one copy of every book printed in the realm was to be deposited in the royal library after 1617, reinforced for copyright after the Revolution in 1793
- e. Departmentalizing the library - expanding beyond printed items
 1. the Gaston d'Orleans collection of MSS, printed books and medals in 1662, beginning the Department of Medals
 X 2. Beginning of the Dept. of Prints in 1660s when Colbert secured for the library the Abbe Michel de Marolles cabinet of engravings
 3. the superintendants of the Library came from the same family (bignon) from 1642 to 1781 - 139 years of continuity and growth
 a. departmentalization begun by Abbe Jerome Bignon between 1720 & 1726
 b. four main departemtns were:
 a. theology
 b. cannon law
 c. civil law
 d. belles lettres
- f. Making the library accessible
 1. Bignon obtained a royal edict effective 1736 making the library open to students 2 days a week, but with limits on number of books issued at any one time
 2. "privileged" readers could use the library on the other days, without limitations on items served
 3. Bignon also improved the cataloging procedures to make books more easily accessible
- h. the French Revolution, 1789-1815
 1. after initial neglect by the revolutionaries the Library, renamed the Bibliotheque Nationale, grew
 2. the main growth came from confiscations
 a. the nobility
 b. the emigres (mostly noble, some just opposition)
 c. the churches
 d. the rapid addition of 300,000 books doubled the pre-1789 size of the library
- i. the Revolution saw the beginning of the Archives Nationales
 j. 1801 saw the establishment of the Library of Congress

3. The British Museum

- a. Foundation and historical background
 1. during 16th & 17th centuries there were various suggestions for forming the scattered royal book collections and even those from the CONFISCATED collections due to Henry VIII's closing of the monasteries, into a single national institution, but unsuccessfully
 2. in 1700 the MSS library of Sir Henry Cotton (the Cotton MSS) was bequeathed to and accepted by Wm. III. A building was part of the GIFT
 3. In 1707 Queen Anne allowed the Royal Library to be housed in the Cottonian library

4. moving and fires resulted in neithe being available to the public
- b. additions and growth of the collections
 1. the Sloane Harley collections
 - a. in 1753 Sir Hans Sloane WILLS his 50,000+ volumes to the government provided it is properly housed and Parliament agrees
 - b. Robert Harley's thousands of MSS acquired by the government
 - c. George II ADDS HIS private collection in 1757 and the British Museum is born
 2. the Board of Trustees
 - a. the Museum was to be supported by a subscribed endowment
 - b. the Trustees were to consist of:
 1. Archbishop of Canterbury (church)
 2. Lord Chancellor (crown)
 3. speaker of the House of Commons (Parliament)
 4. Bishop of London
 5. Principal secretaries and officers of state
 6. Presidents of Royal Society & College of Physicians (science)
 7. two representative each of the Sloane, Cotton and Harley families
 8. a nominee of the Sovereign
 9. Presidents of Royal Academies of Arts and the Society of Antiquities
 10. three more members of contributing families
 11. these Trustees then elect 15 others from various disciplines and walks of life - scholars, scientists, public servants & intellectuals
- c. functioning
 1. a standing committee of 20 conducts normal direction of the Museum
 - a. meets monthly
 - b. has subcommittees for Library Departments and Department of Antiques
 2. relations with the Government are through H.M. Treasury where the Parliamentary Secretary acts for them in the House of Commons

d. administration

1. greatest growth and development came under Sir Antonio Panizzi, joined staff in 1831, retired 1868
2. Panizzi was an Italian Nationalist, escaped from prison, fled to England in 1823, was tried in absentia and hung in effigy by the government in Rome (they sent him the bill!). He took a position as Asst. Librarian at the British Museum and was contracted to do a catalog of the works of the Royal Society
 - a. he wanted to prepare an alphabetical catalog; the Society wanted a classified one based on its 17 classes of knowledge. Panizzi argued that that was too restrictive for the 19th century.
 - b. Panizzi came into considerable conflict with the Board of Trustees (see above) who wanted to micro-manage his cataloging work, asking to review it at every turn. Panizzi was removed from the job and the catalog completed without him.
 - c. In 1834 he was asked to join a team to make a new catalog for the British Museum's Department of printed Books, and subsequently to survey foreign libraries to see what methods they used.
 - d. in 1836, with support from his superiors on the staff, Panizzi was able to convince an oversight committee to undertake revision and updating of the book catalog.
 - e. his work was forwarded by his promotion to Keeper in 1838, and in 1839 won approval to develop a whole new set of rules for cataloging, and Panizzi selected three other librarians to assist him.
 - f. the 91 rules that were developed became the basis for Anglo-American cataloging for the next 150 years (til MARC came along), and were based on production of an alphabetical book catalog
 - g. Charles Jewett, librarian of the Smithsonian Institution (striving to become the National Library here) incorporated many of the rules in his plan for a national union catalog of the U.S. in 1852.
 - h. Charles A. Cutter acknowledged the B.M. rules and their impact in his Rules for a Printed Dictionary Catalog in 1876, and used many of them
3. Panizzi's other activities
 - a. supervised move into new building in 1838
 - b. oversaw building of central reading room and stacks
 - c. first complete catalog and beginning of printed catalog
 - d. got Parliament to provide special funds for special purchases
4. Panzzini's enforcement of DEPOSIT LAW added volumes to the B.M., but

it was just one of six British libraries to enjoy copy-right deposit - Bodleian Libr, Oxford; University Library, Cambridge; National Library of Scotland, Edinburgh; National Library of Wales, Aberystwyth; Library of Trinity College, Dublin - also had it

4. The Royal-Imperial (Kaiserlich-Konigliche) Library, or, Die Preussische Staatsbibliothek, Berlin

a. Foundation

1. German libraries were scattered because of fractionalization of the country
2. 30 Year's War, 1618-1648, very destructive and practically drove Germans back to the Middle Ages
3. best library in Germany in the 18th century was Gottingen - home of the Hanoverian kings of England
 - a. founded 1737
 - b. received specific and regular funds
 - c. had a systematic acquisition policy
 - d. was open daily with liberal service regulations
 - e. had one alphabetic catalog listing all holdings
 - f. had a classified catalog

b. 19th century changes

1. Napoleonic period
 - a. LOSS of some collections (to France) in Cologne, Trier, Mainz
 - B. GAIN of major secular libraries from sequestration of monastic properties
2. even unification (1871) did not lead to a unified library system, but left many state, city and university libraries as major depositories, as in the U.S.
3. much of modern librarianship owes its theory and practices to German scholars
 - a. F. A. Ebert (1791-1834) Die Bildung des Bibliothekars (The Education of Librarians)
 - b. Anton Klette, appointed in 1870 as librarian, University of Jena, wrote Die Selbständigkeit des Bibliothekarischen Berufs (The Independence of the Library Profession)
 - c. first professorship of library science in Germany was established at Gottingen in 1886

c. Direct predecessors of the Staatsbibliothek

1. Prussian State Library

- a. began in 1661 under the sponsorship of Frederick William, the Great Elector
- b. known as the Kurfurstliche Bibliothek zu Colln an der Spree (now Neukoln)
- c. housed in the top room of the castle, over the apothecary
- d. small collection
 1. a 42 line Gutenberg Bible
 2. 2 German MSS
 3. some MSS of Luther
- e. open for "public" use
- f. the Elector, not the librarians, determine acquisitions

- g. funding - originally - until end of 18th century
 - 1. dues paid for dispensation from having the bans called and for permission to marry one's cousin
 - 2. dues from the right to have more than the customary number of godparents
 - 3. were used for book purchases
 - 4. gifts of books were encouraged
- h. size, by 1688, 20,000 v. + 1600 mss
- i. by 1699 it was called the "Konigliche Bibliothek zu Berlin, and the legal deposit system instituted although not formalized until a decree of 1824.
- j. Frederick II - the Great
 - 1. early wars (Spanish Succession (1740), Seven Years' (1756-63), Potato War (Bavarian Succession 1778-1779) strained Frederick's resources and kept funds from the library
 - 2. in 1770 he turned his attention to it, bought books and began a new building in 1775 (dedicated by Frederick in 1780)
 - 3. library had 72,000 vols in 1740; 150,000 in 1786
 - 4. public access expanded
 - 5. Frederick still controlled all new accessions
- k. early 19th century
 - 1. libraries placed under department of culture in 1810
 - 2. Wilhelm von Humboldt was Minister of Culture
 - a. stressed library development
 - b. doubled the annual budget, even in tough times of the Napoleonic Wars
 - c. regulations for conduct of the staff were issued in 1796, improved in 1813
 - d. new catalog begun in 1811
 - e. Humboldt created the University of Berlin and until 1831 the Royal Library served as its library
 - f. by 1840 the collection reached 300,000
 - 3. independence from direct royal supervision began in 1817 with appointment of Head Librarian (Oberbibliothekar)
 - 4. Periodicals reading room opened in 1819
- j. the modern period - 20th century
 - 1. move from Frederick II building to ~~its~~ *Staatsbibliothek Berlin* ~~current one (?)~~ in 1909
 - 2. change of name to State Library in 1919 and conversion to a centralized national library
 - 3. former specialization in foreign books took a setback during WWI and post war inflation
 - 4. by 1914 was second only to the Munich Hofbibliothek in collections of MSS and incunabula
 - 5. 1914 the Society of Friends of the Royal Lib. *established*
 - 6. not notable for ancient MSS because Prussia did not have many large monasteries from which to confiscate them! Bulk is Orientalia
 - 7. noted for its music collection, specializing in original works of the German (incl. Austrian) composers

5. Commonalities in National Libraries
 - a. at sometime a very effective administrator - *Bignon, Pariszi, Humboldt*
 - b. development of deposit systems
 1. for censorship or licensing
 2. for copyright
 3. as a depository of record for all works published in the country
 4. as a form of contribution to save the state money
 - c. the devastations, but also the benefits of revolutions, wars partitions, consolidations, etc.

6. We can now cross the Atlantic to see how all of these European archival and library precedents affected development in the United States.

Cultural Conditions in Colonial America

I. Isolation

- A. Unlike contact with Middle East, Far East, or even parts of Africa contact in North America was with primitives
 - 1. the primary task was to build settlements
 - 2. the primary goal was economic or religious
 - 3. the primary emigrants from England and later from all of Europe were the laboring class
- B. Cargo space was limited, so books took low priority
- C. There was little leisure time for contemplation and learning

II. Religion

- A. The religious emigres were mostly dissenting sects
 - 1. they did not carry traditions to the new world
 - 2. they did not depend on a complex learned theology on which to base their faith - they were REALLY ultramontanes
 - 3. the bible and homilies were their primary reading needs
 - 4. there was no structured religious intelligentsia at first
- B. Changes over the century 1630-1750
 - 1. importation to the cities of formalized religion
 - a. Episcopalianism
 - b. Presbyterianism
 - 2. beginnings of formalized religious education at Harvard (1636) William & Mary (1693), Yale (1701), brought the need for theological collections
 - 3. Maryland as a Case in Point
 - a. 1624, George Calvert, as Secty of State to James I returned to his bbaptized faith of Roman Catholicism, which forcedd him to retire from office. He continued to receive royal patronage, however, and received the title Baron of Baltimore and the promise of land on the Potomac
 - b. Lord Baltimore never got to America. Son, Cecil, organized the first settlers of Maryland - 17 Catholic in^{er}vestors, 100 laborers (mostly Protestant), a few women, and 3 Jesuits
 - c. After months at sea they landed at St. Clement's Island in the southern Potomac, purchased land from the Indians, and built St. Mary's City as the capital
 - d. Political and religious wars in England caused unrest in Maryland, and the Calverts tried to balance conflicting pressures from Catholics and Protestants. In 1649 the Maryland Assembly passed the Act of Religious Toleration (landmark!) guaranteeing religious freedom to all Christian colonists.
 - e. in 1689, with William and Mary ushing in the Glorious Revolution in England, the Calverts' "pious experiment" finally collapsed, and Catholics became the oppressed minority in the colony.
 - f. In 1692 Maryland lost its proprietary status and became a Royal Colony, thus making the Church of England the official religion. The Colonial government left St. Mary's and moved the capital to Protestant Annapolis.. Laws were passed to deny Catholics the right to worship publicly, hold office or vote, although enforcedment varied from one Rooyal Governor to another.

g. thus, Maryland Catholics had little to lose and much to gain in supporting the American Revolution. Charles Carroll of Carrollton became politically active, voted to support open religious toleration, and as a representative to the Continental Congress he signed the Declaration of Independence - the only Catholic to do so.

3. the Awakening of Evangelicalism after 1720 reversed the trend and introduced anti-intellectualism
 - a. a return to impassioned emotional appeal
 - b. a rejection of tradition and scholarship
 - c. concentration on the Bible, and only the Bible, as a basis for faith
4. Evangelism, being anti-intellectual, rejected the need for learning centers
5. religious scholarship, therefore, retreated to the colleges
6. the common man did respect and promote literacy, but only for the practical purposes of trade and reading the Bible
8. the split between "intelligence" and "intellectualism" [see Hofstadter, p. 25]

III. Self Dependence

- A. Colonists were pretty much "on their own"
- B. Population was small (Boston 7,000 in 1699 - total Colonial population 106,000 [Eliz NJ, Alex. VA today] in 1700 [Hofstadter p. 61])
- C. Old world knowledge did not meet new world requirements
 1. the settlers discovered "new" things every day, making the study of "old" things from Europe seem irrelevant - thus a decline in structured learning in lieu of acquiring empirical knowledge
 - a. animals - the possum, great cats, musk ox, skunk, gopher
 - b. birds - whole varieties unknown in Europe
 - c. plants - corn, potato, tobacco, cactus, magnolia, tulip poplar, tomato, squash
 - d. climate hurricanes, tornadoes, earthquakes
 - e. humans - the Amerindian, over 100 varieties
 - f. horse, camel & rhinoceros originated here but had disappeared
 2. old skills did not meet new requirements
 1. ~~weapons became tools (i.e. guns)~~
 2. division of labor could not be employed - the practical, intelligent, pragmatist succeeded most - *changed w/ slavery*
- D. Books and Writing
 1. practical writings were best, but many did not apply:
 - a. architecture - new materials and simple tools made European methods impractical
 - b. cookbooks fell into the same category
 - c. vastness of America led to expansiveness and "waste" rather than restrictions and conservation
 2. religious writings were mostly in the seminaries - there were no monasteries in the European style until much later - except in the Spanish SW, and these generally were not contemplative orders establishing them

3. legal works were often scorned in the courts of unlearned judges (cite Boorstin p. 197 & 200)
4. writings on government became popular - government was close to home, not some remote legislators - (compare w/Greece)
5. the tendency for colonists to create books fell in the areas:
 - a. observations - weather, Indians, nature, geology, geography
 - c. chronicles
 - d. practical hints
 - e. "common sense"
6. technical expertise more important than philosophy

IV. The Sources of Knowledge

A. Few books published in America

1. scarcity of type
 - a. licensed production by the crown
 - b. manufacturing prohibited in the American colonies
2. scarcity of paper
 - a. scarcity of rags
 - b. scarcity of papermakers
 - c. affected what 18th century documents look like today and their survival rate
 - d. not enough type or paper to permit book production
 - e. printing confined to brochures, tracts, broadsides, etc.
3. first American printing press not until 1769, built by Isaac Doolittle of New Haven - before all had been imported presses
4. first major publication not until 1790 when American issue of Encyclopedia Britannica published in a pirated edition edited to correct English bias. The 18 vols, took 7 years to print
 - a. couldn't keep 18 vols of type set at once
 - b. Encyclopedia was therefore sold in series, a volume at a time, a pattern which continues today in supermarkets
5. because of the risks, publishers were conservative in what they printed [~~cite Boorstin, p. 324~~]
a bibliographer, writing from London in 1789 noted:
"whatever is useful sells; but publications on subjects merely speculative, and rather curious than important, and generally such on the arts and sciences, as are voluminous and expensive, lie upon the bookseller's hands. They have no ready money to spare for any thing but what they want; and, in literary purchases, look for present, or future use."

copyright
Anne Mio

B. Newspapers and Presses

1. earliest support for printing was in government work
 - a. no centralized government, therefore 13 separate printing operations required - all had one by 1762
 - b. legal printing far outweighed literary printing - it was done on contract, not speculation
2. 1730: 7 regularly published papers; 1800 there were 180
3. utility - [cite Boorstin, p. 327.]

D. Consequences

1. literacy was important, but literature was not
2. books were expensive, and yet the public demanded entertaining books

3. choice was dictated from London, and local literature, printing, and tastes did not develop in the colonies
4. the practical triumphed over the theoretical
5. however, theories of government were important to those trying to govern themselves without tradition, and political science became every person's interest and hobby
6. there was no central force, such as the church or the state or even the universities, to create the library base
7. until the Revolution, government records were mostly kept in London, so there was no archival base either

LECTURE VI

PART 2

Establishment of Libraries and Historical Societies in America

- I. Early Collections were Personal
 - A. Rev. William Brewster, a Pilgrim, left over 400 books on his death in 1643
 - B. Gov. Wm Bradford, Plymouth minister Ralph Partridge and Miles Standish owned small collections of 50-60 books
 - C. Themes were religion, history, travel, political philosophy, classics and practical works on agriculture or military matters
 - D. Small collections, a dozen or less, were usually all religious
 - E. Gov. John Winthrop of Connecticut left over 1,000 volumes at his death in 1676, in major European languages and Greek
 - F. Cotton Mather left some 4,000 volumes in 1728
 - G. The Virginians also had personal collections, some estimates are a thousand collections worthy of noting - had few urban centers
 - H. However, in 1700, only half of the adult population was literate
 - I. The pattern in the 18th century was for prominent professionals to develop a private library and then establish or leave it to a public institution. Most of these, if not lost by fire, became nucleus of the municipal or academic libraries
 - J. In the southern colonies the planters built up libraries that often became the basis for their childrens' education because of their isolation from urban centers
- II. Effects of the American Revolution
 - A. As usual, destruction of property included book collections
 1. British and Tories and Hessians destroyed homes of the Patriots
 2. British occupation of Philadelphia and Southern plantations destroyed or scattered private collections
 - B. Patriots tended to confiscate and sell, not destroy, collections
 - C. Independence opened up the printing and publishing trade as well as lifting import restrictions from Europe
 - D. In the post-Revolution period, however, the burning of Washington destroyed the early assemblage of Library of Congress books -- 814.
- III. The Major Collections of the Early 19th Century
 - A. John Allen of New York (d. 1863)
 1. Americana
 2. examples of early American printing
 - B. Isaiah Thomas (d. 1831)
 1. history of printing
 2. early Americana, including newspapers
 3. helped establish the American Antiquarian Society (1812) and his collections went there [see below]
 - C. John Carter Brown (1797-1874)
 1. early Americana
 2. travels and explorations
 3. passed on to Brown University in 1900

- D. Peter Force, editor and historian (1790-1868)
 - 1. American history
 - 2. all forms totaling 60,000 items
 - 3. included the Force transcripts
 - 4. sold to Library of Congress in 1867, doubling the library's holdings in this field
 - 5. published his American Archives in 9 volumes
- E. James Lenox
 - 1. gave 15,000 books plus paintings to N.Y.C.
 - 2. provided a building
 - 3. became part of the New York Public Library, with Tilden and Astor collections *& the Tilden Trust*
 - 4. included Americana, Shakesperiana, English literature, bibles

IV. Educational Institutions

- A. Little need be said because it is obvious - colleges and universities need and have libraries
- B. They tend to be research libraries
 - 1. classics
 - 2. science
 - 3. law, medicine
 - 4. religion
- C. Harvard, 1636 - small and theological in the beginning
- D. William and Mary, 1693 - Anglican
- E. Yale, 1700 - largely theological
- F. College of New Jersey (Princeton) 1750
- G. Kings College (Columbia) 1757
- H. Similarities
 - 1. all started as religious school
 - 2. all had slow library growth, with the largest having only 4,000 volumes by the time of the Revolution
 - 3. all had restricted access, usually to upperclassmen and faculty (for the most part, still applies)
 - 4. all were adversely affected by the Revolution, whose action took place mostly where they were located - Harvard, (Bos) Princeton (NJ), William and Mary (Wmsbrg - Yorktown)
 - 5. real growth and accessibility did not come until mid-19th c.

} only ones
in America
before 1745

V. Predecessors to the Public Library

- A. The Bray Libraries
 - 1. Rev. Thomas Bray (1656-1730) Anglican clergyman
 - 2. Founder of the Society for the Propagation of the Gospel and Society for Promoting Christian Knowledge
 - 3. Established some 70 libraries in America
 - a. five provincial libraries in Colonial capitals
 - b. 39 parochial libraries, relatively small
 - c. 35+ laymens libraries, distributed to ministers
 - d. only significant remainder was in Annapolis
 - 1. 1100 volumes
 - 2. burned in 1704
 - 3. any remains are at St. Johns College library
- B. The Library Company (Philadelphia) 1728 - the Junto Club
 - 1. began by Franklin and friends as a reading-debating club
 - 2. membership originally by subscription 1731 (chartered 1742)
 - 3. books kept in the State House, now Independence Hall, then in Carpenters Hall, then in 1790 to its own building

LECTURE VII

THE GREAT COLLECTORS AND THEIR COLLECTIONS

INTRODUCTION

The early 19th century collectors and writers concentrated on military and political figures, and mostly on people and events east of the Appalachians.

- A. Hazard, Belknap, Force in the East
 - 1. All collected because they wanted to publish
 - 2. Ebenezer Hazard, a New York bookseller, postmaster general of the Confederation
 - a. collected to compile five volumes of American State Papers
 - b. solicited originals or copies of "every important public paper . . . relating to America" from the voyages of the Cabots" down to the present time.
 - c. succeeded in publishing only 2 volumes: 1492-1656; 1656-64
 - d. his collection ultimately went to the Library of Congress.
 - 3. Jeremy Belknap
 - a. for 20 years collected MSS for his History of New Hampshire
 - b. founder, with Hazard, et al., of Massachusetts Historical Society in 1791 (after moving there from N.H. to become the minister of the Federal Street Church. His collection went to the Massachusetts Historical Society
 - 4. Peter Force
 - a. began collecting in 1820s on American history
 - b. left 60,000 items - MSS, books, pamphlets, newspapers, etc.
 - c. sold to L.C. in 1867
 - d. the "transcripts" became important basis for the MSS DIV
 - 5. Jared Sparks - 1840s
 - a. set out to write History of the Revolution from documents and also to edit the G. Washington papers that he had gotten from Bushrod Washington
 - b. appointed McLean Professor of Ancient and Modern History at Harvard, 1838
 - c. "probably the first professor of civil history in any American university" - S. E. Morison
 - d. his collections went to Harvard

> go to VI HIST SOC

In the mid-19th century as the country moved west and encountered new experiences, among the American Indians, and in contact with the older French trappers and settlements in the Mississippi Valley, and sifting through the reports coming out of the Lewis and Clark expeditions of 1804-1805, historians began to reflect the interest in these new areas in their writing and collecting.

- C. Other prominent subscription libraries (all still extant)
 - 1. The Redwood Library & Atheneum, Newport, RI (1750)
 - 2. Charleston (SC) Library Society (1748)
 - 3. The Society Library (NYC) 1754
- D. General Characteristics of social & subscription libraries
 - 1. supported by memberships and voluntary contributions
 - 2. tended to aim at education and improvement of the mind, not at popular culture or entertainment
 - 3. thus, not "public" libraries as we know them

VI. Historical Societies

- A. Massachusetts, 1791 (incorporated 1794)
 - 1. founded through the efforts of Jeremy Belknap (NH) and Ebenezer Hazard (compiler - American State Papers)
 - 2. difference from library societies was thrust and material
 - a. thrust was history - not religion or education in general
 - b. material included books, but was essentially documents
 - 3. membership very limited - originally 7, then 30, now 100
 - a. by election
 - b. for historical scholars or those who could contribute documentary materials
 - 4. although chartered or incorporated to collect books, pamphlets manuscripts, broadsides, newspapers and even historical artifacts, the Society's strength ultimately lay in its manuscript collections (see DAMRUS)
 - 5. undertook publication of original documents, to provide a "multiplication of copies" to place them "beyond accident" and by 1990s had published ~~340~~ volumes of documents - Adams fam
- B. New-York Historical Society - see yellow sheet
 - 1. founded through the efforts of John Pintard of NY (1759-1844) a merchant
 - 2. founders included DeWitt Clinton, Anthony Bleeker and Peter Stuyvesant
 - 3. object: "to collect and preserve whatever may relate to the natural, civil or ecclesiastical History of the United States in general and of this State in particular . . ."
 - 4. residents of N.Y. State could join with a \$10 admission fee and \$2 dues annually
 - a. honorary members, dues optional, could come from other states
 - b. no limit on number of members
 - 5. incorporated by State legislature as the New-York Historical Society on Feb. 10, 1809, and has retained the hyphen since
 - 6. In 1814 State funding, through authorization of a lottery, was received to supplement the small income from dues - membership was slow in rising
 - 7. employed a "sublibrarian" in 1818 for \$100/year (\$2 a week!)
Mass. Hist. Soc didn't hire a librarian til 100 years later
- 1918

C. American Antiquarian Society

1. founded by Isaiah Thomas (1749-1831), ^{Principal} chief [?] printer
-publisher-bookseller of the U.S., in 1812
2. had led a picaresque existence from Nova Scotia to S. Carolina
 - a. advocated revolution in print - published newspapers "The Spy"
 - b. assisted Paul Revere on his ride
 - c. was a sniper at Lexington and Concord
3. member of Mass Hist Soc., N-Y Hist Soc and Amer Philos Soc
4. petitioned Mass legislature to establish American Antiquarian Society in 1812 after he had retired
5. object was to collect "American Antiquities, natural, artificial, and literary; not, however, excluding those of other countries."
6. established in Worcester, where Thomas had settled
7. patterned after the Society of Antiquaries of London
8. had members all over the country who sent in learned papers on history, geography, geology, etc., of their region
9. purchased 600-700 volume remains of the library of the Mathers
10. limited to 225 "selected" members, 55% to be from New England
11. no dues

D. Maryland Historical Society

1. founded by a group of Baltimoreans in 1844
2. limited, dues-paying membership, but open to anyone
3. collects material relating to Maryland families
 - a. papers - Carroll family, Benj. Henry Latrobe, etc.
 - b. furniture, period clothing, silver, china
 - c. art and reproductions
 - d. books
 - e. more recently - trolley cars
4. even had a game room (chess) for members
5. Whitehill critical of recent leadership and programs
6. acted as informal State archives for some older material prior to 1933, when Hall of Records was founded

Back to 70 (1)

B. Draper and Durrett in the Midwest

1. Lyman Draper and State Historical Society of Wisconsin

- a. "an odd muddle of patriotism, scalp hunting, self justification, Baptist theology, spiritualism, promotion, thwarted ambition to write best-sellers, autograph dealing, speculation in mining stocks, and hypochondria." Hesselstine cited in Whitehill, 244
- b. went to Baptist theology college - Ohio, then to another in Stockport (near Albany) NY
- c. interested in frontiersmen and Revolutionary War soldiers' papers and undertook collecting material to use for future publication
- d. in 1840s travelled throughout the Old Northwest, between the Alleghanies & the Mississippi collecting material and interviewing residents
- e. in October 1852 moved to Madison, WI, as pastor of new Baptist church. joined new historical society & elected to executive committee
- f. 1853 7 incorporators got the state to approve new SHSW
- g. insufficient dues base led to state appropriation of \$500
- h. first quarters were in basement of Draper's Baptist church
- i. became salaried director - \$1,000/yr - in 1855
- j. built the collection to the premier institution in the midwest
 1. moved to State Capitol Building in 1866
 2. then had 43,000+ volumes, by 1877 had 70,000 books
 3. Draper retired in 1887, SHSW had 110,000 vols and Draper picked Reuben Gold Thwaites as his successor
 4. Draper willed 2546 volumes of books and 478 volumes of manuscripts to the society

2. Reuben T. Durrett (1824-1913)

- a. Col. Durrett, a journalist and lawyer with an interest in Kentucky history
- b. gathered nine friends in his Louisville home in 1884 and formed a club in honor of John Filson, 1747-88, author of The Discovery, Purchase and Settlement of Kentucke, Wilm., DE, 1784, to collect and preserve Kentucky historical materials
- c. Durrett was President until his death in 1913
- d. limited membership, and only members could attend meetings (with invited guests)
- e. the club's manuscript and book holdings became mixed with Durrett's
- f. on his death the executors of his estate, unknown to the club members, sold the entire Durrett collection to the University of Chicago, forming the basis of the Old Northwest collection which is still there

~~with~~ The various western gold rushes of mid-century, with the largest in California in 1849, the country's population took a quantum leap, and outflanked the barrier mountains and deserts. The transcontinental railroad was begun in 1862, offering the railroads western lands as an incentive to build. The Golden Spike was driven at Promontory Point, Utah on May 10, 1869. The western move put Americans in touch with Spanish settlements of the Southwest, and the railroad construction brought in great numbers of Chinese laborers, putting the populace in touch with people of South America and the Pacific Rim. These movements were reflected in the work of historians and collectors.

3. Hubert Howe Bancroft (1834-????)

- a. Born in Ohio, went to California at 19 (1853) [gold?]
- b. became a successful and ultimately wealthy bookseller there
- c. Wanted to write a comprehensive historical series on Pacific Coast states
- d. began collecting sources, bought individual volumes and sometimes had agents buy entire collections
- e. when he could not get documents or books he had them transcribed as Peter Force had done (had his own Scriptorium??)
- f. collected everything of a documentary nature - personal papers, reminiscences, books, pamphlets and newspapers
- g. his collection went to the University of Calif. library in 1906
now the Bancroft Library, Berkeley - *250,000 volumes purchased*

4. Others

- a. Francis Parkman, historian of the West, papers at Mass. Hist. Society and Harvard
- b. William H. Prescott - the West, Mexico and Peru, at the Mass. Historical Society

C. Conclusion

It is clear that the major manuscript and archival collections of this country did not come about through government action or academic initiative, although it certainly took the initiative of the institutions to take these collections under their wing, such as the Library of Congress with Peter Force, Berkeley with Bancroft, Chicago with Durrett.

*Adel Shamburg }
 Loringham } Block
 Schlesinger } women*

As Kane reports, the greatest development of historical societies came in the post-Civil War era. Between 1791 and 1861 there were some 60 historical societies created, and by 1884, when the American Historical Society was founded, there were 200. Many, however, were small, underfunded, run by amateurs, and thus did not survive or were merged into larger private and state institutions.

We will have to wait until the 20th century before the States get into the act with their own state archives. But after the Civil War there was a growing interest in local history, especially in the south. With the scattered rural populations in the southern states, there was not the initiatives on the part of individuals coming together for common cause as there was in the northeast.

We will also have to wait for the 20th century for the state historical societies to grow in the west, and we will see the very slow development of state archives in all sectors.

Through this ad hoc method of assemblage of collections we seem to have saved what should have been saved, although such a statement does not take into account negative information - what was lost? What do we not know about? Is it therefore true that the archivist leads the historian? Is the history that has not been written unwritten because there were no documents?

LECTURE VIII

THE FEDERAL LIBRARIES THE LIBRARY OF CONGRESS

I. History

A. Pre 1802

- 1 The First Continental Congress got borrowing privileges from the Library Company in Philadelphia
- 2 With establishment of the Federal Government in New York the legislators used the New York Society Library
3. In 1789 a proposal to spend \$500 a year for books for the use of Congress died from lack of action
 - 1.1.3.1 Some members branded it as "frivilous."
 - 1.1.3.2 Others said that the members would probably not need any books beyond their own collections
- 4 the move to Philadelphia in 1791 resulted in the use of the Library Company again
- 5 With the move to Washington in 1801 Congress found itself in a new city with no facilities, especially libraries, to rely on. If it had stayed in New York or Philadelphia chances are that there would not be a Library of Congress as we know it
- 6 In Washington the Congress established a Joint Committee on the Library
 - a. to establish rules for the library
 - b. to assist in selection of volumes for acquisition
 - c. to review the budget
 - d. excluded executive or judicial branch representatives
- 7 the Librarian of Congress was to be appointed by the Pres. (Giving an indication that it was more than just Congress's library)
 - a the President and V.P. were given borrowing privileges, but only in person
 - b Thomas Jefferson appointed John James Beckley as first Librarian of Congress
- 8 Initial acquisition policy
 - a. works in English
 - b. scholarly, factual or legal books - no fiction
 - c. no classics, since it was assumed that members had them personally
 - d.. all of this assumes the library to be an adjunct to the members' own collections, and not part of a corporate institution
 - e.. maps - for proof of land holdings against expected claims of England, France and Spain. This would become more important later when the Federal government became the largest landowner

B. 1803-1864

- 1 by 1812 the Library contained 905 titles in 3,000 volumes,
almost all printed in England
- 2 for the British raid on Washington in August 1814 some of
the library's volumes were removed to the countryside (just
as the PCC were), but there was some damage anyway
- 3 ~~in 1814~~ Jefferson offered to sell his library, and with some reluct-
ance and a close vote of a majority of 10, Congress paid
\$23,950 for 6,487 volumes - Jefferson needed the money, ~~since~~
~~the sale didn't take place for a number of years~~ *It mainly went to exed*
- 4 Jefferson had employed a cataloging scheme, largely of his
own making, that was adopted by LC and used into the 20th c.
 - a. Jefferson classified all books into 40 categories
(see Story up to Now, p. 76)
 - b. this scheme fell apart with quantity, but LC
tried to keep it up till end of the century
- 5 during this period access was extended to the Attorney
General, members of the Supreme Court, and members of the
diplomatic corps as well as heads of executive agencies and
military departments - but not their staffs.
- 6 an exchange program began in 1840 when Congress decreed the
printing of 50 extra copies of volumes of documents printed
by either house to be used for L.C. exchange with foreign
countries
- 7 Jackson and Lincoln had each replaced the Librarian, setting
precedent that the head of the Executive Branch could remove
an employee of the Legislative Branch

C. 1864-97 Administration of Ainsworth Rand Spofford

- 1 began a main catalog arranged alphabetically by author
- 2 worked to make copyright deposit work and acquired the
copyright office
- 3 affected receipt of the "Smithsonian Deposit", which were
the exchange publications resulting from the S.I.'s own
publications program and consequent exchanges - resulting
so far in over 2 million pieces, mostly scientific, to LC
- 4 in 1867 purchase of Peter Force Americana collection to beef
up its Americana collection resulted in:
 - 22,500 volumes of Americana
 - 1,000 volumes of bound newspapers
 - 40,000 pamphlets
 - 1,000 early maps
 - 429 volumes of manuscripts (some transcripts)
- 5 Spofford ran out of room by 1872
 - a. he planned and built the first full home, the
"Main Building," which opened in 1897
 - b. because he couldn't keep up with administration
of the collections (still maintained Jefferson's
cataloging system) he was removed just before the
new building opened

D. 1897-99 Administration of John Russel Young

- 1 Shortest term, since he died after only 19 months
- 2 opened new building in Nov. 1897
- 3 hired Spofford as his assistant librarian !!
- 4 organized the library into departments
 - a. Reading Room
 - b. Periodical Department
 - c. Law Library
 - d.. Copyright Office

- e. Manuscripts, Music, Maps, and art gallery
- f. a central Cataloging Department
- 5. Young brought in professional librarians from all over the country to work at LC: from U. of Wisconsin library, New Hampshire State Library, Boston Public, Boston Atheneum
- 6. also brought in specialists, such as Dr. Herbert Friedenwald, specialist in Rev War and Cont. Congress was made head of Manuscripts Department
- 7. employed the services of State Department embassies to gather material from abroad
- 8. extended reading room hours to 13 daily
- 9. investigated participation in interlibrary loan program
- 10 . established a trust fund for extraordinary purchases

E. 1899-1939 Herbert Putnam

- 1. had been director of the Boston Public Library which, in many ways, was more advanced than LC
- 2. also was a Harvard grad, Phi Beta Kappa, held a law degree from Columbia and had practiced law, was director of Minneapolis P.L. 1884-91, and Boston P.L. 1891-99. Son of founder of Putnam Publishing
- 3. was forever creating departments and divisions, libraries within the library (Law Library, Congressional Ref. Library) but had each reporting directly to him so he had a very broad span of control - not good
- 4 instituted modernization of library procedures:
 - a. created the card catalog
 - 1. was not an invention or development of LC
 - 2. Boston Public had a card cat in 1853 and was printing cards since 1879
 - 3. Harvard had a card catalog in 1856 printed cards since 1884
 - b. applied subject headings
 - c. began printed card distribution program
 - d. under Young the 44 categories of Jefferson were changed to Dewey Decimal classification
 - e. under Putnam the Library moved slowly to its own classification, built on that of Charles Cutter, of the Brooklyn Library, that could handle the great volume of material
 - f. large libraries, and especially university libraries, began adopting the LC classification
- 5. developed the Legislative Reference Service (later Congressional Research Service)
- 6. continually moved the Library into the role of a National Library
- 7. expanded the collections from Americana into collections of Russian, Chinese, Hebraic, Judaic and Semitic materials which are the largest outside of the parent countries
- 8. initiated the music program, built the Coolidge Aud. and the Whittall Pavillion for performances, obtained an instrument collection for the Mmusic Department
- 9. finally, to accommodate the new programs, people and materials, he negotiated for construction of the Annex which opened in 1939, just before he retired in '39

- F. 1939-44 Archibald Macleish
1. a poet, not a librarian
 2. confronted by the conditions of WW II
 3. confronted by a confusing array of departments, offices and divisions, so simplified the structure and narrowed the span of control from 36 to 5, which remained essentially through Boorstin
 4. solidified the acquisition policy, which implied a disposition policy to reduce the burden of material coming into the system, but the acquisition policy was a broad statement that could include almost anything (vide: Goodrum, p. 46)
 - a. the acquisition policy was honed to permit variations of concentration in each area
 - b. agriculture and medicine were abandoned to the two national libraries in those fields

- G. 1944-54 Luther Evans
- 1 political scientist, Ph.D. from Stanford
 - 2 headed the Historical Records Survey of WPA, 1935-39
 - 3 director of Legis. Ref. Service at LC under Macleish
 - 4 tried to broaden the span of the Library's influence both nationally and internationally
 - a. Congress told him to pull in his horns
 - b. he was an internationalist in a period of post war retrenchment, the cold war, and a certain isolationism
 - c. his garrulousness and impatience with the opposition to his programs put him at odds with Congress, and the Library's programs suffered
 - 5 expanded LRS, opened the Poetry Office, expanded music programs to include national broadcasts
 - 6 expanded the collections (Manuscripts later) including Mary Pickford motion pic library, Giant Bible of Mainz, Jean Hersholt's Hans Christian Anderson collection, and the Rachmaninoff Archives
 - 7 when he saw the limitations of trying to run the library while bucking Congress itself he took the opportunity to accept the position of executive director of UNESCO and left in 1954

- H.. 1954-74 L. Quincy Mumford
- 1 came out of New York Public and Cleveland Public
 - 2 a quiet, unassuming, vest-wearing, methodical administrator
 - 3 faced a Congress made hostile by Evans which did not believe in LC expansionism
 - 4 oversaw (but did not necessarily initiate) three main changes
 - a.. the PL 480 program (blocked funds)
 - b.. automation and MARC
 - c.. the Madison Building
 - 5 benefitted from the reaction to SPUTNIK
 - 6 had Betty Hamer and John Lorenz as his #2s
 - 7 retired in 1974

I. BOORSTIN 1977-86
 MBS CONGRESS AUTOMATION PRESERVATION DEZ

J. BILLINGTON 1987-
 DIGITIZATION AMERICAN LARGE MEMORY
 40 MILL. ITEMS GOING ON SPACE - LANDOVER

E. The Library of Congress Manuscript Division

1. Beginnings

a. Established 1897

b. Library had assembled some collections earlier

1. Toner Collection of George Washington materials (1888)
2. Peter Force transcripts (1867)

c. Significance of President Roosevelt's Executive Order of March 9, 1903 *see attached*

1. transfer of the "revolutionary archives" - PCC
2. transfer of the founding fathers' papers -
Washington, Hamilton, Madison, Monroe, Franklin

d. Development of collecting policies

1. Civil War & Confederacy

a. George E. McClellan (1911)

b. Edward M. Stanton, Edgar Wells, the Pickett Papers (Confederate Archives) - all 1911

2. Early 20th Century political papers

a. World War I accounts (1919-)

b. Woodrow Wilson, Col. House (1940)

c. Naval Historical Collection (1912-)

3. Latin American collections

a. Harkness Collection (1929)

b. Hans Kraus Collection (1970)

4. Ethnic materials

a. Amerindians

1. Zuni Pueblo Records (1905)

2. Indian agent Col. George Morgan (1911)

3. Henry L. Dawes (1931)

b. Flacks

1. Carter Woodson (1929)
2. Booker T. Washington (1943)
3. NAACP (1965)
4. National Urban League (1967)

5. Womens papers

- a. National Women's Party (1922)
- b. Jane Addams, Susan E. Anthony, Clara Barton (1940)-

6. Science and Technology

- a. Samuel F. E. Morse (1916)
- b. Lewis L. Gibbs (1917)
- c. Henry Schoolcraft (1942)
- d. Joseph Nicollet (1954)
- e. Lee De Forest (1956)
- f. Irving Langmuir (1959)
- g. Oswald Veblen (1964)
- h. J. Robert Oppenheimer (1968)

7. Literature

- a. Walt Whitman (1917)
- b. Under John Froderick in the 1960's
John Updike, William Styron, James M. Cain,
Joseph and Stewart Alsop, Theodore Roethke
(journalists) A. E. Housman, Hume Cronyn
and Jessica Tandy, Groucho Marx, Earry
Faulkner, Clifford Ferryman (both artists)

F. Presidential Libraries

1. F.D.R. sets the precedent in 1938
2. Truman, Eisenhower, Hoover, Kennedy, Johnson, Ford, Carter
 - a. administration - through NARS
 - b. acquisition policies
 - c. criticisms
 - d. advantages to scholarship
3. The Watergate impact
 1. the Presidential Materials Act, PL93-526 (Nelson-Frademas)
 2. the report of the Public Documents Commission (title II)
 3. present status of the papers of the Presidents

Today —

LECTURE VIII

-2-

THE FEDERAL LIBRARIES THE OTHER LIBRARIES

A. National Library of Medicine

1. Early History

- a. Began with a \$150. appropriation for books for the Army Surgeon General's office in 1836
- b. By 1840 the Army Surgeon General's Office contained some 200 volumes, mostly medical
- c. The Surgeon General and the library moved around D.C. often, even being located in Blair House for a while. At the end of the Civil War it was in a small house next to Riggs Bank, with 2,000 volumes

2. John Shaw Billings, Army Surgeon General, 1865-1895

- a. A graduate of the Medical College of Ohio, served in the Civil War
- b. In 1864 was assigned to the A.S.G. office in Washington
 - X1. took charge of the library
 2. in 1867 was given full time direction of it
- c. ^{Billings} ~~Shaw~~ developed acquisitions for the library and asked the State Department to have consular officers identify and send books.
- d. he asked schools to send medical dissertations and physicians books from their private collections
- e. As a result, the 1873-74 catalog lists 50,000 titles, making it the largest medical library in the country at that time - twice the size of the library of the Philadelphia College of Physicians.
- f. In 1880 Billings began issuing the Index Catalogue of the Library of the Surgeon Generals Office, based on the 1876 Catlog of the National Medical Library - note the word National!
- g. In 1879 Billings had begun a monthly classified index of medical articles - the Index Medicus
- h. In 1867, when he assumed control of it, the Library was located in Ford's Theater, along with the Army Medical Museum and Records and Pension Division.
- i. In 1887 Billings asked for and got a new building on the Mall at 7th St. and Independence Avenue, N.W. (where the Hirshorn now is). It contained 48,000 square ft, clerestory windows, no artificial light except gas in the offices
- j. Under Billings' direction, Dr. Robert Fletcher edited the Index Medicus and Index Catalog from 1876 to Billings' departure in 1895 and beyond to 1912 - 36 years!
- k. As if this were not enough of a career, Billings left the Army Surgeon General's office in 1895 to become director of the newly forming NYPL. On his departure the ASG Library had 100,000 volumes + and some 5,000 readers annually.

3. Changes

a. the World War I and later Depression years were not good for the Library.

1. the building began to deteriorate and became an eyesore in its location on the Mall
2. Peacetime, and then Depression budgets reduced the book and serials acquisitions. A budget cut of 25% at one time meant that in one two year period only 16 books were bought

b. Col. Harold W. Jones was appointed in 1936 as Library Director

1. established a microfilming service
2. began the weekly Current List of Medical Literature.
3. Established a History of Medicine Division in Cleveland in World War II
4. He asked for an ALA survey and evaluation of the holdings
5. The ALA report, published in 1944 and titled The National Medical Library recommended:
 - a. a complete re-cataloging
 - b. establishment of a shelf-list and spine labeling
 - c. a new building
6. The thrust for a new building was reinforced by the decision (Fine Arts Commission?) that the building did not fit into the Mall master plan
7. The closing year of World War II delayed any action

4. Implications of the establishment of the Department of Defense, 1947

- a. one study committee recommended that the library remain under DoD as an all-service library, or National Medical Library
- b. Other recommendations were to give it to the Public Health Service
- c. In 1952 the Secretary of Defense designated it as the Armed Forces Medical Library, a joint agency of the Army, Navy and Air Force.
- d. in 1955 the second Hoover Commission on Organization of the Executive Branch of Government recommended that it become the National Library of Medicine, and be semi-autonomous under the Smithsonian Institution
- e. However, a bill passed both houses in 1956 creating the National Library of Medicine within the Public Health Service. Esienhower signed it in August and it became effective on October 1, 1956.

5. A Final Home

- a. total holdings 1 million items in 1958
- b. plans began for a new building on an old golf course next to the National Institutes of Health reservation, and ground was broken in 1959
- c. In 1960 early automation was begun on The Current List
- d. In 1961 the building was dedicated
- e. 1961 also saw the early work begin on MEDLARS, and the MEDLARS computer moved in within a year of the staff move to the new building in 1962

B. The National Agricultural Library

1. Beginnings

- a. George Washington wanted to see an agency or "board" created devoted to agricultural affairs
- b. It took until 1862, however, before the Department of Agriculture act was signed by Lincoln
- c. the act also established, in legislation, the Department of Agriculture Library
- d. the Library began developing a classification scheme in 1889

2. William A. Cutter as Librarian (~~NOT CHARLES~~)

- a. introduced a dictionary catalog by 1894
- b. that year the Library held 38,000 books, 20,000 of which were not centralized, but in divisional libraries throughout the Department
- c. in 1895 Cutter was given authority to centralized all of the Division Libraries books in Washington
- d. by 1900 the Library prepared and distributed printed cards on its holdings and provided interlibrary loan services
- e. important subject areas, as might be expected, included chemistry, botany, economics and microbiology

3. Claribel Barnett as Librarian 1907-1940

- a. by the 1930's the library had grown to 250,000 volumes
- b. it moved to the building known as Ag South at 14th and Independence Ave, next to Bureau of Engraving
- c. in 1935 it began a microfilm loan program

4. Ralph Shaw Librarian, 1940-

- a. Successfully consolidated a number of bureau libraries during World War II
- b. In 1962 Secty of Ag. Orville Freeman officially designated the Department of Agriculture Library as the National Agricultural Library (but Congress didn't do it!)

5. (the recent past

- a. Cornerstone for building at Beltsville laid in 1967
- b. opened in 1969 and housed 1.5 million volumes
- c. in 1970 received authority to accept gifts and donations
- d. Associates of the NAL formed in 1971
- e. Joe Howard, of L.C. Processing Department appointed in ~~1957~~ 1983
- f. by 1988 the NAL contained 1.9 million volumes
- g. moving fast in the application of modern technology

C. Other Federal Libraries

1. Almost all agencies have them, some quite specialized

- a. Smithsonian complex
- b. Interior Department
 1. parks
 2. Indians
 3. mines
- c. NASA, FAA for aviation, aeronautics and space
- d. Labor Department
- e. Justice, FBI, Treasury
- f. State Department
- g. Army, Navy, Air Force, Marines, etc., etc., etc.

LECTURE IX

STATE AND PUBLIC LIBRARY SYSTEMS

I. STATE LIBRARIES

A. Overview

1. States provide for library services at a number of levels:
 - a. The State Library
 - b. administration of Federal funds for libraries
 - c. support of county and municipal systems (partial)
 - d. some support for school libraries
2. One major library program in each state is at the state-run or supported higher education system level - the State University library system, where there are multiple campuses
3. Each state is different. No state has one single agency coordinating all of these activity levels
4. Maryland, for instance, established a library collection for the "Governor and Council" in 1803 by legislative act, although the State Library did not come into being until 1827, primarily as a law collection. Now, the Enoch Pratt Free Library acts as the State Library
5. Responsibility for state-wide library development occurred in New York, Indiana, Illinois and Ohio. A separate mechanism for state-wide library development was setup in Massachusetts and Minnesota ?
6. The Maine law of 1954 is fairly typical of recent legislation [read Main law, p. 8 from Library Functions of the States]

there shall be procured and kept in the library digests, law reports and public laws of the United States and of the several states; English and Canadian law reports, digests and laws; general works of law and practice; histories of all countries, including those of this state, its counties and towns; family histories; works on the arts and sciences with special reference to agriculture, forestry, fishing, manufacturers, shipbuilding and roadmaking; maps, charts, plans and manuscripts, statistical and other publications relating to the financial, social, religious and educational condition of the world and more especially of this state, as fast as the means are furnished by the state therefore; full and complete sets of the reports of the towns, cities and counties of this state. For the purpose of carrying out the provisions of this section the library may conduct a system of exchanges with other libraries and institutions of learning.³

7. The National Association of State Libraries stated that the components of a state library should be:
 - a. general library services
 - b. archives *VA, IL, AZ, KY, CT, NV, NS, OR, TN, TX (9)
 - c. extension
 - d. government publication
 - e. law
 - f. legislative reference
 - g. state history
 - h. special library services

B. Categories and characteristics of State Libraries

1. the premiere State Library in the classic tradition is New York
 - a. its directors have been big in the library world - i.e. Melville Dewey
 - b. ironically, it was the last state to establish an archives
2. California probably ranks second in size and quality
3. Other major state libraries are in the mid Atlantic states, the Old Northwest, and the Pacific Coast
4. Except for New York they are not very large
 - a. holdings between 250,000 and 1 million volumes
 - b. serial titles only in the hundreds
 - c. staffs run between 22[DeI] and 225 [Tex] FTE NY=260
 - d. circulation statistics are low
5. State libraries rarely rival the major municipal or university libraries in their state
6. They tend to become legal or legislative libraries, eschewing popular literature, entertainment, etc. Good published documents collections at federal and state levels
7. Extensive newspaper collections (from around the state) are customary

C. State Leadership

1. The state library has a broad constituency
2. It has the prospect of getting State resources
3. It can be the distributor of Federal and State funds
4. It can marshal the staff and communication resources for providing leadership
5. It can develop and spearhead state plans
6. It can assemble other library representatives from the community
7. Staff can lead or prod the State professional library groups
8. they publish newsletters and journals
9. they distribute recent acquisition lists and topical bibliogs.

D. Users

1. Officials of government, executive, legislative and judicial
2. Residential users in government or in the capital area
3. Open to all comers

4. interlibrary loan throughout the state
 - a. print and non-print materials
 - b. often technical or esoteric material
5. often acts as an information switchboard, connecting the user with the appropriate information source in the State

X E. Some Examples - New York and California

1. New York

- a. most comprehensive of the State Libraries
- b. part of the University of the State of New York and acts for the Board of Regents - a powerful cultural direct-orate
 1. only the Regents can charter free libraries
 2. all free libraries must be chartered - tax supported or not
 3. only certified librarians can be employed in free libraries on public funds
- c. services:
 1. to any member of State government, licensed professionals, Albany and vicinity residents
 2. to any organized library - in state or out
 3. to blind and handicapped
- d. scope: [1984 FIGURES]
 1. 4.5 million items, including manuscripts & archives
 2. annual budget (1984) 57.8 mil, of which 8mil is Fed.
 3. medical library
 4. manuscripts and history collection with 2 million+ items
 5. 50,000+ books on genealogy and local history
 6. Development Division has 2 subdivisions and 19 staff
 - a. made 43 million in grants in aid in 1984
 - b. charters new libraries
 - c. certifies librarians
 - d. provides service to the blind, but largely materials supplied by L.C.
 7. 260 authorized positions, of which 92 are professionals

e. regional systems

1. 31 library systems in the state
2. fully funded by the state
3. minimum of 100,000 volumes in each system
4. the instruments of the system are existing libraries supported in part from state aid for their participation

2. California

- a. second only to New York in size and organization
- b. A Division of the State Department of Education
 1. State Librarian appointed by governor, not regents
 2. life appointment, not political term
 3. Dept. of Education does not review or control budget
 4. Dept. of Education handles finance and personnel functions
- c. Collections that have dedicated staff (branch status)
 1. law
 2. administrative and legislative and state agency reference
 3. Special Collections - [most important (?) collection in California]
 4. newspaper collection
 5. State Library Services Bureau
 6. Government Publications, Federal and State
 7. Braille and Talking Book Library
 8. has circulation to individuals and institutions
 9. maintains a union catalog of other California libraries
- d. Scope:
 1. 500,000 books and publications
 2. 1.5 million government publications
 3. 100,000 volumes in the historical collection - Sutra Library
 4. 1984 budget \$26 mil, of which \$7.2 mil from Fed Govt
 5. staff in 1984 180.5 authorized
- e. policy
 1. to collect social science and science of most use to the State government
 2. collects foreign language material within its acquisition area and in fiction
 3. drama, poetry, literary criticism exhaustively
 4. no children's books
 5. no traveling library service
- f. outreach
 1. staff professionally active
 2. cooperative training programs
 3. services to members of legislature in their home districts

F. Further Examples: Maine, New Hampshire, Oklahoma

1. They are the most comprehensive of the smaller, less wealthy state libraries
2. Scope
 - a. Maine and New Hampshire have collections of 300,000+ volumes
 - b. Oklahoma has ca 250,000
 - c. Maine and New Hampshire budgets about the same, \$2.5 & 1.7 mil
 - d. Oklahoma budget 100% higher (5.5 mil) - all figs 1984
 - e. all have:
 1. law collections
 2. legislative reference and research
 3. general circulation and reference
 4. statewide library extension and development responsibilities
 - f. Maine and New Hampshire have historical collections
 - g. Oklahoma and New Hampshire have the State Archives
3. Services
 - a. Maine has a state-wide bookmobile
 - b. New Hampshire has regional centers for funneling support to library underdeveloped areas
 - c. facing a lack of library services locally, they are all promoting a program of library development
 - d. all provide excellent services to state government at modest cost - a good formula for assuring government support
 - e. they can fill in for, but not replace the need for local - county and municipal - libraries to provide specialized services
 - f. for good, political reasons, all three have concentrated on service to the state governments
4. Structure and Size
 - c. in 1984 New Hampshire had a staff of 53. 19 library professional
 - d. Maine had 58 FTE with 20 professionals
 - e. Oklahoma had 80 FTE with 31 professional librarians

G. Conclusions

1. State libraries are expected to perform similar functions:
 - a. service the legislature, executive and often the judiciary
 - b. coordinate or expand services to the state outside of the capital
 - c. work closely with the professional library community within the state to provide services to the public
 - d. provide professional library leadership
 - e. interact between the Federal and local institutions in grant or grants-in-aid programs
2. State libraries fall under different jurisdictions:
 - a. Independent Agency (OK and 19 others)
 - b. State Department of Education (NY, CA and 14 others)
 - c. Secretary of State (4)
 - d. Department of Libraries, Archives and History or similar KS, NM, NC, SD, NH
 - e. Legislative Branch, AZ, MI
3. They are yet another layer in the multiplicity of library services available to the government and the public.

Read the Harris article before the following:

B. ANDREW CARNEGIE AND PUBLIC LIBRARY CONSTRUCTION

1. Development of the School District Library in 19th Century
 - a. predecessor (after the social library) was the school district library
 - b. in 1835 New York passed a law permitting tax-supported, free library service in each school district
 - c. these school district libraries were to be used by the general public
 - d. ineffective because the districts were too small, and it was inefficient to have many small libraries with minor book collections and services
2. Development of the Public Library
 - a. Massachusetts authorized Boston to begin a tax-supported municipal library in 1848, followed by extension in 1851 to all cities and towns in the state.
 - b. Other New England states soon followed suit:
 1. New Hampshire 1849
 2. Maine 1854
 3. Vermont 1865
 - c. Then other states - Ohio 1867, Colorado 1872, etc, up to the District of Columbia in 1896, following 29 (out of 45) states.
 - d. By 1896 these 29 states and the District had established 971 public libraries containing 1000 volumes or more, and hundreds of others with smaller collections

3. The National Setting
 - a. Industrial age, growth of cities
 - b. spread of free public education, lyceums, etc.
 - c. advance of science and technology and labor specialization
 - d. rise of American literature, expansion of book publishing
 - e. increased prosperity, shorter working hours, more leisure
 - f. growth of industrial wealth in the hands of a few

4. The Rise of Philanthropy
 - a. the new rich often had philanthropic attitudes
 - b. between 1880 and 1900 gifts for library purposes amounted to some \$36 million. Major gifts came from:
 1. Walter L. Newberry in 1887
 2. John Crerar, 1889, both in Chicago
 3. Enoch Pratt, Baltimore 1882
 4. Astor, Lenox and Tilden collections joined in 1895
 - c. All of this going on while the Rockefellers et al were funding the major new Universities: Chicago, Hopkins, Cornell, Syracuse, etc.

5. Enter Andrew Carnegie
 - a. Born Scotland, 1835, d. 1919 at 84
 - b. Humble beginnings, came to U.S. with family in 1846
 - c. was a telegrapher (Edison, Sarnoff, Burke), worked for Pennsylvania RR, bought into Woodruff Sleeping Car Co., invested in oil, helped form the Keystone Bridge Co., developed small iron-forging company into Carnegie Steel, sold it to J. P. Morgan for \$500 million in 1901 and "retired" to administer his philanthropies
 - d. Was sort of a Scottish stoic, felt that surplus money above one's needs was to go to promote the welfare and happiness of the common man
 - e. One of his ways of doing this was to underwrite establishment of libraries

6. The Carnegie Library Gifts
 - a. In the U.S. alone he gave \$40 million (in 1910 dollars!)
 - b. these funds led to erection of 1679 public library buildings
 - c. 1412 communities received the grants
 - d. had to be matching funds, for books and perpetual upkeep
 - e. the library funds were only part of his \$330 million in gifts for philanthropic, cultural or educational purposes (provided gifts for more than 7,000 church organs, for instance)
 - f. after 1911 continuing gifts came from the Carnegie Corporation, of which he was one of the only three directors
 - g. as administered by his secretary, James Bertram, the process became somewhat arbitrary and was not universally applauded
 - h. 44 of the Carnegie Libraries were built in Baltimore. Where are they today?

LECTURE XI
THE NATIONAL ARCHIVES

PART 1

I. Historical Background

A. Dramatic Negative Conditions

1. In 1774 the First Continental Congress took steps to preserve records of its deliberations by electing Charles Thompson as Secretary at its first meeting.
2. Papers of the Continental and Confederation Congresses resulted in some 60,000 items in 490 bound volumes, 1774-89
- 3. Permanent removal of seat of government from Philadelphia to Washington
- < 4. Fire destroys War Department Building in 1800. All books and papers lost except one volume recording lands sold to the U.S.
- < 5. In 1810 the House appointed a committee to inquire into the condition of public records and archives. Congress appropriates funds for construction of fireproof rooms
- 6. In Aug. 1814 British troops burned Washington. Quick work by government officials save almost all government records, including the PCC, Declaration and Constitution, while Battle of Bladensburg.
- 7. 1833 fire destroys Treasury Department building
- 8. 1836 fire destroys building occupied by General Post Office, City Post Office, and Patent Office. City mail destroyed. All models and drawings of Patent Office destroyed.
- 9. In 1843 fire destroyed the Navy Department records, and the building in which they were housed were almost destroyed.
- 10. Forty-one years after the first disasterous fire to the Pension PATENTS Records another one (1877) destroys 60,000 models of inventions destroyed and General Land Office Records damaged by water
11. In 1878 President Hayes recommends to Congress a plan for a fireproof Hall of Records. No action.

B. Enter A.H.A and Jameson

1. Jameson, the American Historical Assn and the Carnegie Institution all joined forces to get an archives.
2. The question was not only fires and destruction, but access [read Friederick Kapp preface to Von Steuben biography]
3. AHA adopts resolution in 1910:
Congress should "take such steps as may be necessary to erect in the city of Washington a national archive depository, where the records of the Government may be concentrated, properly cared for, and preserved."
4. Biggest booster was the Treasury, which had suffered most
5. Even with 250 fires in government buildings between 1873 and 1915. 42 archives bills introduced in Congress by 1912, and the support of the Presidents and nearly every cabinet member, Congress failed to act
6. In 1921 fire destroyed the 1890 Census records and in 1925 Pres Coolidge urges Congress to act on construction of Federal buildings whose construction had been delayed by the distractions of WW I.

C. Establishment and Early Years of National Archives

1. Archives building was made part of Federal Triangle plan and cost 12 million +
2. Was to be an Archives, not a hall of records (explain)
3. Initially to store and service records of agencies in Washington
4. An independent agency, with Archivist appointed by the President
5. First Archivist R.D.W. Connor, historian from North Carolina (1934-41)
6. Was launched in the Depression
7. Connor's tenure largely involved in identifying and gathering records into the building and deciding what archivists were and what they should be doing. (1934-41)
8. In 1940 he received the first Presidential Library from FDR (more later)

D. Solon J. Buck and the War (1941-48)

1. Buck took over in 1941, just before war broke out. His inaugural party was held in the Mayflower Hotel on Dec. 7
2. much retrenchment and reorganization, partly because Buck liked to reorganize, and partly because as a young agency it had to try out different combinations of structure.
3. records holdings grew from 302,000+ cu ft in 1941 to 672,000 in 1945 (Rm 005 holds 1500 cu ft, allowing for aisles, etc. thus it would take 450 rooms that size to contain 672,000)
4. Buck was authoritarian, did not get along well with Congress, and tried to add more management when the stack rats thought the Archives needed more operational help
5. In order to help wartime agencies handle their records problems, Buck began detailing staff members as records officers to other agencies, foreshadowing records management
6. Buck, with FDR's urging, and Rockefeller money, began a microfilming program
7. Buck left in 1948, on not too happy a note, to become chief of the Manuscript Division at L.C.

E. Wayne Grover, 1948-1965

1. His term was marked by a number of happy and unhappy events
 - a. the development or records management
 - b. the growth of Federal Records Centers and nationalization in 1950 under Navy men Angel and Alldredge
 - c. the beginning of Presidential Libraries
 - d. the loss of independence and becoming part of GSA, 1949
 - e. the receipt of the Charters of Freedom and the PCC in 1952 from Luther Evans
 - f. had Robert Bahmer as his Deputy for 17 years
 - g. bridled under GSA, and ultimately retired to fight for independence
2. By time of his retirement, Grover had structured the Archives to consist of 5 offices: N, NN, NA, NM, NR(Records Centers), NF.

F. Robert Bahmer, 1965-1968

1. Knew he would retire in 2 1/2 years
2. Selected young James B. Rhoads (37) as Deputy
3. Found a hostile Congress, profession and staff
4. Decided to placate all of them
 - a. Archives was out of touch with its constituencies
 - b. it had no clout on the hill
 - c. it was largely unknown to the public
 - d. its methods were outmoded
5. remedies for all of these:
 - a. to stir communication with the professional organizations he created the Archives Advisory Council
 - b. to communicate the Archives mission to the public he began Prologue
 - c. to communicate with scholars he began the conference series
 - d. to bring it into the modern world he brought on an information retrieval specialist and urged hiring of a machine-readable records specialist
 - e. to assure a crop of future administrators he began the Archives post-appointment training programs

G. James B. (Bert) Rhoads 1968-1979

1. youngest Archivist at 39
2. had been a staff member since 1952 - 16 years
3. faced a whole series of crises
 - a. the Lowenheim affair at the FDR library
 - b. need to create field archives because of space needs
 - c. unfortunate GSA appointments of R.L. Kunzig and Art Sampson, Adm. Freeman
 - d. difficulties with Exec. Dir of NHPC
 - e. budget cuts and retrenchment in an era of prosperity due to GSA attitude
 - f. disastrous St. Louis fire, July 1973
 - g. lukewarm support for new technology
 - h. revolt among the troops (Greenhut, Della Donne, Dan Bahmer) Federal Times and the Hill
4. positive activities
 - a. continued the Bahmer initiatives
 - b. advanced archival outreach with NE
 - c. established field branch archives (1969), but did not free them from Records Centers
 - d. created and staffed an Office of Presidential Libraries
 - e. oversaw creation and growth of NHPRC and supported the new Records Program, the Directory, etc.
 - e. oversaw establishment of Kennedy ('62) and Johnson ('69) Libraries
5. retired early (1979) at age 50 with an early-out

N. H

(4)

- I. Robert M. Warner 1980-85 Ph.D. History
 1. first archivist since Connor not coming from inside
 2. Bentley Library, SAA President, non-political
 3. faced all of Rhoads' crises except for a few that had been taken care of by acting Archivist O'Neill (such as Freeman's decentralization plan)
 4. soon faced realization that Archives must get out of GSA
 5. assembled small group around him to fight the Administrator and rallied the professions and NHPRC people for support
 6. in effect, Warner took the tools created by Bahmer and Rhoads and used them to fight for independence (but that is another story)
 7. freed the Field Branches from Records Centers
 8. pushed development of preservation, automation, created research and development staff, supported ODISS, MARC applications, Charters monitoring system, etc.
 9. assuaged Congress, made friends, got independence effective April 1, 1985 and ten days later resigned

NARA

- J. Frank G. Burke 1985-88 Ph.D. History
 1. Had been brought into the Acting Archivist position by Warner and stepped in as Acting Deputy on April 4, and Acting Archivist on April 10.
 2. Burke had held various positions in the Archives for 27 years, most prominently as Executive Director of the NHPRC from 1974 - 11 years
 3. Took over as caretaker of a newly independent agency, charged with separating the Archives from the procedures imposed by GSA over 35 years
 4. Remained on the job for 33 months (longer than Bahmer's term) while the Senate and White House battled it out
 5. Redesignated the forms, re-wrote the procedures manual, re-defined the relationship with the Congress and OMB
 - Three initiatives:
 - a. strengthened the role of the regional branches
 - b. opened first portion of the Nixon papers
 - c. requested from Congress more support for declassification
 - and began talking to Congress about a second building

- K, Don W. Wilson 1988-1993 Ph.D. History
 1. Came from the National Archives and Wisconsin State Historical Soc.
 2. Did not make sweeping changes - in fact, pretty much accepted the status quo in leadership positions
 3. Concentrated his attention on the field operations
 - Branches and Presidential Libraries - travelled a lot
 4. Because of difficulties over the White House tapes of the Bush Administration, and his acceptance of position as director of the George Bush Center for Political Studies at Texas A&M (and the fact that he was perceived of as a holdover Republican in a new Democratic administration), he resigned in April 1993, after 4 1/2 years in office.

II. The Archives as Professional Leader

A. Processes

1. record group concept
2. preservation microfilming
3. archival automation
 - a. SPINDEX
 - b. life-cycle tracking
 - c. work on MARC (Sahli, Weber, Weir/Hedlin)
 - d. ODISS
 - e. OPTIRAM
 - F. DIAG
 - g. machine-readable records control
 - h. Charters Monitoring System

B. Services

1. ARIC
2. Institute
3. Editing Institute
4. Various training in genealogy, records management, Going to the Source, etc

C. People

1. Archives staff write and publish regularly
2. they are active internationally
3. they hold many offices in SAA, AASLH, MARAC, MAC (field ops), etc
4. supported SAA for years with American Archivist, all but one U.S. Archivist has been President of the SAA
5. it figures - since NARA pays best, it attracts the best of the profession and develops others

LECTURE XI

Part 2

THE NATIONAL ARCHIVES (cont'd)

- I. The Field Archives
 - A. Establishment
 1. developed out of crowding in National Archives
 2. records were held in the Federal Records Centers, the "purgatories" of the Archival
 3. most records were yet unscheduled
 4. decision was to establish an archival branch within 11 of the Centers
 - a. environmental controls
 - b. operated by archivists
 - c. containing searchrooms, library support, etc
 - d. began small
 - B. The Maturing of the Field Archives
 1. attraction was greater than expected
 - a. regional, state and local historians
 - b. genealogists
 2. process of distributing microfilm began
 3. concept of local conferences initiated from Washington
 4. branches began taking on lives of their own
 5. archivists sometimes balked at reporting to Center Directors
 - a. problem of split supervision
 - b. problem of program priorities
 6. growing concept of the National Archives as a National institution, unlike LC or SI, with Branches and Pres Libs [wear YOIU DON'T HAVE TO GO TO WASHINGTON button!]
 - C. Change under Warner & Burke
 1. As one of his final acts after attaining independence and resigning, Warner freed the Field Branches from Records Centers
 2. Burke setup a Field Archives Branch within Office of the National Archives, and created a small staff in Washington to oversee the Branch
 3. Burke also got the branches active in regional archival matters especially relating to NHPRC
 - D. Wilson taking it even further

THE STATE ARCHIVAL SYSTEM TO 1960

I. The Condition of Archives, 1774-1865

A. Jared Sparks

1. traveled in 1826 from New Hampshire to Georgia
2. found that few state archives had survived
3. turned to foreign archives for research of colonial period

B. Exceptions

1. North Carolina in 1817 had approved a "fire proof house" for the preservation of public records of the state.
(the S. Car. Archives is still in a building officially designated as the "Fireproof Building")
2. New York Secty of State transferred some records to the State Library in 1847 (~~burned in 1904~~)
3. Massachusetts built archives vaults in the State House in 1820s
4. New Hampshire governor in 1836 authorized recovery of alienated records, and to arrange and bind state records

II. End of the Century Changes

A. Centennial of the Declaration of Independence raised some consciousness about historical records keeping

B. New England towns began to compile community histories

C. In 1886 Connecticut Secty of State and State Librarian were directed to make a survey of court records of a historical nature in the state

1. ~~In 1889~~ Conn. formed a Commission on Public Records in 1899 [AHA inspired?] to survey condition of public records at the state court, county, town, society or parish and make recommendations on their preservation
2. in 1911 established permanent office of Examiner of Public Records

D. In Massachusetts a report of (1889) on the condition of public records at all levels led to creation in the same year of the office of the Commissioner of Public Records

1. an 1897 act defined public records
2. gave responsibility to local custodians to provide fire-proof storage, facilities for repair and binding of neglected records, and even the use of standard ink and paper
3. no records could be destroyed without approval of the Commissioner of Public Records

E. New York's appointment of a State historian in 1895 led to

1. establishment of a Division of Public Records [AHA again?]
2. appointment of a Supervisor of Public Records
3. a law in 1913 that specified requirements to be met by local custodians

F. Southern Initiatives

1. Alabama

- a. Thomas M. Owen, Sr., Alabama lawyer, interested in history
- b. organized the Southern Historical Society
- c. Secretary of the Alabama Historical Society
- d. Got General Assembly to create Ala. Hist. Commission in 1898
- e. herded legislation through to create Ala. Dept of Archives and History in 1901
- f. Included official archives, historical materials, publication of official records, diffusion of historical knowledge and encouragement of historical work and research.

*Southern Pattern
Bridges*

2. Mississippi

- a. Former student of Herbert B. Adams Franklin L. Riley notes Owens' success in Alabama
- b. Chairman of Mississippi Historical Commission
- c. got legislature to establish Department of Archives and History in 1902
- d. Dunbar Rowland appointed director, and serves till 1937 - *man E. Holliman*
- e. publishes first state archival guide in 1914 - Official Guide to the Historical Materials in the Mississippi Department of Archives and History

3. Others

- a. Alabama and Mississippi followed by Arkansas, North Carolina, South Carolina, West Virginia, Georgia
- b. the latter 4 (NC, SC, WV, GA) established Departments of Archives and History
- c. Virginia established a state archives within the State Library
- d. Delaware established Public Archives Commission as early as 1903, spurred on by the AHA

G. Middle West Patterns

1. Middle western states tended to develop state supported historical societies instead of the Departments of Archives and History that were popular in the South

- a. In 1905 Kansas and Nebraska established state historical societies to hold the official records of the states
- b. Nebraska's act extended the authority of the Historical Society to the records of the counties and municipalities *important*
- c. Wisconsin (1907) and Minnesota (1919) gave the already existing Historical Societies the authority to maintain the official records of the states.

d. the State Historical Society pattern was followed in the 3 decades between 1917 and 1947 by OK, UT, NM, OH, CO, NV, ID

2. Some states did not formally establish archives in historical societies, but setup an informal arrangement whereby the societies hold the state records. Such was the case in KY, MD, MO, MT, ND and SD [all have since established formal programs]

3. Iowa created a State Library and Historical Department, authorized to take charge of state records ten years after their creation. *Tennessee State Library and Archives*

4. In Illinois the archives department was made a part of the State Library

H. All of this that happened before 1934 did so without the leadership of a national archival institution. *The AHA assumed that role.*

I. At the time of the founding of the National Archives a project began that boosted archival analysis in the states and, to some extent, advanced the professionalism of archivists

u

The Historical Records Survey

1. came about as an outgrowth of the ongoing efforts of the newly established state archival repositories to survey what records they had, combined with a Federal program to give jobs to the unemployed, even white-collar, clerical or academic unemployed
2. all of the existing forces consolidated behind Luther Evans of Texas, who proposed the Historical Records Survey to Harry Hopkins, director of the Federal Emergency Relief Administration
3. Evans' first proposal was for a survey of Federal records in the states, to be directed by the newly established National Archives. it was conducted by Philip M. Hamer and became the Survey of Federal Archives
4. his second proposal, in order to obtain a position (he proposed heading it) was for a survey of all state and local records, submitted in July 1935
 - a. got advice from Robert C. Binkley of Western Reserve, Schellenberg of the National Archives, and others - *Archives one yr old*
 - b. based its importance on the AHA's Public Archives Commission Report of 1900 about the importance of state and local records, and the little that was known about them
5. at a cost of \$1.2 million annually, some 3,000 clerical workers were employed between 1936 and 39 (*Evans had asked for 15 million annually*)
6. the survey covered 3,066 counties
7. it branched out to survey holdings of personal papers, Early American Imprints, portraits in public and semi-public depositories, and records of 235,000 churches
8. as the depression receded surveyors drifted off to permanent jobs, and Luther Evans left in 1939 to work at the Library of Congress as head of the Legislative Research Service, and later as Librarian.
9. in August 1939 WPA federal projects were legislated out of existence and what survey work continued did so under the authority of the individual states

10. Accomplishments

- a. 628 volumes of county archival inventories
- b. 584 volumes of federal archives inventories
- c. 28 volumes of state archives inventories
- d. 180 volumes of municipal and town archives
- e. 107 guides to manuscript collections
- f. 164 volumes of church archives
- g. 49 volumes of American imprints
- h. the checklist of publications alone consumed 85 pages.

Directory of 100 Archives & Manuscript Repositories

11. The survey developed a whole generation of archival leaders, from Schellenberg and Hamer to Lester Cappon, Milo Quaife, Christopher Crittenden and others

K. Impact of the Posner Study

1. under the auspices of the SAA, and supported by the Council on Library Resources, Ernst Posner undertook a survey of state archival institutions in 1962-63 (*not their holdings*)

2. goals were: [paraphrased]

- a. determine the state of archival arrangements in each of the states, territories and possessions
- b. to measure the attainments of these units against some standard
- c. to report on weaknesses in the states in an effort to arouse responsible officials and others to take action
- d. to contribute to the establishment of national archival standards

3. the work pulled no punches

4. it marshalled local pride and led many states to take action to improve their archival status

LECTURE XII
RECORDED
SPECIAL LIBRARIES
AND ARCHIVES

I. THE PRESIDENTIAL LIBRARIES

A. Establishment

1. FDR in middle of second term - 1938
2. tradition of presidential papers
 - a. The 2 Adams, Hayes and Harding elsewhere
 - b. 28 Presidents at the Library of Congress, but incomplete
 - c. felt there should be a Presidential study center for:
 1. official presidential papers
 2. personal and family papers
 3. papers of colleagues and associates
 4. gifts and collectables
 5. publications about the presidency and especially his presidency
3. offered land if a building could be funded
4. if a building funded, would deed his papers to the Federal Government, to be administered by the Archivist of the United States, whom he had appointed
5. resulted in the library at Hyde Park

B. Follow through

1. Truman at Independence (1959)
2. Eisenhower at Abilene (1962)
3. Hoover at West Branch (1962)
4. Kennedy at Boston 1963, moved to Waltham 1969 - Columbia Point
5. Johnson at Austin 1971
6. Nixon (1990) ~~????????????~~ *YERBA LINDA*
7. Ford at Ann Arbor and Grand Rapids (1981)
8. Carter at Atlanta (1986?)
9. Reagan in California (1991) *SIMI VALLEY* *Bush in College Station* *Clinton in Little Rock*

C. Problems

1. Mausoleums or Pyramids to dead Presidents?
2. How far can we go? How many in a century? (24 in 19th cent.)

3. geographic spread

ALBANY 1970

II. Other ~~Special~~ Libraries

(vide ALA Encyclopedia, 19
Z1006.A125 foll)

A. Academic Libraries

1. Purposes, goals and Objectives

- a. to design collections and services to meet instruction program at the institution
 1. broader if multi-disciplined institution; law, medicine, engineering, humanities, etc.
 2. lesser if specialized institution - just medicine or law, theology, etc.

ASOS
Preserved Libraries
Archives

- b. there are 2800 institutions of higher learning in U.S.
 1. 200 grant doctorates
 2. but collections reflect the needs at the graduate and undergraduate level (use UM as example)
 3. all such institutions share some specialized resources with other academic institutions
 4. although the trend is towards centralization for budgetary reasons, an opposite trend exists because of the computer and centralized electronic catalogs most multi-disciplined universities have separate library facilities for each discipline - undergrad as one, then law, medicine, physics, engineering, etc.
- c. different from research libraries, which fashion themselves as preservers of the past for the future
 1. research libraries part only reluctantly with collected material
 2. non-research academic libraries regularly weed out the old to permit expansion of the new
2. History of Academic Libraries
 - a. began with Harvard, 1636, which now has 10 mil. + vols.
 - b. 80% of pre-Civil War colleges did not survive into the 20th century
 - c. many of the academic libraries owe their existence to wealthy donors
 1. this sometimes led to a pot pourri of material
 2. there was often no guarantee of continued support and growth
 3. while gifts are still important, most academic libraries depend primarily on their institutional budget for basics
 4. as the result of a 1928 study that revealed great inadequacies & lacunae, the Canegie Corporation awarded 83 grants totalling \$1,011,000 to improve academic library collections
 - d. one half of American institutions are supported by private (non-government) funding
 1. religious groups are a large portion
 2. publicly supported academic institutions get most of their funds from county and state taxes
 3. federal money is a recent phenomenon
 - a. Higher Education and Facilities Act of 1963
 1. grants for buildings and facilities
 2. funds had to be matched
 - b. Higher Education Act of 1965
 1. supported libraries regardless of denomination

RESEARCH LIBRARIES
(Continued)

I. Endowed Reference Libraries [Encyc. Amer. 1948 357bb, 357cc]

A. Definition

1. a library supported wholly, or mainly, by income from endowed funds, rather than from tax or corporate funds
2. a library devoted to reference that does not ordinarily lend its books for use outside of the institution
3. sometimes are public in that they are open for public use under the restrictions imposed by the library
4. often lumped under the rubric research libraries

B. Endowed library changes over the century

1. first were general reference libraries (Astor, Peabody) because other general reference libraries did not exist
2. then came special reference libraries, such as Newberry, Crerar, which supplemented holdings of tax supported public libraries
3. finally they were generally libraries holding rare and valuable works for specialized research, such as John Carter Brown, Huntington, Schlessinger, Schomberg

C. THE ASTOR LIBRARY

1. first endowed reference library in the U.S.
2. incorporated by John Jacob Astor in 1849
3. in 1895 merged with the library founded by James Lenox in 1870 and the Tilden Trust, a fund bequeathed by Samuel J. Tilden on his death in 1886 to establish a public library
4. result was the New York Public, one of the wealthiest endowed libraries and one of the largest
5. in 1896 John Shaw Billings became Director — *NLM = Surgeon General*
6. In exchange for the City providing land and a building, the New York Public agreed to manage the Circulation branches, and thus the institution was divided into two departments: the Reference Department (research collections) and the Circulation Department (branch libraries), and used the first floor of the 42nd St. building for the Circulating Library.
7. With the City faced with the question of operating the Carnegie libraries that were donated to it, it turned to New York Public to operate them for it, in consideration of some funding for the Rsearch Department as well as funding for the Branches
7. Importance of the Schomberg Collection at NYPL — *see p 3*

D. THE PEABODY INSTITUTE, Baltimore

1. founded by merchant and philanthropist George Peabody in 1857 with \$1.4 mil endowment
2. opened in 1866
3. composed of three programs
 1. a reference library
 2. public lectures
 3. an academy of music
4. strengths are history, literature, fine arts, bibliography

D' Pierpont Morgan Library NYC
1906
Medicine
1906, 1907, 1908

- E. THE NEWBERRY LIBRARY, Chicago
1. bequeathed by Walter Loomis Newberry (d. 1868) left \$2 mil
 2. founded in 1887, incorporated in 1892 and located in present building in 1893 in Chicago
 3. first president was William Poole, compiler of Poole's Index to Periodical Literature
 4. library specializes in language, literature, history, genealogy, fine arts, typography
- F. THE JOHN CRERAR LIBRARY, Chicago
1. bequeathed by John Crerar (d. 1889), left \$2.5 mil estate
 2. incorporated 1894 as a free public library, opened 1897
 3. devoted to social sciences, pure science (including medicine) and the useful arts [architecture, design]
 4. moved to Univ. of Chicago campus from downtown 1980(?)
- G. THE JOHN CARTER BROWN LIBRARY, Providence, RI
1. established by will of John Nicholas Brown, d. 1900, in honor of his father
 2. was to house the JCB collection of Americana printed before 1801
 3. numbering about 15,000 vols in 1904, it was transferred to Brown Univ.
 4. now located next to ANNMARY BROWN MEMORIAL, an endowed library (or rather museum) opened in 1907 and containing some 500 books printed before 1501 (incunabula) displayed to illustrate spread of printing throughout Europe
- H. HENRY E. HUNTINGTON LIBRARY AND ART GALLERY, San Marino, CA
1. created by Henry E. Huntington (d. 1927), in 1919
 2. \$9 mil endowment
 3. opened in 1920
 4. noted for English and American literature, English imprints prior to 1641, incunabula, American History and Californiana
- I. FOLGER SHAKESPEARE LIBRARY, Washington, DC
1. established by Henry Clay Folger, Standard Oil executive and collector
 2. greatest collection of Shakespeariana ever assembled, some 20,000 volumes at time of bequest
 3. administered by trustees of Amherst College, Folger's alma mater
 4. opened in 1932, next to LC
 5. Folger left his entire residuary estate for upkeep

Dunbar

II. Special Collecting Areas in Academic and Other Libraries

A. Black History

1. Schomburg at NYPL

- a. special materials relating to the ever-increasing migration of Blacks from the South in the post-WW I era led to the development of collections related to Black history in 1921.
 - b. NYPL and Branch Librarian Ernestine Rose (white) began to emphasize the collections and hired first black librarian in the system as "an experiment"
 - c. the Harlem Renaissance of art, music and Black culture found a home in the 135th St. Branch - in 1925 Rose herself began the Division of Negro Literature, history and Prints.
 - d. 1926 the Carnegie Corporation provided a grant to acquire the lifetime accumulation of Arthur Schomburg, native Puerto Rican of African descent, long an active historian.
 - e. In 1932 Schomburg was appointed curator, supported by Carnegie funds
 - f. in 1940 the Division of Negro literature was re-named the Schomburg Collection
 - g. In 1972 it became one of the 4 research centers of NYPL
2. Moorland-Spangarn Research Center, Howard
 3. Martin Luther King Center, Atlanta
 4. Library of Congress
 5. Many municipal and Negro College collections

B. Women's Collections

1. Schlessinger (see DAMRUS and Hinding)

C. Native Americans

D. Gay & Lesbian

1. Lesbian Herstory Archives, NYC (in a private dwelling)
2. Rutgers University Lesbian and Gay Archives in Rutgers Special Collections
3. Cornell University Collection on Human Sexuality

III. Labor Archives and Libraries

A. Archives

1. some 30 are listed in the 1988 DAMRUS
2. most prominent are:
 - a. Archives of Labor History and Urban Affairs, Walter Reuther Library, Wayne State Univ
 1. 40,000 l.f., (larger than NY or OK State Archives)
 2. serves as OFFICIAL depository of:
 - a. Amer. Fed. of State, County & Municipal Emps
 - b. Air Line Pilots Assn
 - c. American Federation of Teachers
 - d. Industrial Workers of the World
 - e. United Auto Workers
 - f. United Farm Workers
 - g. Newspaper Guild, etc

- b. Southern Labor Archives at Georgia State Univ.
 - 1. 2,800 c.f.
 - 2. holds records of southern unions, espec. during 30s
 - a. Woodworkers
 - b. Machinists
 - c. Service Employees
 - d. Textile Workers (naturally!)
 - e. Typographers
- c. Tamiment Library at New York University
 - 1. 811 l.f.
 - 2. specializes in radical organizations and groups
 - a. socialist movement
 - b. new left
 - c. anarchism
 - d. utopian movments
 - e. left-wing fringe groups
- d. AFL-CIO Washington DC
George Meany Memorial Archives
 - 1. estab. 1987
 - 2. holds 8,000 c.f. of records of the CIO, AFofL and merged AFL-CIO
 - 3. acts as a records center for all non-current records
 - 4. conducts records management for AFL/CIO
 - 5. library function based on accumulated ~~5,000~~ ^{13,000} volumes
 - 6. becoming repository for significant volumes of the Department of Labor's 500,000 volumes - the best collection on the subject of labor history
- e. Many others - cite from DAMRUS or back of Labor's Heritage the new journal of the Meany Center

B. Libraries

- 1. Department of Labor and State Departments of Labor had or have the best
- 2. most labor archives are either part of a labor library or vice versa
 - a. Wayne State Reuther Library
 - b. New York Univ. Tamiment Library
 - c. George Meany Archives

IV. Genealogical Archives and Libraries

- A. Daughters of the American Revolution
- B. LDS Church and Genealogical Society of Utah
- C. National Archives
- D. Library of Congress
- E. State and Local Genealogical Societies
- F. Society of the Cincinnati
- G. Colonial Dames
- H. Daughters of the Confederacy
- I. Etc., Etc., Etc.

B. Academic Archives

1. Little general information has been gathered
2. often the "archives" is nothing but a special collection relating to the institution
 - a. it is "archival material" in Special Collections
 - b. the university archivist has little authority to collect records
3. little LSCA money has gone towards the construction of university archives, even for those within university library systems [LSCA=Library Services & Construction Act]
4. there is some dispute as to whether university archives should be part of the library, as research facilities or under the office of administration, as managerial tools and products

XIII

(PART II)

FEDERAL AID TO LIBRARIES
ARCHIVES AND HISTORICAL SOCIETIES

- I. The Department of Education and LSCA
(Based on concept of land-grant acts as supports for education)
- A. The Library Services Act (1956) [Library Trends Jul '75]
1. at end of WWII adequate public library service was available to less than 1/2 of the U.S. population, despite the efforts of philanthropists such as Carnegie
 2. it was an era of Federal social awareness, with attention being paid to migrant farmers, Appalachia, inner city slums, etc. The populace turned to Congress to aid libraries. Sputnik helped
 3. first bill for library aid was drafted by ALA and Ralph Shaw the librarian of the Dept of Agriculture
 - a. introduced in the Senate in 1946 by Lister Hill of AL
 - b. took 10 years until a successor bill, introduced by Rep. Edith Green of Oregon got through & was signed by Eisenhower in June 1956
 4. Library Services Act of 1956 P.L. 84-597
 - a. 300 counties in the U.S. had no library
 - b. 26 million rural residents without library service
 - c. was aimed at rural library services
 - d. provided \$7.5 mil annually - authorization
 1. funds allotted to States based on rural population
 2. matched by the States
 3. could be used for salaries, books, materials, equipment and operating expenses, but not land or buildings
 4. required a state plan from State library extension agency
 5. administered by U.S. Dept of Education
 - e. appropriation rose from 2.5 mil in 1957 to 4 mil in 1960
 - f. had much of the desired impact in rural areas
 - g. Indiana refused to participate, claimin Washington would select the books to go into local libraries - untrue
 - h. Bill was extended in 1960 for another 5 years at \$7.5 mil authorization

B. Library Services and Construction Act of 1964

1. In January 1963 JFK sent a special education message to Congress calling, among other things, for funds to support the replacement of many old and deteriorating libraries and extension of the 1960 Library Services Act
 - a. to cover urban and rural libraries
 - b. to cover construction in addition to services
 - c. cited end of Carnegie funds in 1920s
2. Bills introduced and supported by Wayne Morse, Vance Hartke Sen. Thomas McIntyre
3. Opposed by John Tower of TX on grounds of Washington meddling in local affairs and locating libraries and selecting books
4. bill passed Senate 89 - 7 one week after JFK's death, then passed the House & signed by LBJ Feb '64 as P.L.88-269
5. Provisions:
 - a. population limit of LSA removed (had been any area of fewer than 10,000 was rural) and all areas included
 - b. authorized \$20 mil for first year and "such sums as Congress may determine" thereafter for '65 and '66 for construction
 - c. minimum allotments of \$80,000 to each state
 - d. matching grant authorization for services went from \$7.5 mil to 25 mil and such sums as Congress may determine for '65 & '66
 - e. "construction" was defined as new buildings, expansion, remodeling and alteration of existing buildings, initial equipment, land acquisition costs and architects fees

C. LSCA Extension of 1966

1. contained four "Titles"
 - a. Title I, Public Library Services
 - b. Title II, Public Library Construction - \$40 mil for fy '67 and such sums, etc., for succeeding year
 - c. Title III. Interlibrary Cooperation - local, regional state or interstate networks
 - d. Title IV. Specialized State Library Services
 1. state institutional library services
 2. handicapped services
2. signed by LBJ in July 1966
3. In 1970 Title IV was folded in under Title I

D. As of 1976 the Bill's authorization level stood at:

- a. Title I \$137,150,000 Services
- b. Title II \$97,000,000 Construction
- c. Title III 18,200,000 Cooperation - networking

E. LSCA - 1987

1. had 6 titles, but only three relate directly to libraries (others are general grants and literacy programs)
2. accomplishments
 - a. 1986 LSCA funded 3500 projects
 - b. total awarded under the three titles was \$108 mil
 - c. some \$51 mil under Title I for providing services in underserved areas - 160 major urban libraries strengthened
 - d. some \$18 mil to disadvantaged (non-English speaking, blind and handicapped)
 - e. since 1964 (23 years) 2580 programs to build or remodel were funded
 - f. some \$8 million under Title III supported bibliographic data bases

F. Higher Education Act of 1987 (PL 99-498)

1. Established Title II-A College Library Resources Program with no appropriations and grants determed strictly on basis of need
2. Title II-B Library Career Training program
 - a. to assist in training persons in librarianship
 - b. to establish, expand and devlop programs in library and information science
3. By 1992 there was \$5 million appopriated for a Career Training Program and 410 fellowships were awarded
4. Setup a Library Research and Demonstration Program, but precluded grants for research on or about information technology per se
Title II-C strengthened research library resources program and five years later funded 4.7 mil for automated cataloging, 766k for preservation and 367k for materials acquisition
Title II-D was the College Library Technology and Cooperation grants for networking, combination projects, services to institutions, etc
There were alks0 grants for library services to Indian tribes, a library literacy program, and foreign language materials acquisition program

G. Library Services and Technology Act (PL104-208) Sept 1996

1. Was confronting existence of 31,850 libraries in the U.S. (Canada had 3,869)
2. Consolidated all federal library service programs
3. Promoted library services through electronic networks
Promoted linkages between libraries
Promoted library services to diverse economic, cultural and geographic backgrounds
4. New departures in 1996
 - a. stressed information access through technology
 - b. information empowerment through special services
 1. emphasized public libraries
 2. eliminated bricks and mortar construction in favor of renovation and upgrading for technology
 3. provided greater state and local flexibility
 4. moved the administration of library programs from Dept. of Education to in Institute of Museum and Library Services

OTHER LIBRARY AND ARCHIVAL GRANTING AGENCIES

II. National Endowment for the Humanities

[Bowker Annual 1987]

A. Beginnings

1. created by Congress in 1965
2. supports "research, education, and public understanding in the humanities through grants to organizations, institutions and individuals."
3. humanities includes: "archaeology, ethics, history, the history and criticism of the arts, jurisprudence, language, linguistics, literature, philosophy, comparative religion, and those aspects of the social sciences that have humanities content and employ humanistic methods."
4. all of this has been interpreted to include libraries, historical societies, and some aspects of archives, but not government archives or records management

B. Programs are conducted through five divisions:

1. Research Programs, which includes documentary editions, organization of collections and preparation of reference materials [most pertinent to libraries and archives], conduct of research and development of potential research
2. Fellowships and Seminars
3. Education Programs for strengthening the teaching of humanities
4. General Programs to foster public appreciation and understanding of the humanities
5. State Programs makes grants to citizens' committees in each state to provide support for local humanities projects

C. Library Support

1. specific library support programs include Office of preservation for physical preservation of research materials
2. Office of Challenge Grants helps develop long-range, non-Federal support for humanities programs
3. Humanities Projects in Libraries provides direct library support
 - a. encourages public, academic, or special libraries to plan and present humanities programs
 - b. cooperative projects between public, academic, or special libraries and between libraries, museums, historical societies, and other cultural institutions are also encouraged

D. Some examples of currently supported library projects:

III. The National Historical Publications and Records Commission

A. History and Programs

1. History

- a. Program to aid libraries and archives began in 1974
- b. operates through a network of State Coordinators and State Boards
- c. no formula grants - each considered on its merit
- d. some pass-through grants to states or other organizations
- e. Commission decision is final, although Chairman makes the grants
- f. appropriation has not caught up with authorization

2. Programs

- a. priority is on government records at all levels except Federal
- b. funds may go to any non-profit organization: libraries, archives, social, educational, cultural, institutional, organizational (SAA), religious organizations
- c. no grants for oral history, newspaper reproduction, item indexing, item conservation, buildings
- d. grants for planning, arrangement, description - including in national data bases - research and development, etc.

B. Grants awarded - examples

CITE FROM MOST RECENT ANNOTATION OR
ANNUAL REPORT