

National Historical Publications and Records Commission
Executive Summary Minutes
of November 15, 2011

The meeting was called to order by David S. Ferriero, chairman, at 9:00 am in the Archivist's Board Room of the National Archives Building in Washington, DC.

Commission Members present:

David S. Ferriero, Chairperson
Edward Brynn
James Ceaser
Nancy Davenport
Timothy Ericson
Jeremy Fogel
F. Gerald Handfield
Stanley N. Katz
Erin Mahan
Deanna Marcum
Raymond Smock
Rodger Stroup

NHPRC staff present:

Kathleen Williams, Executive Director
Lucy Barber
Jeff de la Concepcion
Timothy D.W. Connelly
Keith Donohue
Christine Dunham
Alexander Lorch
Nancy Melley
Daniel A. Stokes

National Archives Staff

John Hamilton, Congressional Affairs
Kate Slaugh

Guests and Attendees

Debbie Yamada (for Senator Cardin)
Julia Marks Young, Council of State Archivists
Bruce Ragsdale, Federal Judicial Center
Charlene Bickford, First Federal Congress Project and Association for Documentary Editing
Lee White, National Coalition for History
C. James Taylor, Founding Fathers editorial projects
Mark Saunders, UVA Press
Penny Kaiserlian, UVA Press
David Sewell, UVA Press

I: Welcome, Announcements, Agenda

Mr. Ferriero opened the meeting and greeted the Members, staff, and guests. He welcomed Judge Jeremy Fogel, representing the Federal judiciary, to the Commission.

Following introductions, Mr. Ferriero reported on the October 21 launch at the National Archives of the Digital Public Library of America at the National Archives. The DPLA is an initiative to pull together a portal to cultural heritage in digital form. Funded with planning grants from foundations, the DPLA intends to go online in 2012, and it is important that the National Archives, Library of Congress, and the Smithsonian have a place at the table, representing the Federal government.

Another major event of the past few months was the cooperative agreement signed between the National Archives and the University of Virginia to publish electronic versions of not-yet-published transcripts of the Founders papers as part of the "Founders Online" website.

II: Minutes of the Last Meeting

Mr. Ferriero called for adoption of the agenda and approval of the minutes of the May 2011 meeting, and both motions were passed by unanimous consent.

III. Executive Director's Report

Ms. Williams kicked off her remarks with a request for the Commission's support for a Report to the President, citing the fact that the last report was issued in 1978, and now is a critical opportunity to explain the value of historical records to the nation, discuss the challenges for the field, and to talk about the critical role of the NHPRC and its accomplishments. She then discussed the work associated with the Founders Online project and the forthcoming demonstration of its design and functionality to take place later in the meeting. To conclude her remarks, she discussed the challenges implicit in the FY 2012 appropriations.

IV. Congressional Report

John Hamilton, Congressional Affairs Director, briefed the Commission on the current status of NHPRC appropriations. While not much has happened this fall, he outlined that the Administration has requested \$5 million; House Appropriations committee requested \$1 million; and the Senate Appropriations committee requested \$5 million. Despite the seemingly dire amount of the House request, he explained that it was a victory in light of the pressure to zero out the Commission and that, actually, we are on solid ground with key staff. No action on the budget is imminent and a Continuing Resolution is in effect through the middle of December.

A new National Archives Caucus has been formed in the Congress, with Mr. Manzullo (R-IL) and Mr. Bishop (D-NY) of the House as co-chairs. The Caucus is a good vehicle to promote the work of the NHPRC and to reach out to educators and others in the Members' districts. Commission members asked NHPRC staff to provide them with a list of Caucus members.

V. Council of State Archivists presentation

Julia Marks Young, president of the Council of State Archivists, made a presentation to the Commission on the partnership between CoSA and the NHPRC, with a special focus on CoSA's State Electronic Records Initiative (SERI). Preliminary findings from CoSA's survey of state electronic records programs point to a dire state of affairs. Fully 60 percent of all state archives have minimal or no electronic records programs,

and 34 percent have no born-digital records. Ms. Young then pointed to a number of strategies for rectifying this situation over time.

Mr. Ferriero was not surprised by the findings, since the same issues occur at the Federal level, and he cited a 2010 Report to the President which stated that 95 percent of Federal electronic records are at risk. Dr. Katz pointed to the problems at the New Jersey State Archives, and Mr. Handfield noted that in Washington State, if the government did not establish a government “cloud” to maintain records, soon all public records will be controlled by private companies.

The Commission thanked Ms. Young for her presentation and expressed its desire to continue to address the challenges associated with preserving and providing access to the nation’s electronic records.

VI. Executive Committee Report

Chair Tim Ericson reported on the Executive Committee meeting which took place the previous day. The first item on their agenda was the budget and alternatives for funding. The Committee agreed with the recommendation to reduce funding for the Founding Era projects by 20 percent and others by 25 percent; the staff recommendation on the approach to be taken regarding SNAP grants was reviewed and agreed upon as well. The Executive Committee resolved that if the appropriations for FY2012 were \$4.6 million or higher, the current allocations were to be followed. If the final appropriation for the NHPRC is less than this, the Commission resolved that the Executive Committee will meet via teleconference with a charge to decide upon a new funding distribution plan.

The staff report entitled “Documentary Editions and Free Online Access”, was discussed by the Executive Committee at length. Dr. Katz said that the report was useful in outlining the challenges faced by projects on the changing nature of publishing. Dr. Smock said that the report raised huge issues regarding the standards involved; how “free” is free; and how the online versions were to be maintained. Long-term preservation and its costs are significant, Dr. Katz pointed out, and old models of paying for such publications will not work.

Mr. Ericson then turned attention on the new policy regarding cost share and the request, by the Addams Papers, for consideration of its tardy grant application. *The Commission approved a motion to allow the Addams Papers proposal to be accepted.*

[The Commission then approved Grant Opportunity Announcements: Digitizing Historical Records and Publishing Historical Records.]

Following that vote, Mr. Ericson reported on the Executive Committee’s positive response to the possible issuance of a Report to the President by the NHPRC, saying that it should contain vignettes on particular areas, have a “marketing strategy,” and involve stakeholders. Dr. Katz believes it is a wonderful idea and would like to see something ambitious along the lines of the 1992 report *Using the Nation’s Historical Documents*, focusing on use, particularly in schools, K-12. Dr. Marcum suggested that it is important for the report to have specific outcomes for various audiences and specific recommendations, particularly in education and training. It should not be a chronicle of needs, Ms. Davenport argued, but a report that leads from strength while showing how much remains to be done. Mr. Stroup concurred, stating that it is important to include data from the presentation on electronic records, as well as all of the government records that simply are not being processed. The Commission encouraged the staff to proceed on a Report to the President with a target publication date of November 2012.

Dr. Katz led off the discussion of the final item on the Executive Committee’s agenda: discussion of the recently signed Founders Online Initiative Cooperative Agreement. He said that the project editors were troubled that they hadn’t been consulted sufficiently before hand, and that the agreement makes certain

assumptions that raise problems. One consequence of the agreement will be that some negotiation must be made between Documents Compass (the organization responsible for transcriptions) and each project, and that the fundamental issue, from the editors' perspective, is the quality of materials of the online documents. Dr. Smock seconded Dr. Katz's comments, expressing his concern with questions of publication permissions. Mr. Ericson concluded the discussion by observing that Jack Rakove of Stanford University had been appointed to the Founding Fathers Advisory Committee, and that a meeting has been scheduled for February 7, 2012.

The Commission then approved by unanimous consent the following resolutions:

DEANNA MARCUM joined the National Historical Publications and Records Commission in 2003 and had served with distinction for the past eight years as the representative of the Librarian of Congress. She also served from 1993-95, holding the post originally held by J. Franklin Jameson. As Associate Librarian for Library Services, Dr. Marcum oversees more than 1,400 Library of Congress staff who acquire, catalog, preserve, and provide intellectual and physical access to the collections of more than 147 million items. She has enjoyed a long and varied career. In 1997 she oversaw the merger of the Council on Library Resources and the Commission on Preservation and Access into the Council on Library and Information Resources and served as its president until 2003. Since returning to the Library of Congress, she has provided leadership and innovation not only for that institution but for the library field as a whole, and in the summer of 2011, she was awarded the prestigious Melvil Dewey Medal from the American Library Association.

Her colleagues on the Commission know her for her insistence on excellence, her intellectual curiosity and discerning judgment, and her commitment to public service. Dr. Marcum will be very much missed, and the Commission members thank Deanna for her dedicated service and contributions to its programs with our sincere respect and affection.

NANCY DAVENPORT joined the National Historical Publications and Records Commission in 2006 and has served with distinction for the past five years as a Presidential appointee. For the past five years, Ms. Davenport has been president of her own information and technology services company and Director of Library Services at the District of Columbia Public Library System. A past president of Council on Library and Information Resources, she also served for more than 26 years at the Library of Congress where she held several leadership positions including Director of Acquisitions, coordinator of Members Committee Relations for the Congressional Research Service, and Director of Special Programs, among other responsibilities.

Ms. Davenport has brought that wealth of knowledge and experience to the work of the Commission, consistently advocating for new technologies and methods to help the American people access the nation's historical records. Percipient about the changing nature of publishing, she has helped guide and shape new programming at the Commission, and her inquisitive nature and collegial assertiveness will be missed around the table. Ms. Davenport will be very much missed, and the Commission members thank Nancy for her dedicated service and contributions to its programs with our sincere respect and affection.

JUDGE BARBARA JACOBS ROTHSTEIN joined the National Historical Publications and Records Commission in 2006 and has served with distinction as representative of the judicial branch of the Federal Government, appointed by the Chief Justice of the United States. A graduate of Harvard Law School, she served in the Washington State Attorney General's Office from 1968 to 1977 until her appointment as a judge on the Superior Court of Washington, King County. In 1980, she was appointed to the U.S. District Court for the Western District of Washington, serving as chief judge for seven years. In 2003, she became director of the Federal Judicial Center in Washington, DC.

Judge Rothstein has been a force of nature on the Commission. Her natural curiosity has led to lively discussion and debate, and her insistence on plain speaking and good sense has often penetrated to the heart of the matter on many issues, and she has led us all to reaffirm our commitment to those ideals. Judge Rothstein will be very much missed, and the Commission members thank Barbara for her dedicated service and contributions to its programs with our sincere respect and affection.

SENATOR BENJAMIN L. CARDIN joined the National Historical Publications and Records Commission in 2008 and has served with distinction as representative of the United States Senate. Senator Cardin has dedicated his career to public service, first as a member of the Maryland House of Delegates, where he served nearly 20 years. In 1987, he was elected to Congress, where he has become known as a national leader on health care, retirement security, the environment and fiscal issues. *The Washington Post* has called him “a legislator's legislator.”

In 2006, he was elected as United States Senator from Maryland. He is a champion for projects fostering appreciation for Maryland and United States History, from the state archives to the papers of colonial statesmen. He is the lead sponsor for *The Harriet Tubman Underground Railroad National Historical Park Act*. Every year, he lauds Maryland students’ work for National History Day. In 2008, Senator Cardin was an instrumental force on the Senate subcommittee which created the public law calling for “online electronic publication...of the papers of the Founding Fathers.” He has maintained a lively interest in work of the National Archives and the Commission and been a true friend in supporting its endeavors. The Commission members thank Senator Cardin for his dedicated service and contributions to its programs with our sincere respect and affection.

The chairman suspended the meeting at 11:00 a.m. for twenty minutes.

VII. Founders Online Initiative Presentation

Penny Kaiserlian, Mark Saunders, and David Sewell of the University of Virginia Press gave a presentation on the “Founders Online Initiative.” Ms. Kaiserlian stated that perpetual online rights had been secured for complete digital editions of five founders and that negotiations were ongoing with the Papers of Benjamin Franklin. The Press expects to complete an initial release of Founders Online by June 2012 (and a complete version with Franklin by 2013). Mr. Saunders explained the processes for the conversion of scholarly print editions for use by the general public, and Mr. Sewell took the Commission through a demonstration of the user interface and general design. Commission members asked some questions and praised the clear design of the website.

The Chairman suspended the meeting at 12:05 pm for lunch, and the Commission reconvened at 12:40.

VIII: Proposal Review

During consideration of proposals, the following individuals recused themselves from voting on the noted applications:

Publishing Historical Records

PC50049 Yale University -- Stan Katz

PC50055 University of Wisconsin -- Tim Ericson

PC50057 University of Virginia -- James Ceaser, Erin Mahan, and Stan Katz

PC50059 Princeton University -- Stan Katz

PC50060 University of Virginia -- James Ceaser, Erin Mahan, and Stan Katz

PC50061 University of Virginia -- James Ceaser and Erin Mahan

Electronic Records

RE10046 Oregon Secretary of State -- Jerry Handfield

State and National Archival Partnership

RC10121 Vermont State Archives and Records Administration -- Edward Brynn

RC10125 State Historical Society of Wisconsin -- Tim Ericson

RC10127 Washington Office of the Secretary of State -- Jerry Handfield

Digitization

RD10088 Center for Jewish History-- Stan Katz

RD10097 Texas Tech University -- Erin Mahan

RD10099 County of Santa Clara Office of County Executive --Jeremy Fogel

The following projects were recommended for funding.

PUBLISHING HISTORICAL RECORDS –Colonial and Early National Period

Massachusetts Historical Society

Boston, MA \$148,246

To support a project to edit *The Papers of John Adams*.

Yale University

New Haven, CT \$172,104

To support a project to edit *The Papers of Benjamin Franklin*.

University of Wisconsin

Madison, WI \$151,238

To support a project to edit *The Documentary History of the Ratification of the Constitution*.

Trustees of Columbia University

New York, NY \$121,707

To support a project to edit *The Papers of John Jay*.

University of Virginia

Charlottesville, VA \$135,540

To support a project to edit *The Papers of George Washington*.

George Washington University
Washington, DC \$169,536
To support a project to edit *The Documentary History of the First Federal Congress*.

Princeton University
Princeton, NJ \$135,098
To support a project to edit *The Papers of Thomas Jefferson*.

University of Virginia
Charlottesville, VA \$116,923
To support a project to edit *The Papers of James Madison*.

University of Virginia
Charlottesville, VA \$50,203
To support a project to edit the *Dolley Madison Digital Edition*.

George Mason University
Fairfax, VA \$67,712
To support a project to prepare an electronic image edition of *The Papers of the War Department, 1784-1800*.

Yale University
New Haven, CT Endorsement
For the *Jonathan Edwards Collaborative Online Publication Project*.

ELECTRONIC RECORDS

Oregon Secretary of State, Archives Division
Salem, OR \$134,419
To support a two-year project to integrate the Governor's office into the Oregon Records Management Solution and to work with the Washington State Digital Archives to create a regional system of managing electronic records from creation to final disposition.

STATE AND NATIONAL ARCHIVAL PARTNERSHIP GRANTS

Friends of California Archives
Sacramento, CA \$29,400
To support the efforts of the California State Historical Records Advisory Board to create curricula for workshops and webinars on the topics of electronic records and the digitization of records.

South Dakota Department of Tourism
Pierre, SD \$5,431
To support the South Dakota State Historical Records Advisory Board and its educational and statewide regrant programs.

Minnesota Historical Society
St. Paul, MN \$36,500
To support the Minnesota State Historical Records Advisory Board and a statewide regrant program.

Colorado State Historical Records
 Advisory Board
 Denver, CO \$25,000
 To support the Colorado State Historical Records Advisory Board and a statewide regrant program.

Alaska Department of Education
 and Early Development
 Juneau, AK \$61,055
 To support the Alaska State Historical Records Advisory Board. Archival workshops will be offered to 30 rural archivists across the state, and a records processing manual will be developed to meet the needs of remote, culturally diverse archival repositories.

Vermont State Archives
 and Records Administration
 Montpelier, VT \$15,000
 To support the Vermont State Historical Records Advisory Board and its efforts to design an effective regrant program.

Florida Department of State
 Tallahassee, FL \$8,300
 To support the Florida State Historical Records Advisory Board's work to create a new strategic plan to guide the board over the next five years.

North Carolina Department
 of Cultural Resources
 Raleigh, NC \$14,730
 To support the North Carolina State Historical Records Advisory Board's "Getting Ready to Go" Program, which will train and educate individuals working in archives, museums, and other repositories about creating the infrastructure critical to institutional success and longevity.

Ohio Historical Society
 Columbus, OH \$31,577
 To support the Ohio State Historical Records Advisory Board and a statewide regrant program.

State Historical Society of Wisconsin
 Madison, WI \$29,345
 To support the Wisconsin State Historical Records Advisory Board's efforts to promote training related to electronic records best practices, provide training in archival management, and improve collaboration among archivists.

Secretary of the Commonwealth
 of Massachusetts
 Boston, MA \$15,000
 To support the Massachusetts State Historical Records Advisory Board and its Roving Archivist Program. An archivist will work with as many as 17 institutions to assess their collections and provide advice on records processing, access, preservation, and institutional management.

Washington Office of the
 Secretary of State
 Olympia, WA \$50,000
 To support the Washington State Historical Records Advisory Board and its efforts to provide 20 technical assistance workshops and regrants for digitizing local government records.

Indiana Commission on Public Records
Indianapolis, IN \$35,000
To support the Indiana State Historical Records Advisory Board’s workshop series, outreach program, and statewide regrant program.

Library of Virginia Foundation
Richmond, VA \$12,688
To support the Virginia State Historical Records Advisory Board and its “Where History Begins” conference for the promotion of collaboration among historical societies.

Utah State Archives and Records Services
Salt Lake City, UT \$34,760
To support the Utah State Historical Records Advisory Board and a statewide regrant program.

Missouri Office of the
Secretary of State
Jefferson City, MO \$70,000
To support the Missouri State Historical Records Advisory Board and a statewide regrant program.

State Historical Society of North Dakota
Bismarck, ND \$6,988
To support the North Dakota State Historical Records Advisory Board’s efforts to enhance the state’s National history Day program.

Kentucky State Historical Records
Advisory Board
Frankfort, KY \$30,000
To support the Kentucky State Historical Records Advisory Board and a continuing education workshop and webinars.

Georgia Office of
Secretary of State
Morrow, GA \$24,696
To support the Georgia State Historical Records Advisory Board’s strategic planning process and outreach programs.

Connecticut State Library
Hartford, CT \$55,000
To support the Connecticut State Historical Records Advisory Board, an archival management symposium, a series of workshops, and a traveling archivist program that will provide training and advice to repositories across the state.

Montana Historical Society
Helena, MT \$13,140
To support the Montana State Historical Records Advisory Board and its traveling student archivist program .

Maine State Archives
Augusta, ME \$70,000
To support the Maine State Historical Records Advisory Board’s training program, Civil War Sesquicentennial project, and statewide regrant program.

State Historical Society of Iowa
Des Moines, IA \$11,615
To support the Iowa State Historical Records Advisory Board and its technical assistance program.

DIGITIZING HISTORICAL RECORDS

University of Washington
Seattle, WA \$34,926
To support a project to digitize and make available the J. Willis Sayre Photograph Collection of over 24,500 late 19th and early 20th century photographs depicting images from American vaudeville, theater, and other performing arts

Regents of the University of
California, San Diego
San Diego, CA \$56,571
To support a two-year project to digitize the Herman Baca Papers (1964-2006), and related oral interviews, documenting the Chicano movement and organizations in San Diego and the American Southwest.

Minnesota Historical Society
St. Paul, MN \$46,063
To support a project to digitize and make available 32,000 pages of annotated speeches and 200 audio recordings by U.S. Senator and Vice President Hubert H. Humphrey (1911-1978).

Texas Tech University
Lubbock, TX \$144,120
To support a three-year project to digitize approximately 250,000 pages of Orderly Departure Program Application Files of the Families of Vietnamese Political Prisoners Association Collection documenting the immigration experience of thousands of Vietnamese who migrated to the United States following the end of the Vietnam War.

University of Massachusetts, Amherst
Amherst, MA \$42,950
To support a one-year project to digitize the records of Horace Mann Bond (1904-1972), African American historian, college president, writer, and social science researcher.

Atlanta Historical Society, Inc.
Atlanta, GA \$74,831
To support a project, in partnership with the Digital Library of Georgia, the Hargrett Rare Book & Manuscript Library of the University of Georgia, and the Georgia Historical Society to digitize 81,319 documents pertaining to the American Civil War.

[The Commission went into Executive Session at 1:05 PM and adjourned at 1:20 PM]