NATIONAL ENDOWMENT FOR THE HUMANITIES

SAMPLE APPLICATION NARRATIVE

Grants to Preserve and Create Access to Humanities Collections
Institution: Oregon State University

Summary of Project

The Northwest Digital Archives (NWDA) proposes to add a minimum of 1,600 Encoded Archival Description (EAD) finding aids to its regional union database over a 2-year period in order to provide enhanced access to archival and manuscript materials in Idaho, Montana, Oregon, and Washington. This phase II project will build upon the NWDA's successful phase I project, which will result in more than 2,200 EAD finding aids in its searchable database at the conclusion of the project on December 31, 2004.

The regionally significant collections represented by these 1,600 finding aids are held by seventeen institutions. The participating institutions are the Eastern Washington State Historical Society, Gonzaga University, Idaho State Historical Society, Montana Historical Society, University of Montana, Oregon Historical Society, Oregon State University Archives, University of Oregon, Oregon University System Chancellor's Office, Center for Pacific Northwest Studies (Western Washington University), Pacific Lutheran University, City of Portland Archives, Seattle Museum of History & Industry, University of Washington, Washington State Archives (six branches), Washington State University, and Whitworth College.

Many of the participating institutions lie within the Columbia River watershed, giving the records they hold a geographic unity that extends beyond the borders of the four states. Significant subject commonalities include the major economic forces in the region – agriculture, forest products, fisheries, and natural resources; urban and rural social and progressive movements; local, state, regional, and national politics; outdoor recreation; Native American language and culture; and the place of religious communities in the region. In many ways, the separate collections at the participating institutions represent one massive interrelated collection that documents the political, cultural, and natural history of the Northwest region.

The NWDA has developed project-specific best practice guidelines for the content and encoding level of finding aids and style sheets for consistent presentation of the finding aids. In this phase of the project, the NWDA is proposing a consortium administrator to coordinate the work of the participating institutions, particularly the submission of finding aids to the data conversion contractor and the submission of the encoded finding aids to Washington State University for inclusion in the database. The NWDA leadership will work closely with its advisory board and a consultant to develop a long-term business plan that will provide for a sustainable level of activity of the NWDA.

A data conversion contractor will provide initial encoding to approximately 1,300 finding aids, and a minimum of 300 finding aids will be encoded in-house. The project will also provide EAD training to staff at new participating institutions as well as new staff at continuing partner institutions; style sheets training; and opportunities for the seventeen institutional project directors, the consortium administrator, the advisory board and other key consortium personnel to meet on a regular basis. The NWDA will continue to work with the Online Archive of California, exploring the joint creation of tools and the means for creating a union search interface across consortia. Continuing the dissemination of information about the NWDA to a variety of communities within and beyond the Northwest is also an essential element of phase II and will consist of additional promotional and educational materials and training to user groups.

Table of Contents

Project Narrative

I. Significance of the Project

Introduction

The Northwest Digital Archives (NWDA), a consortium of nineteen archives and manuscript repositories spread across Washington, Oregon, Idaho, and Montana, seeks funding for a two-year project to mark-up 1,600 finding aids (more than 23,000 pages) in XML Encoded Archival Description (EAD). The project will, in addition, add the finding aids to the NWDA database established in the NEH-funded Phase I of this project, provide training in EAD encoding and administration for new and long-term implementation at participating institutions, provide administrative and technical support for the project, provide travel support for project participants, develop necessary tools for members and a union search interface with the Online Archive of California, and systematically plan for long-term maintenance of the consortium.

The finding aids to be included in this project describe important collections at seventeen of the consortium's institutions – eleven institutions from Phase I plus six new institutions.[1] The institutions participating in Phase II are the Eastern Washington State Historical Society, Gonzaga University, Idaho State Historical Society, Montana Historical Society, University of Montana, Oregon Historical Society, Oregon State University, University of Oregon, Oregon University System, the Center for Pacific Northwest Studies (Western Washington University), Pacific Lutheran University, City of Portland Archives, Seattle Museum of History & Industry, University of Washington, Washington State Archives, Washington State University and Whitworth College. Thirteen institutions participated in Phase I and encoded 2,200 finding aids, built a searchable database, trained people at all participating institutions, and established productive and cooperative working relationships with one another. This phase will add six new institutions, 1,600 finding aids to the database, bolster administrative and technical capabilities for researchers and consortium members, and provide for the future of this important research tool.

The proposed project will build on the considerable success of Phase I, the skills acquired by participants, and build a future for excellent bibliographic access to archival collections not only in the Northwest, but across the United States.

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[1] The NWDA's thirteen original institutions are the Montana Historical Society, Oregon Historical Society, Oregon State University, Pacific Lutheran University, Seattle Municipal Archives, University of Idaho, University of Montana, University of Oregon, University of Washington, Washington State Archives, Washington State University, Western Washington University and Whitworth College. The Seattle Municipal Archives and the University of Idaho are not able to participate in this proposal, although the Seattle Municipal Archives intends to continue adding finding aids to the NWDA database. The new consortium members are the Eastern Washington State Historical Society, Gonzaga University, Idaho State Historical Society, Oregon University System Chancellor's Office, City of Portland Archives, and the Seattle Museum of History and Industry. See Appendix A for profiles of all NWDA institutions participating in this proposal.

The Region

The Northwest is often defined as Washington, Oregon, and Idaho, but many definitions also include western Montana. This is an area of the United States characterized by its spectacular natural setting and history of natural resource extraction. The region is lightly populated relative to the rest of the United States, with most people concentrated in the urban areas of Seattle, Tacoma, Portland, Spokane, Eugene, and Boise, and particularly along Interstate Highway 5, which runs north-south through the western half of Washington and Oregon. Western Washington and Oregon have seen notable population growth in the last ten to fifteen years, as has western Montana and southern Idaho. The eastern portions of Washington, Oregon, Montana, and northern Idaho have seen less population growth (eastern Montana, in fact, is depopulating), and remain primarily rural. The states thus bring together a combination of urban and rural influences that continue to shape the political, social and cultural milieu, regionally and nationally.

The history of the area begins with its first settlement by Native Americans and its subsequent exploration and exploitation in the early years of European contact with North America. Its ties to the United States began with the arrival of American missionaries in the late 1700s and continued with the Lewis and Clark Expedition of the early 1800s. Oregon Country became an U.S. territory in 1840, and between 1840 and 1860 about 300,000 people migrated west over the Oregon Trail.[2] The region boomed in the late nineteenth century as supplier of raw materials, including minerals, timber, agricultural products, and fish; many of its cities and towns developed relatively quickly during these years. The region was also a major supply center for the Alaska and California gold rushes, a source for rail transport of agricultural products, and the site of some of the first major national parks and other tourist destinations.

In the twentieth century, extractive industries have continued to be important, but have declined with dwindling supplies and complex negotiations between, industry, government, labor, and environmental interests. A major portion of the World War II military-industrial complex was developed here, including shipbuilding in western Washington and Oregon and production of nuclear weapons and nuclear energy in eastern Washington. Of great present-day importance in the region are high technology, aerospace, energy production (including both hydroelectric and nuclear), natural resource conservation, outdoor recreation and tourism, and value-added agricultural products such as wine and prepared foods. Despite its relative isolation, the region has played a significant role in the history of the U.S., first as a hinterland that supplied everything from beaver furs for hats to canned salmon to copper for the electrification of America. It has remained America's last frontier, a persistent image in the American mind, with continued popular imagery of an outstanding landscape: "The Last Best Place" (Montana) and "Things Look Different Here" (Oregon).

The Collections

The specific strengths of each repository's holdings are noted under "Collection Scope" in the descriptions under "Participating Repositories." Taken together, their holdings extend from the 1770s to the present—even earlier, counting reproductions of colonial materials—with significance for the study of many aspects of American history. Jointly, they attract researchers in such fields as the history of the American West and the Northwest, Asian-American and Scandinavian-American studies, Native American studies, African-American studies, cultural

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[2] Exact figures are disputed. This figure is a composite between John Unruh's and Merrill Mattes' figures.

history, economics, political history, environmental history, natural resources management, environmental restoration, social history, and family history and genealogy. The Northwest Digital Archives database offers unparalleled access to many types of resources across a region. Its holdings include state archives, university archives, manuscript collections, photographs, moving images, oral histories, and artifacts held by state, academic, and local institutions that serve a diverse audience of researchers.

Combined, collections at participating repositories represent more than 320,000 feet of archives and manuscripts and more than 8 million photographs.[3]

Materials at these nineteen institutions see much significant use from researchers both on- and off-site. The institutions combined served well over 56,000 patrons in the last year.[4] All institutions have also seen significant use by patrons located at some geographical distance from the repository, including researchers from throughout the United States as well as from the United Kingdom, Canada, Colombia, China, Japan, Germany, Italy, Norway, Sweden, France, Thailand, and the Netherlands. In most cases, these researchers were using the Web to facilitate their research. In many cases, researchers use Web finding aid access to replace on-site research visits; they can search container lists and order photocopies of what they need. This removes significant access barriers of cost and travel time.

In the *2002 OCLC Environmental Scan: Pattern Recognition*, researchers recognize three trends in information consumer desires: moving toward self-sufficiency, satisfaction, and seamlessness. A major part of that landscape, naturally, is the ubiquity of the Google search, which fulfills all

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[3]. Eastern Washington State Historical Society: 600 manuscripts (no linear feet given) and 200,000 photographs. Gonzaga University: 900 linear feet of manuscripts. Idaho State Historical Society: 35,000 cubic feet of manuscripts and archives and 300,000 photographs. Montana Historical Society: 20,000 linear feet of manuscripts and records and 400,000 photographs. University of Montana: 11,600 linear feet of manuscripts and records; 70,000 photographs. Oregon Historical Society: 12,000 linear feet of manuscripts and 2 million photographs. Oregon State University Archives: 3,400 cubic feet and 2,400 microfilm reels of manuscripts and records; 260,000 photographs. University of Oregon: 32,000 linear feet of manuscripts and records and 500,000 photographs. Oregon University System: 1,800 cubic feet of records. Center for Pacific Northwest Studies, Western Washington University: 3,000 linear feet of manuscripts. Pacific Lutheran University: 2,500 linear feet of manuscripts and records and 500,000 photographs. City of Portland: 5,000 cubic feet of records; 750,000 photographs. Seattle Museum of History & Industry: 1.5 million photographic images. University of Washington: 42,410 cubic feet of manuscripts and records; one million photographs, maps, architectural drawings, and microforms. Washington State Archives: 140,000 cubic feet of records. Washington State University: 15,500 linear feet of manuscripts and records and 500,000 photographs. Whitworth College: 550 linear feet of manuscripts and records.

[4] Gonzaga University: 850 patrons served on- and off-site in 2003. Idaho State Historical Society: approximately 8,000-10,000 on-site patrons and 4,000-5,000 off-site patrons per year. Montana Historical Society: 11,000 researchers served in 2003. University of Montana: 2,250 patrons served fiscal year 2003. Oregon Historical Society: approximately 6,000 on- and off-site patrons served (extrapolated from October 2003-March 2004 figures due to closure for building remodel). Oregon State University Archives: 1,460 researchers served (on- and off-site) during fiscal year 2003/04. University of Oregon: approximately 3,500 researchers served on- and off-site in fiscal year 2003/2004. Oregon University System: no statistics kept. Center for Pacific Northwest Studies, Western Washington University: 1,000 patrons served (on-site only) in 2003. Pacific Lutheran University: no statistics kept. City of Portland: 309 researchers served in 2003. Seattle Museum of History & Industry: 550 on-site and 2,350 off-site in 2003 (total of 2,900). University of Washington: 7,075 patrons served fiscal year 2003. Washington State Archives: no figures reported. Washington State University: 6,200 patrons served (on- and off-site) during calendar year 2003. Whitworth College: 150 patrons served in 2002-2003 school year.

three consumer desires. If archival collections, or at least the information about them, are not readily available on the web, they do not exist. The first phase of NWDA created a sub-set of archives in the Northwest with superior access to their collections. It is our ambition to eventually bring as many Northwest archives into the project as possible, to avoid widening a gap in access to information about archival collections.[5]

Most of the collections to be included in the project are already described at the folder, series or collection level through a variety of paper and electronic finding aids, registers, and inventories. During Phase I of this project, the National Historic Publications and Records Commission (NHPRC) funded a separate project, the Northwest Archives Processing Initiative. This $517,743 project at six of the participating institutions was designed to develop a regional finding aid standard and improve descriptions of 880 collections totaling 4,300 linear feet. That project is on the same timeline as the Phase I NWDA project, running July 1, 2002 to December 31, 2004. All of those finding aids will have been added to the NWDA database during that time period, in addition to the finding aids from those institutions that were part of the NEH-funded project. This phase will draw on and promulgate that finding aid standard by making it available to participating institutions and asking them to provide all mandatory information.

This project will take 1,300 finding aids (20,200 pages) from the seventeen participating institutions, send them to a vendor for conversion to EAD, and make them available over the World Wide Web through a fully searchable union database. Participants will encode a minimum of 300 additional finding aids in-house. Participants will create MARC records in their local and at least one national union catalog for collections that do not currently have them, with links from the 856 fields to the finding aids. By the end of Phase II, the NWDA database will be populated with a minimum of 3,800 finding aids, all with corresponding MARC records in local and national catalogs.

In preparation for and in the process of carrying out the project, professionals and paraprofessionals across the region will also receive the necessary training and experience in EAD encoding and administration to fully implement the EAD standard in their repositories. Thus, the project will build on the Phase I effort to offer integrated, consistent, and expanded online access to information on collections held by these institutions, and create a means for that expanded access to be offered to these and other collections after the project is complete.

The Northwest: A Region That Would Be Well-Served by a Union Database

Significant subject commonalities across the involved institutions make a union database of finding aids most sensible. In many ways, the separate collections at the different institutions already represent one massive collection that documents the political, cultural, and natural history of the bioregion. This project will continue to re-unite that collection.

The addition of these finding aids to a union database also offers essential means for connecting with similar holdings across the nation. Because most settlement in the West preceded the establishment of most archival repositories, and because capital in the region often arrived from (and remained in) the eastern U.S. or California, much archival material about the Northwest is held outside the geographic region. These larger, wealthier institutions, including the Bancroft

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[5] The NWDA plans to submit two additional grants in the next six months: one to the NHPRC to bring finding aid standards and processing assistance to medium-size and small institutions in the region that would also allow for their future participation in the NWDA consortium; and one to the Institute for Museum and Library Services for a region-wide digitization project.

Library at the University of California at Berkeley, the Huntington Library, and the Beinecke Library at Yale University, continue to have the funding to collect and offer state-of-the-art access to their holdings; most of these institutions have been pioneers in EAD development and encoding. Institutions in the Northwest have not had these abilities, so scholars sometimes tend to use materials outside of the region instead, leaving materials still in their original region of production unexamined. Helping these institutions offer access to these materials that are so closely tied to materials that already have EAD-encoded finding aids on the Web is essential to offer researchers full access to all materials related to their studies. In addition, researchers often miss valuable materials held by state and municipal archives, favoring the collections held by university research libraries. Many bibliographic access systems (i.e. library catalogs that also leave out state and municipal archives) exacerbate this problem.

For instance, most research access now depends on local library catalogs, union catalogs like OCLC, RLIN, or NUCMC, or institutional websites. All have certain advantages: library and union catalogs offer some access and allow discovery of archival collections alongside those of books, journals, and other library materials. Institutional websites can offer more detail with HTML finding aids. But discovery is often difficult, and HTML is not a sustainable data standard for finding aids; it is a publishing standard that is being displaced.

At this writing, the NWDA database is not yet accessible to researchers, so it is difficult to specifically document researcher reaction.[6] However, support for the project from the research community has already been notable. OCLC featured the Northwest Digital Archives project as a model of regional cooperation by OCLC during their presentation at the Winter 2004 meeting of the American Library Association in San Diego, CA. When the first phase of the NWDA project was presented at the joint meeting of the American Society for Environmental History/National Council for Public History in Victoria, BC, in April 2004, researchers in and outside the Northwest reacted with great excitement at the news of this new tool. Likewise, at the joint meeting of the Northwest Archivists and the Pacific Northwest Historians in April 2004, historians were eager to begin using the NWDA for their research. Many individuals have expressed support for the NWDA. See Appendix B for letters of support from members of the research, archives and library communities.

Other characteristics make working on the history of this region challenging for researchers. Vast geographic distances characterize these states; it takes as long to drive across Washington state, east to west, as it does to drive across much of New England. Researchers contend with these distances when they have to travel physically. Intellectual access online will bring together materials as much as 800 miles apart and across up to three major mountain passes.[7]

This four-state region is under-served in many ways, making it difficult for archives to offer complete access to their collections. There are few archives relative to population: Washington has 55, Oregon 35, Montana 22, and Idaho nineteen.[8] There are also relatively few fully-trained professionals to staff those archives; Montana, for instance, has only seven professional archivists in the state. Archival training is available at the University of Washington Information School and through the history department at Western Washington University, but the next closest

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[6] The database will be publicly available after July 15, 2004, at http://nwda.wsulibs.wsu.edu/.

[7] Traveling from the University of Oregon in Eugene to the Montana Historical Society in Helena and crossing Fourth of July, Lookout, and McDonald passes.

[8] Count is by institutions with available websites, listed in "Repositories of Primary Sources," http://www.uidaho.edu/special-collections/Other.Repositories.html.

graduate degree program is at the University of California, Los Angeles. Continuing education opportunities through the Society of American Archivists tend to be available primarily outside the region, and a dearth of institutional travel funds makes it extremely difficult for the professionals in the region to take advantage of those training opportunities. Northwest Archivists, the professional association for archivists in the four-state region and Alaska, offers a yearly meeting with workshops and other training opportunities, but with round-trip distances that can exceed 1800 miles, even these regional opportunities are relatively difficult for archivists in the region to access.

All four states, particularly the formerly wealthy states of Washington and Oregon, have suffered economically since the NEH funded Phase I of NWDA. Oregon has one of the highest unemployment rates in the nation (6.8% as of May 2004).[9] The Oregon Historical Society, which formerly received some state support, lost all of its state and local funding. Washington has lost a portion of its aerospace industry as Boeing, the region's giant airplane manufacturer, has slowed production; its economy overall is commonly described as "limping." Idaho, which recently had a greater share of its economy from manufacturing rather than agriculture, has suffered a severe economic downturn. The economic boom of the late 1990s never reached Montana, and the state is still reeling from the loss of natural resource extraction jobs over the last thirty years, compounded by power deregulation that has raised electricity prices and depressed an already-struggling mining industry. In 2002, the Montana Historical Society nearly closed its doors as the Legislature proposed a two-thirds cut in its budget. As part of these economic woes, all four states suffer from a notable lack of funding for higher education that has only worsened in recent years. Most library budgets have remained static despite rising costs for materials (particularly serials) and staff. And funding from public sources stands only to get worse given the presence of anti-tax activists in all four states.

This combination of small numbers of archives, small numbers of professional archivists, lack of readily-available training and continuing education, and a sagging economy that has deflated available capital in the region mean that archives and archivists in the region carry a heavy load of responsibility, and will lag behind the rest of the nation in offering state-of-the-art access to their collections without additional assistance. Phase I was an important beginning and an excellent investment in the region, but it is time to move from project to program: this is one of the primary goals of Phase II.

In addition, this phase of the project proposes to add two important elements to the work of Phase I: paid consortium staff and closer cooperation with the Online Archive of California. Consortium staff will provide administrative and technical support for consortium members. This will improve on Phase I, during which many consortium services (including most of the technical infrastructure) and all the administration was provided by institutions on cost share. This proved too heavy a burden for most institutions, which had great difficulty meeting the day-to-day demands of the project; budget cuts and staff reductions have made these types of cost sharing arrangements unfeasible for Phase II. In this phase, a paid Consortium Administrator will coordinate the work of the participating institutions, plan and lead project meetings, arrange training, assist participants in meeting production goals, and facilitate the day-to-day communication necessary for the smooth operation of the project. A technical support position will assist the Database Manager with supporting all aspects of the NWDA's technical

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[9] Bureau of Labor Statistics, U.S. Department of Labor website http://www.bls.gov/eag/. Also as of May 2004, Washington's rate was 6.1 percent.

infrastructure, particularly the Ixiasoft Textml search and retrieval software. Many of these technical services, including style sheet programming, had to be contracted out during Phase I and were not adequately planned.

The original goal of EAD was to build comprehensive access to archival collections beyond that which could be provided by paper catalogs and MARC catalog records. But until the standard was implemented by a large number of repositories, this expanded access was, in fact, only expanded access to a very few collections—usually those held by wealthy institutions that could afford early EAD implementation. The western United States already has two well-known EAD consortia in the OAC and the Online Archive of New Mexico. In April 2004, the NEH announced that it was funding two more large EAD projects: the Rocky Mountain Online Archive (RMOA) (which includes institutions in Colorado, New Mexico, and Wyoming, and which is modeled on the NWDA), and the Manuscript Access Project at the Denver Public Library. NWDA has had much contact with the OAC during Phase I; the two consortia will explore creating a union search interface and co-develop tools. At this writing, the NWDA and the OAC plan to meet with the RMOA, the Denver Public Library, and possibly other western U.S. EAD consortia at the Society of American Archivists meeting in August 2004 to explore ideas for cooperation with those projects. With NWDA's move to create an alliance with the OAC, this opens the possibility of expanded regional cooperation and a truly comprehensive search for researchers.

Participating Repositories

Each institution is indicated as being a new or continuing member.

Eastern Washington State Historical Society (new)
History and Audience: Founded in 1916, the Eastern Washington State Historical Society/Northwest Museum of Arts & Culture is designated a trustee of the State of Washington to maintain and preserve, for the use and benefit of the people of the state, those articles and properties which illustrate the history of the state (RCW 27.34). In an effort to coordinate in a non-duplicative way with the other two state historical societies, the MAC delineates as its purpose to collect, preserve, and interpret the cultural and natural history of eastern Washington and the Inland Northwest; and to collect, preserve, and make available to the public visual art of regional, national and international importance.

Collection Scope: The Joel E. Ferris Research Library and Archives houses over 10,000 monographic volumes, 1200 reel-to-reel films, 400 videocassettes, 950 oral histories and approximately 600 manuscripts. Dating from 1814 to the present, the manuscript collection includes diaries, ledgers, correspondence, scrapbooks and records of prominent individuals as well as materials from businesses, fraternal and other social organizations throughout the Inland Northwest region. Significant collections include Mae Arkwright Hutton, Carl Maxey, and Dr. Robert Ruby and Kirtland Cutter architectural drawings. The Research Library and Archives collection also holds over 200,000 photographic images including the Libby photo studio collection, and one of the premier collections of American Indian photographs in the United States.

Gonzaga University (new)
History and Audience: Archival collecting at Gonzaga University began in the 1920s and was an outgrowth of the historical research and writing efforts of Jesuit Father George Weibel. His primary focus was the missionary history of the Jesuit Order in the Pacific Northwest, with a

secondary interest in the history of Gonzaga University and the growth of Catholicism in Spokane. Collecting activities expanded in the 1930s and 1940s. In 1958, the collections were moved to the Crosby Library, and in 1992, the Archives moved into the newly constructed Foley Center. The current department administers both the Gonzaga University Archives and the Jesuit Oregon Province Archives.

Collection Scope: The collection includes 900 linear feet of manuscripts and archives that document the history of Gonzaga University, the role of Catholicism in the Northwest and Alaska, and Northwest history.

Idaho State Historical Society (new)
History and Audience: The Idaho State Historical Society dates to 1881, when a group of early settlers organized the Historical Society of Idaho Pioneers. In 1907, the ISHS was established as a state agency, today operating under the broader auspices of the State Board of Education. ISHS was empowered with state archives authority in 1947.

Collection Scope: The overall mission of the ISHS is to educate through the identification, preservation, and interpretation of Idaho's cultural heritage. The primary focus of the collection is Idaho and Pacific Northwest history, with a strong genealogy collection as well. The collection includes approximately 25,000 books and periodicals; 30,000 rolls of microfilm; 300,000 photographic images; 4,000 moving images; 5,000 cubic feet of manuscripts; 30,000 cubic feet of state archives; 32,000 maps and architectural drawings; and 3,000 oral history interviews.

Montana Historical Society (continuing)
History and Audience: Founded in 1865, the Montana Historical Society is one of the oldest historical organizations west of the Mississippi River. The Historical Society's archives were designated the official state archives in 1969. The MHS has one of the premier collections of archival and research materials on Montana and the west.

Collection Scope: The Society is well-known for its extensive collections of nineteenth-century manuscripts and photographs, and has one of only two major oral history collections in the state. Holdings total 20,000 linear feet of manuscripts and state records, 400,000 historic photographs, and 2000 oral history interviews. Particular strengths include nineteenth-century business history, mining, political history, the history of social and cultural organizations, pioneer diaries and reminiscences, women's experiences on the frontier, and military encounters.

University of Montana, K. Ross Toole Archives (continuing)
History and Audience: Founded in 1968 to serve the students and faculty of the University, the program has now grown so that it complements the mission of the Montana Historical Society to document the history of Montana. A full thirty percent of its users are the general public from across the nation and the state; an additional five percent of the researchers are from local, state, and national businesses. It is part of the Maureen and Mike Mansfield Library, the largest library in the state of Montana.

Collection Scope: The archives holds a collection that documents the twentieth century in western Montana. Particular subject strengths include the records of Montana senators and congressmen, business, journalists and writers, the forest products industry, and the university. Of these, particularly notable collections include the papers of U.S. Congressman, Senator, and ambassador to Japan Mike Mansfield. Holdings include 2,000 oral history interviews; over 70,000

photographs dating from the 1870s to the 1980s; over 500 manuscript collections (papers, ledgers, film, video, and artifacts) totaling approximately 11,600 linear feet; and some records of the university.

Oregon Historical Society (continuing)
History and Audience: Founded in 1898 and located in Portland's Downtown Cultural District, the OHS serves a wide and varied audience of the general public, scholars, and businesses. The OHS is a private, non-profit institution, its resources are held in trust for the State of Oregon, and it functions as the state historical society.

Collection Scope: The collections include 12,000 linear feet of manuscript materials, more than 2 million photographs, 8.5 million feet of moving images, and 10,000 oral history interviews. The photograph collection is one of the largest and most heavily used collections of historical photographs in the United States. Subject strengths across the collections include social and progressive movements, regional cultural history, economic and civic development, labor organization, immigration, architecture, regional art, agriculture, forestry and lumbering, railroads, Oregon politics and government, outdoor recreation, and Portland-area broadcast television. Because of Oregon's close commercial and tourism ties to Alaska, OHS also has many Alaska-related collections.

Oregon State University Archives (continuing)
History and Audience: Founded in 1961 as a department of the University Libraries, the OSU Archives makes records of the university and other materials available to the university community and the general public. The Valley Library, the primary component of the University Libraries, was *The Library Journal's* 1999 Library of the Year. Oregon State University is Oregon's land-grant, sea-grant and space-grant university and a member of the Oregon University System.

Collection Scope: The OSU Archives holds more than 2,500 cubic feet and 1,925 microfilm reels of university records; more than 300 manuscripts collections (875 cubic feet); 250 photograph collections (260,000 images); 5,600 motion picture reels and videotapes; and 200 oral history interviews. Significant subject strengths include agriculture, forestry, and wildlife conservation in Oregon and the region.

University of Oregon (continuing)
History and Audience: The Division is part of the University of Oregon Library, the largest library in the state of Oregon and the second largest in the Pacific Northwest. The University is the primary liberal arts campus in the Oregon University System.

Collection Scope: The Division of Special Collections holds over 20,000 linear feet of manuscripts, 500,000 photographic images, and 12,000 linear feet of university archives. The collections emphasize the political, social, economic, and literary history of the United States in the nineteenth and twentieth centuries. Special subject strengths include Oregon history, politics and culture; authors and illustrators of children's literature; the conservative and libertarian movement in the mid-twentieth century; popular literature, with an emphasis on western fiction and science fiction; feminism and the history of women in the U.S.; and missionaries to foreign countries, especially the Far East.

Oregon University System Chancellor's Office (new)
History and Audience: The Oregon State Board of Higher Education (OSBHE) has maintained responsibility for preserving records of its activities and those of the Chancellor's Office as mandated by the Oregon Legislature since 1929. Prior to 1988, the Board's archivist maintained the repository and reported to the Secretary of the Board. Upon her retirement in 1988, the OSSHE (Oregon State System of Higher Education) Records Management Services Department (RMS) was formally established and hired a professionally certified records manager/archivist responsible for the collection, maintenance, and disposition of the records of the Board and Chancellor's Office. In 2003, the department was reorganized, reporting to the OUS Chief Information Officer.

Collection Scope: The total collection size is approximately 1800 cubic feet. Approximately 350 cubic feet of the total are permanent archival records documenting the history of the Board and Chancellor's Office. Of those, approximately 75 cubic feet are records of the Board of Higher Education and the Boards of Regents of the Normal Schools that date back to 1911. The primary scope of the collection is the documentation of business and administrative operations of the OSBHE and central administrative offices of Oregon's system of higher education. Collection strengths include documentation of system governance, institutional collaborations, and historical events of the system.

Western Washington University, Center for Pacific Northwest Studies (continuing)
History and Audience: History and Audience: In 1971, a dedicated group of faculty at Western Washington University established the Center for Pacific Northwest Studies as an archives and research institute to foster interdisciplinary study of the region. The Center continues to expand upon that earlier vision through its mission to enhance public and scholarly understandings of the region's past and present through the management and expansion of its archival collections, the development of public programming, and the publication in print or electronic form of select material.

Collection Scope: In the development of its archival collections, the Center seeks those materials that represent significant developments in the region that stretches from Alaska to Northern California, from the Pacific to the Rockies, but the Center maintains a special focus on northwest interior Washington, the Olympic Peninsula, British Columbia, and Alaska. Most of the collections relate to northwest Washington, but a significant portion contains materials relevant to the Pacific Northwest (including British Columbia and Alaska) as well as to broader national issues. The Center's collections are especially strong in regional political and cultural history, and in the area of economic development reflecting late nineteenth and twentieth century extractive industries. While the collections cover Alaska to Oregon, Idaho, western Montana, and British Columbia, it is richest in the northern Puget Sound area, specifically Whatcom, Skagit, and Snohomish counties. Particular emphasis is given to the collection of materials that document economic development, cultural and social history, and historically relevant trends to the study of the Pacific Northwest. The Center's holdings include over 260 individual collections comprising approximately 3000 linear feet of material.

Pacific Lutheran University (continuing)
History and Audience: The University was established by Scandinavian Lutherans who were central to the settlement of the Pacific Northwest.

Collection Scope: The department holds the Scandinavian Immigrant Experience Collection, the Evangelical Lutheran Church in America Region I Archives, the Nisqually Plains local history collection, and the records of the University. These collections, which include a total of 2,500 linear feet of records and manuscripts and 500,000 photographs, document the social, cultural, political, and religious history of Scandinavian immigrants in the Northwest.

City of Portland Archives (new)
History and Audience: The City of Portland Archives and Records Management Program began in 1976 and expanded in 1977 with NHPRC funding. The present facility, the Stanley Parr Archives and Records Center (SPARC), opened in 1981. The Archives' users include city employees, local researchers and researchers outside of Portland.

Collection Scope: The SPARC historical collection dates back to 1850 and consists of records created by or for city government. The collection is approximately 5,000 cubic feet and encompasses records of all city bureaus, including: a full series of Council documentation (Ordinances, Resolutions, minutes and supporting records); elected officials; planning (Portland is well-known for its land use and community planning); Works Progress Administration projects for Portland; parks; fire bureau; and public works. There are over 750,000 images documenting the projects and administration of city agencies; many of which also document the changing community landscape.

Museum of History & Industry (Seattle) (new)
History and Audience: The Museum of History & Industry (MOHAI) was founded in 1913, and engages visitors in an understanding of the history of metropolitan Seattle and King County through collecting, preserving, and interpreting artifacts, documents, and photographs. The museum's Sophie Frye Bass Library plays a significant role as a research institution by providing access to 1.5 million historic photographs, as well as manuscripts and archival holdings, maps, books, posters, moving images, and ephemera.

Collection Scope: The scope of the library collections covers the greater Seattle metropolitan area and certain industries and economic activities of the Pacific Northwest region, including timber, transportation, mining, fishing, and agriculture. MOHAI holds 1.5 million historic images of the Seattle area.

University of Washington (continuing)
History and Audience: The University of Washington Libraries is the largest academic research library in the Northwest, serving one of the oldest and most outstanding institutions of higher education on the Pacific Coast. In 2004 the Libraries received the *Excellence in Academic Libraries* award from the Association of College and Research Libraries (ACRL). Users include UW faculty and students, scholarly researchers beyond campus, community and legal researchers, K-12 students, and the general public.

Collection Scope: Special Collections, formed when the Special Collections Division and the Manuscripts and University Archives Division merged in 1999, holds over one million books, microforms, photographs, architectural drawings, and maps, along with some 42,410 cubic feet of private papers, organizational records, and faculty and university records. The archival collections encompass a broad range of subjects, with particular emphasis on the papers of political figures, civic leaders, citizen activists, Northwest pioneers, business leaders, and faculty members, and records documenting the forest products and other natural resource-based industries, advocacy

groups, and ethnic and other special communities. Visual collections relate primarily to the history, geography, arts, and industries of the Pacific Northwest.

Washington State Archives (continuing)

History and Audience: The Washington State Archives, established in 1909, is part of the Division of Archives and Records Management under the Office of the Secretary of State. The Archives' charge is "to centralize the archives of the State of Washington, to make them available for reference and scholarship, and to ensure their proper preservation." The archival collections are held as a public trust for the citizens of Washington and are made available to researchers from throughout Washington and the world.

Collection Scope: The Archives administers a large body of state and local government materials dating from 1853 to the present. The collections shed light on many facets of the state's political, economic, environmental, social, and cultural history. The Archives' central theme is the history, organization, and functions of Washington State government and its impact on the lives of the state's inhabitants. Areas of common research interest (each including records of varied provenance) are genealogy, the court system, the environment, the legislative process, property, social services, and land use. The Archives' holdings are divided between state and local government:

- **Archives of state government** are collected and housed in Olympia, the state capitol. The collection includes over 40,000 cubic feet of records dating from 1853 to the present and documents the three branches of government. Significant record groups include the official papers of each governor (including Territorial governors); papers of other statewide elected officials; records of almost every cabinet agency, department, board, and commission; official records of the state legislature from the Territorial period to the present; legislative committee records; legislators' papers; all laws as passed and signed; and the records of the state supreme court.

- **Archives of local government** are collected through the division's five regional repositories, each of which centralizes material within a designated region of the state. Local records originate from counties, cities and towns, school districts, community colleges, and any other special-purpose government district or entity. The combined local government collections total over 100,000 cubic feet of material, including vital records, land titles, property tax records, commissioners' records, law enforcement and court case files, public power records, and hundreds of other collections documenting the history of local government**.**

Washington State University (continuing)

History and Audience: In 1977 the Washington State University Libraries created Manuscripts, Archives and Special Collections (MASC) by combining two separate "Special Collections:" the Manuscripts-Archives Department, founded in 1955, and the Humanities Special Collections, developed in the early 1960s. MASC's resources have always been used by traditional academic scholars, students, and genealogists working on-site; today a vast cross section of people access the collections remotely, having located information on the MASC web site. This shift has greatly raised the visibility of MASC collections and services and, at the same time, increased the demand and expectations for manuscript and visual materials. In 2003, MASC had 2,200 on site visitors and roughly 4,000 email inquiries.

Collection Scope: Washington State University is one of two research Universities in the state of Washington and is the state's land-grant institution. Manuscripts, Archives and Special Collections (MASC) is the unit in Washington State University's Holland Library that is primarily responsible for acquiring, administering, and preserving millions of non-circulating items, many of which are rare and unique. Collections consist of records and documents of historical value, including manuscripts, photographs, audio and video tapes, films, printed and published materials (book, maps, broadsides, ephemera, etc.). The University Archives includes records from 1892 through the present and serves as the collective memory of the university. As of 2003, MASC held approximately 15,500 linear feet of primary source materials, more than 500,000 photographs, and some 40,000 printed items. Collection strengths include papers relating to regional Native American tribes, Political Papers including those of Thomas Foley, Northwest Publishing, 20th Century Music, Regional Historical Photographs, and the University Archives.

Whitworth College (continuing)
History and Audience: Whitworth College was established in 1890, and the college archives contains all relevant publications and records documenting the College's history from its founding to the present. In 1999, a new collection was begun to chronicle the history of Protestantism in the Pacific Northwest. Students and faculty, as well as various campus departments, use the archives for research and to locate information about the College. The Protestant collection is mainly used by outside researchers and members of churches whose records are housed there.

Collection Scope: Collections include the General Collection, which consists of 200 linear feet of materials documenting the history of the College, back to college founder George Whitworth's Oregon Trail diaries; and the Pacific Northwest Protestant Collection, which consists of 150 linear feet of materials that document the history of Northwest Protestantism.

II. History, Accomplishments and Goals of the NWDA

The concept of a Northwest regional union database of EAD finding aids had its beginnings at the Northwest Archivists (NWA) meeting in Bellingham, Washington, in May 2000. Several NWA members attended the Society of American Archivists' EAD workshop offered at the meeting, and informal discussions about a database ensued. In late January 2001 representatives from several interested institutions – including colleges and universities, historical societies, and municipal archives -- met at the Online Northwest meeting in Portland to discuss the efficacy of a multi-institutional EAD database in the Northwest. At this meeting the name Northwest Digital Archives (NWDA) was selected and the decision was made to seek initial funding from the National Endowment for the Humanities.

A proposal writing team was formed from representatives of several of the interested institutions, and over the next few months the proposal submitted to NEH began to take shape. Oregon State University (OSU) offered to be the lead institution on the project, with Washington State University providing the major technical support. In all, fifteen repositories at thirteen institutions in Washington, Oregon, Idaho and Montana agreed to participate in the project. Concurrent to the proposal development, the OSU Libraries hosted the SAA EAD workshop in March 2001, and Washington State University developed a preliminary website to promote the consortium and disseminate information to all participating institutions. After review by NEH of a proposal draft and subsequent revisions, the final proposal was submitted to NEH in late June 2001. In late March of 2002, OSU received notification from NEH that its proposal would be funded pending

adjustments to the budget and work plan. The proposal team made the adjustments and the project was formally approved by NEH on June 13, 2002.

Because the project as initially envisioned was beyond NEH funding limits, six institutions needing improvements to their finding aids developed a companion project, the Northwest Archives Processing Initiative. The National Historic Publications and Records Commission funded this project, and it began in July 2002.

The NWDA project began on July 1, 2002. After devoting July and August to administrative matters, such as developing the subcontracts between OSU and the other institutions, the project began in earnest in September. In May 2003 NEH granted the project a six-month extension (through December 2004), in part to accommodate the late release of EAD 2002. Major accomplishments by category:

•**Project meetings** -- The implementation team met with Robin Chandler of the Online Archive of California in April 2002, before the project formally started. Project directors also met in Sacramento (April 2003), Pullman, WA (November 2003) and Olympia, WA (May 2004).

•**Training** -- SAA EAD workshop at the University of Washington in September 2002; 14 attendees from 7 NWDA institutions participated in the workshop.

•**Formation of working groups** -- Fall 2002 best practices, data conversion, search interface, Web interface, compliance, usability testing and dissemination.

•**NWDA Web site** – Site redesigned in late 2002 again in July 2004.

•**Best practices -- V**ersion 1.0 adopted January 2003 and version 2.0 in January 2004. Completion of a compliance review of sample finding aids from most institutions, March 2004.

•**Encoding of finding aids and MARC records --** Data conversion contract developed with ArchProteus of Vancouver, B.C., in June 2003. ArchProteus was selected through a competitive/open bid process. Conversion of 700 finding aids was completed by ArchProteus in December 2003. Completion of most MARC records to collections in the database at the present time.

•**Database** -- Sample encoded finding aids submitted to WSU for testing of search and retrieval software packages. In May 2003, the consortium agreed to purchase Ixiaoft's Textml search and retrieval software. Developmental database site launched during fall 2003. Submission of 1,152 completed finding aids to the database (as of 7/12/04). These include finding aids encoded in-house by institutions and by the data conversion service. See http://nwda-db.wsulibs.wsu.edu/search/index.asp.

•**Style sheets** -- Development of style sheets began in spring 2003. Style sheets were completed in June 2004 by a contract programmer.

•**Dissemination** -- The NWDA has been successful at promoting the database at several meetings to a broad cross section of librarians, archivists, other information technology professionals, historians, and other potential users. Meetings at which presentations were made or information distributed have included the Oregon Library Association (April 2003 & April 2004); Pacific

Northwest Historians (April 2003); Northwest Archivists/Society of California Archivists (April 2003); Association of Records Managers and Administrators – Oregon Chapter (October 2003); NWA/Pacific Northwest Historians (May 2004); Online Northwest (February 2004); and the National Council on Public History/American Society for Environmental History joint meeting (March 2004). The NWDA will be represented on a panel discussion about data conversion contractors at the 2004 Society of American Archivists meeting in Boston in August, and will have an information booth at the Western History Association Meeting in Las Vegas in October 2004 and the Western Literature Association Meeting in Big Sky, MT, in October 2004.

Apart from the goals listed above, the NWDA has had far-reaching impacts on its member institutions as well as the archival community generally. First and foremost is the standardization that EAD has brought to the wide range of descriptive practices in the Northwest. It has also provided an opportunity for repositories with robust, but paper-based, finding aids to convert them in a structured environment to a form that enhances access. All NWDA institutions have a broader and deeper understanding of the collections held by the other consortium members, facilitating researcher assistance even before the database is publicly available. One of the NWDA project directors succinctly stated that being part of the NWDA database "links our collections logically to a larger collection of related material from throughout the greater northwest. This will only enhance research into our collection and others."[10]

To date we have accomplished most of the goals set forth in the initial proposal, and are confident that the remaining goals will be achieved by the completion of the current grant on December 30, 2004.

In achieving the goals above, there have been a number of lessons learned and "teachable moments" during the initial phase of the NWDA:

•In order to provide the NWDA consortium director and the consortium manager with additional management support, the NWDA project directors agreed to form an executive committee in September 2003. The Executive Committee includes five institutional project directors and the consortium director and manager as ex-officio. One of the project directors was elected to serve as the Executive Committee chair. This model has been very successful in providing the NWDA with management support and getting major decisions made in a timely and efficient manner. However, the amount of administrative work to be done and the challenge of keeping all participants on track is beyond what can reasonably be done on cost share.

•Completion of the style sheets was considerably more involved and difficult than expected. Development of the style sheets began with a working group but quickly became the responsibility of a programmer at one of the member institutions. After the programmer had done as much as she could, the Executive Committee decided to have an outside contractor complete the style sheets. Uncommitted grant funds were identified to pay for this service. This portion of the project suffered because of unclear expectations from project directors and technical difficulties; it was not suited to a working group.

•Revising the best practices during fall 2003 resulted in many institutions needing to make changes to completed finding aids. NWDA participants at WSU, OSU and the University of

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[10] E-mail message from Tony Kurtz, Washington State Archives, to NWDA consortium director Larry Landis, 25 May 2004.

Washington developed scripts to make global changes to finding aids to bring them in compliance with the revised best practices. This might have been avoided by having an additional face-to-face meeting after the working group's initial meeting.

•Project directors' conference calls, although a cost effective means of communication, were not a particularly effective means of communication among this large group or a substitute for face to face meeting time. During the second year of the Phase I, the project directors decided to meet as a group in person in the fall of 2003 and 2004, in addition to the scheduled meetings at the Northwest Archivists conferences in the spring. Remaining travel funds support attendance at these meetings. All but one institution was represented at the fall 2003 meeting in Pullman, Washington; much was accomplished in one and a half days, making the meeting a success and worth the investment in travel funds.

Project Goals for Phase II
- Build on the knowledge, skills, and investment in the region from the Phase I project by continuing to develop the Northwest Digital Archives regional union database of EAD finding aids to archival and manuscript collections held by twenty-one institutions in Idaho, Montana, Oregon, and Washington by adding seven new institutions, adding a minimum of 1,600 finding aids, and enhancing the technical and administrative capabilities of the consortium.
- Build on the knowledge and experience gained in Phase I to continually improve the quality and usability of the NWDA finding aids database, and the efficiency with which new and legacy finding aids are encoded and submitted.
- Refine and revise best practices adopted in Phase I, taking into account the soon to be published *Describing Archives: A Content Standard* (replacing *Archives, Personal Papers, and Manuscripts)* and other emerging standards.
- Provide training for project participants as needed in EAD encoding, XML style sheets, and use of consortium tools.
- Provide travel funds for project participants to meet in person regularly, facilitating good communication and effective working relationships in a geographically dispersed region.
- Build on current administrative structure to include institutional mentoring for new and continuing partners.
- Using an outside vendor, encode 1,300 finding aids (approximately 20,300 pages) to regionally significant collections following the Encoded Archival Descriptive Document Type Definition (DTD) version 2.0 and NWDA best practices.
- Provide members with a suite of tools: those for reviewing vendor-encoded finding aids, a template for in-house encoding (compliant with the NWDA's best practices), a web-based template for smaller collections, an automated compliance checker co-developed with the Online Archive of California, and other tools developed by consortium members that can be shared and adapted.
- Add a minimum of 1,600 new finding aids to the union database.
- Work with the Online Archive of California and other consortia to explore the technical and resource requirements for sharing EAD documents and developing a union search interface across consortia.
- Ensure that all collections have a USMARC collection-level catalog record in local on-line catalogs and at least one of the national union catalogs. The USMARC collection-level records will contain hypertext links to their finding aids from the USMARC 856 field whenever possible.

- Assess and evaluate the effectiveness of the NWDA for users; provide training on use of the NWDA to researchers within and outside the region through conference presentations and development of teaching materials for a variety of user groups.
- Continue developing a long-term strategy for ongoing support and growth of the NWDA through addition of finding aids, addition of new partner institutions, and an alliance with the Online Archive of California.

III. Methodology and Standards

Encoding
In its first grant request to the NEH, the NWDA proposed to encode finding aids for a union database using the Encoded Archival Description (EAD) Document Type Definition version 1.0. By the time the project got underway in the late summer of 2002, however, EAD version 2002 was a few months from being released, and the *Encoded Archival Description Tag Library, Version 2002* was available on the EAD Web site at the Library of Congress (http://lcweb.loc.gov/ead/tglib/). Only the University of Washington Libraries had encoded finding aids in EAD version 1 (for a local pilot project begun in 2001), so the consortium elected to adopt the 2002 version of the standard in order to avoid the need for later conversion. After customizing an early version of the conversion style sheet developed by Daniel Pitti and Michael Fox (forwarded to the university by Michael Fox), the University of Washington converted its finding aids to EAD version 2002 in early 2004. All finding aids submitted to the NWDA database to date, then, conform to the 2002 version of EAD.

Fourteen consortium participants from seven NWDA institutions attended an EAD workshop, offered by the Society of American Archivists and taught by EAD experts Michael Fox and Kris Kiesling, at the University of Washington in early September, 2002. During the following month, the NWDA Best Practice Working Group (NWDA BPG) met at Washington State University for two days to develop the *Northwest Digital Archives Best Practice Guidelines for Encoded Archival Description (EAD) (NWDA BPG)*. These guidelines, based on the *Encoded Archival Description Tag Library, Version 2002* (Chicago, Society of American Archivists, 2002), the *RLG Best Practice Guidelines for Encoded Archival Description* (Mountain View, Calif., Research Libraries Group, 2002), and the previous encoding experience of consortium members, were approved by the NWDA project directors in January 2003 and posted to the consortium Web site. Because most participants had purchased XMetaL XML authoring software for creating EAD finding aids, an NWDA BPG-compliant encoding template, along with installation and customization instructions, were also made available on the Web site's "Tools for Members" pages.

Several modifications were made to the NWDA BPG in May 2003. It was this slightly modified version of the guidelines that informed the work of ArchProteus, the vendor selected to encode approximately 11,900 legacy finding aid pages to EAD format for the consortium in the summer of 2003. The seven institutions participating in the outsourcing component of the project were enormously pleased with the encoding contributed by ArchProteus.

Major revisions to the NWDA BPG were considered and approved during a meeting of the NWDA project directors, administrative staff, and project consultant from the Online Archive of California (OAC), Adrian Turner, in November 2003. These revisions, along with guidance provided by Michael Fox of the Minnesota Historical Society and some of the practices reflected in the *OAC Best Practice Guidelines for Encoded Archival Description, Version 2.0* (2003),

resulted in the current version of the NWDA BPG
(http://nwda.wsulibs.wsu.edu/NWDABestPracticesRevJan20043.pdf).

The current NWDA BPG reflects the desire of consortium participants to maintain a
decentralized approach to the creation of finding aids from a wide variety of repositories spread
across the Northwest while still complying with accepted American and international encoding
standards, insuring a basic level of uniformity and consistency in encoding practice, promoting
interoperability among finding aids from diverse repositories, and facilitating access to content by
end users of the consortial database. Mandatory elements include finding aid ID number;
repository name, address, and Library of Congress code; date published; collection creator;
collection title and number; span dates; quantity; abstract; language(s) represented;
biographical/historical note (mandatory if applicable); scope and content note; controlled access
headings (such as name and subject headings); browsing terms taken from a list created and
maintained by the consortium; and a container list that includes contents and dates of materials.

Over the past several years, NWDA members have become active participants in discussions
about EAD and descriptive standards on the EAD and ARCHIVES e-lists. We have asked
advanced questions about the use of certain elements and attributes (for example, on the use of
MARC 545 indicator codes in the ENCODINGANALOG attribute in <bioghist> to distinguish a
biographical note from an organizational history note). In the spring of 2004, an NWDA
Executive Committee member made a case for the ease of implementing EAD and the benefits of
using it to the ARCHIVES e-list; that email message generated praise for its clarity and
usefulness, and private thank-you messages from list members[11]). In May 2004, members of the
NWDA Best Practice Working Group submitted substantive comments to the authors
(specifically, Kris Kiesling) of the first draft of *Describing Archives: A Content Standard*
(DACS), which is intended to replace APPM and serve as the primary descriptive standard for
both archival finding aids and catalog records.

During the next phase of the project, administrative staff, project directors, and the members of
the Best Practice Working Group will continue to monitor developments in encoding practice,
communicate with the EAD Working Group regarding improvements to the EAD DTD (soon to
be an XML schema), and consult with experts such as our partners in the OAC and our original
instructors and consultants in the EAD Working Group and on the EAD discussion list, to
maintain the highest standards and most current practices in archival description and encoding.

Cataloging
In order to enhance accessibility of the finding aids created during the next round of the NWDA
encoded finding aids project, participants will continue the Phase I practice of preparing
AACR2/USMARC catalog records and contributing them to national-level union databases and
local online public catalogs. Each participating institution will create or revise a MARC catalog
record for each collection described in an EAD-encoded finding aid. Catalogers will comply with
accepted U.S. description and indexing standards: *Archives, Personal Papers, and Manuscripts*
(APPM 2nd ed.)[12]; *Graphic Materials* (2002 rev., for visual materials collections); the *Oral
History Cataloging Manual* (1995, for oral history collections); *Archival Moving Image Materials*
(AMIM, 2nd ed., for archival moving image collections); the *Anglo-American Cataloguing Rules*

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[11] M. Maguire, "EAD Benefits," ARCHIVES listserv, May 20, 2004.

[12] The NWDA is aware of the impending publication of a new standard intended to replace APPM, entitled
Describing Archives: A Content Standard. If the standard is published as planned in 2004 and accepted by
the U.S. archival community, the NWDA will adopt it.

(AACR2 2nd ed., for providing access points and formulating name and title headings); the *Subject Cataloging Manual* and LC Subject Headings, and as appropriate the *Thesaurus for Graphic Materials* and *Art & Architecture Thesaurus* (for subject indexing); and *MARC 21 for Bibliographic Data* (for representing and exchanging bibliographic data).

As in the first phase of the project, USMARC collection-level catalog records will be available in the participating repositories' local online catalogs and/or national bibliographic utilities (OCLC WorldCat, the RLG Union Database, the National Union Catalog of Manuscript Collections--NUCMC), depending on individual institutional requirements and memberships. The records will contain hypertext links to their related finding aids from the USMARC 856 field.

Delivery of Finding Aids
Ixiasoft Textml is employed as the search and retrieval system for the Northwest Digital Archives project. The public search and retrieval site, currently still under development, can be accessed from URL http://nwda-db.wsulibs.wsu.edu/. Textml is a native XML solution, which offers several important advantages. In Textml, the XML document is stored in the database so that all document relationships and information (e.g., relationships between elements and attributes, processing instructions) are preserved. Additionally, a XML-specific query language is employed with Textml, which enables queries that support the hierarchical nature of XML.

In the first phase of the Northwest Digital Archives grant, several search and retrieval systems were evaluated, leading to the selection of Textml. A search and retrieval interface for the NWDA project has been locally developed, based upon a set of generic VBScript/ASP code provided by Ixiasoft. The search and retrieval application supports the server-side transformation of XML documents. Documents are transmitted to the client as HTML. Multiple document views are available, including a view showing hit words in the context of the finding aid and a complete document view (with search terms highlighted in the finding aid). Digital objects, such as image files, have also been successfully integrated within the database. Currently, all finding aid documents are processed upon request using the MSXML3 parser. During the coming months, the viability of preprocessing documents, in order to improve delivery, will be tested. A WebDAV application created by Ixiasoft has been installed and tested enabling a URL to be designated for access to the document within the Textml database. Participating institutions will use this URL in their MARC records to link to specific EAD encoded finding aids via the 856 field or in other contexts where direct linking is desirable.

In this proposed second phase of the Northwest Digital Archives, additional work can be performed on the search and retrieval application. Currently, the application uses classic ASP, running on a Windows 2003 and IIS 6. Migrating the search and retrieval application to .NET will result in improved performance and better sustainability. Ixiasoft has provided a foundation of VB.NET code to support the migration to .NET, but significant local development is required as well, to customize the interface for EAD DTD documents. Improved search/retrieval/presentation features suggested by NWDA members will be incorporated over time. Additionally, development work will be performed to integrate the documents contained in the Textml document base with other information sources. In effect, the WebDAV software implemented under the first NWDA grant accomplishes this by exposing Textml database documents, making it appear as if the documents reside in a web-accessible folder. Methods of disseminating information on NWDA EAD DTD documents, including the use of the Open Archives Initiative-Protocol for Metadata Harvesting (OAI-PMH), will be investigated for application to this project. Washington State University Libraries has already successfully

participated in sharing its digital collections with Dublin Core metadata through several OAI sites including the UIUC Cultural Heritage Repository, the University of Michigan's Digital Library OAIster, and DEF (Denmark's Electronic Research Library) Eprints.

IV. Plan of Work

The Northwest Digital Archives (NWDA) is moving toward a more centralized organization in Phase II, although most of the work will continue to be done by the participating institutions. The role of the lead institution (Oregon State University) and the Consortium Administrator will be to coordinate the work of the participating institutions and facilitate communication among them. This plan of work describes the general progression of the project. Detailed work plans for the participating institutions are included in Appendix A.

The project will proceed in several stages during the approximate time periods shown. All stages, once begun, will extend until this two-year project ends and beyond for the continuing operation of the Northwest Digital Archives.

During Phase I of the NWDA, a website was established at Washington State University (http://nwda.wsulibs.wsu.edu) to provide information about the project and serve as a development site for project information, communication, and test-searching finding aids. This will also became the locus for the public search site in July 2004.

Stage I – Preparation (6 months); July 2005 – December 2005
During stage I the foundation will be laid in the following ways for the primary work of the project to begin:
- Hire consortium staff (administrator, technical support).
- Purchase XMetaL software for new consortium members.
- Executive Committee begins intensive conversations with the Online Archive of California to develop plan for search interface and co-development of tools.
- The first meeting the project directors from the participating institution will take place in either Pullman or Corvallis in September 2005. At that time working groups will be established and any updates to the NWDA's Best Practices Guide will be discussed. The NWDA Advisory Board will also be invited to this meeting to begin working with the NWDA leadership on governance, funding, and sustainability issues.
- Refine and revise NWDA's Best Practices Guide, taking into account *Archives: A Content Standard* (DACS) (which will supercede *Archives, Personal Papers, and Manuscripts*) and other emerging standards. These guidelines will be completed by December 31, 2005.
- Provide EAD training to any project directors or staff at participating institutions who have not previously completed the SAA EAD workshop. In addition to providing the knowledge necessary for EAD encoding of finding aids, this training will provide new consortium participants with the tools necessary for the detailed review of vendor encoded finding aids. New participants will also receive an introduction to the consortium and its established guidelines.
- Provide XML style sheets training to one staff person from each participating institution that has not previously completed the SAA XML style sheets workshop. This training will provide the consortium with a strong base of expertise necessary to modify its style sheets. Style sheets knowledge can also be applied to presentation of an institution's finding aids locally.

- Revise administrative and communications structure, based on the structure developed in the first stage of this project, to foster institutional mentoring for new and continuing partners.
- Based on revised Best Practices, develop consortium tools: means for reviewing vendor-encoded finding aids, a template for in-house encoding, a web-based template for encoding smaller collections, an automated compliance checker. Also, any other tools developed by consortium members will be shared and adapted.

Stage II – Encoding Finding Aids and Preparation of Catalog Records (24 months); July 2005 – June 2007

During stage II the primary tasks of the project will occur. This stage will continue throughout the duration of the project, with the bulk of the encoding and preparation of catalog records completed by December 2006.

- Participating institutions will ensure that finding aids are updated and complete and will prepare them for submission to the conversion service.
- Prepare RFP for vendor encoding and select vendor.
- Finding aids to be encoded by the conversion service will be sent to the vendor.
- Participating institutions that are encoding finding aids in-house or that are exporting EAD finding aids from other database systems will begin that process.
- Staff at participating institutions will create USMARC collection-level catalog records, with each repository monitoring quality of the records through their own cataloging staff. The USMARC collection-level records will contain hypertext links to their finding aids from the USMARC 856 field, or through other appropriate means.

Stage III – Refinement of Finding Aids Database and Development of Online Tools (12 months); January 2006 – December 2006

- Develop a union search interface with the Online Archive of California and enhance search capabilities in accord with usability testing and contacts with user groups.
- Finding aids encoded by the conversion service will be reviewed by participating institutions and submitted to NWDA for inclusion in the database.
- Two project directors' meetings will take place during this stage, in the spring and fall of 2006.

Stage IV – Dissemination (24 months); July 2005– June 2007

- Assess and evaluate the effectiveness of the NWDA for users; provide training on use of the NWDA to researchers within and outside the region through conference presentations and development of teaching materials for a variety of user groups.
- Develop a dissemination strategy and commitments from project directors and others to participate in it.
- Develop promotional and educational materials about the NWDA.
- Participating institutions (singly or in teams) will host information and training sessions for users as well as other archivists and librarians throughout their areas of service.
- Participating institutions (singly or in teams) will participate in appropriate regional conference as presenters or in display areas to advertise the availability of the database.

Stage V – Review and Assessment (12 months); July 2006 – June 2007

- Review and assessment of the NWDA finding aids database will begin initially with feedback from the institutions that are contributing finding aids. Modifications and improvements will be made throughout the project.
- Work with consultant to develop ongoing business operations and sustainability plan.
- Usability testing.
- The fourth meeting of the project directors will take place in the spring of 2007.

Stage VI – Continuing Operations – beginning in July 2005
By June 30, 2007, the project will have set in place the necessary infrastructure in order that: 1) participating institutions can continue to submit EAD finding aids to the NWDA finding aids database as a standard operating activity and 2) the NWDA can be expanded to include other, smaller repositories of primary resources in the four-state region. This will be accomplished by working with the NWDA Advisory Board and a consultant who will assist with developing a long-term business plan for the NWDA.

The primary responsibility of the NWDA Advisory Board will be to monitor the continued development of the NWDA with the purpose of establishing avenues and mechanisms for the continued operation and sustainability of the consortium, including the development of an alliance with the Online Archives of California. The Advisory Board will meet with the project directors at their fall 2005 and fall 2006 meetings.

Additionally, the NWDA will work with a consultant from an organization such as OCLC to develop a business and sustainability plan for the ongoing operation of the consortium. The consultant will meet with the project directors at their spring and fall 2006 meetings to develop the plan.

Preliminary discussions have begun with the Washington State Archives for the long-term housing and maintenance of the NWDA database at its Digital Archives branch. This branch, located in Cheney, Washington, will be one of the first state government digital archives in the United States.[13]

V. Organizational Structure and Staffing

The Northwest Digital Archives is organized and staffed to make best use of the geographically dispersed archival expertise in Oregon, Washington, Montana, and Idaho and to continue developing skills and expertise in development, analysis, encoding, and presentation of finding aids in an on-going manner.

The project will continue be managed by the Oregon State University Libraries, in accordance with all applicable federal and university guidelines. Oregon State University and Washington State University will commit staff resources, supplemented by support from NEH, to direct the project, coordinate the participating institutions, and provide technical support at the consortium level. All participating institutions are likewise committing significant staff resources to implement the project. Most of the project directors from the current NWDA institutions participating in this project were involved in phase I. The new participating institutions have each identified a project director who is experienced and knowledgeable in archival and manuscript

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[13] For additional information on the Washington State Archives' Digital Archives branch, visit http://www.secstate.wa.gov/archives/archives_digital.aspx.

processing, cataloging, and automation. Many of the institutions have experience in carrying out successful grant projects.

All of the project directors and many other staff of the current member institutions have taken the Society of American Archivists' EAD workshop. Staff from several of the current institutions will have taken the SAA Style Sheets workshop by the start of the project on July 1, 2005.

Detailed responsibilities of key personnel are:

Principal Investigator and Consortium Director: Lawrence A. Landis (Oregon State University) will provide administrative oversight of the project, will coordinate its activities at the policy level with the other participating institutions' administrators, and will represent the project to national bodies such as the Society of American Archivists, the Western History Association, the Organization of American Historians, and the American Historical Association. The Consortium Director is a member of the project directors' group and an ex-officio member of the Executive Committee. He will be responsible for the project's financial and narrative reports and will play a lead role in disseminating information about the Northwest Digital Archives to the archival and user communities. He will devote an average of 2 hours per week to these responsibilities.

Consortium Administrator: [TBD] This position will coordinate the work of the participating institutions, particularly with the submission of finding aids to the data conversion contractor and the submission of the encoded finding aids to Washington State University for inclusion in the database. The Consortium Administrator will coordinate the scheduling of workshops and other training opportunities for consortium members and play a lead role with the Consortium Director in implementing procedure and policy decisions made by the Executive Committee, coordinating dissemination activities, and compiling reports. The Consortium Administrator will assure that participants devote sufficient resources to successfully complete the project and in consultation with the participating institutions will develop benchmarks to ensure that project commitments are made on time and within budget. The position will monitor production goals of the project. The Consortium Administrator is an ex-officio member of and chair of the Executive Committee. This position will require 16 hours per week to fulfill these responsibilities. It is anticipated that this position will be filled from within the NWDA consortium. A well-qualified individual from Phase I is available for this position. See Appendix C for a proposed job description.

Database Manager: Al Cornish will configure and maintain the project's technical infrastructure at Washington State University. He will receive encoded finding aids from all participants and electronically publish, load, and index the finding aids. He will provide technical EAD-related support to project participants. In collaboration with the Consortium Administrator, Mr. Cornish will monitor the project's production goals to ensure the project work is completed on time. He will supervise other technical support personnel at WSU who are involved with the project. He will devote an average of 10 hours per week to the project.

Technical Assistant: [TBD] This position will assist the Database Manager with supporting all aspects of the NWDA's technical infrastructure, particularly the Ixiasoft Textml Applications Programming Interface (API); the existing web search/retrieval/display interface; and development of a web interface for Textml using ASP.NET. This position will also **i**nvestigate XML processing options for EAD DTD finding aid documents; work with the Textml Administration Console interface to add and remove documents from the database and to build

search queries; perform basic scripting tasks for XML files; perform basic HTML page editing and file maintenance for the project web site; and perform basic editing of project Encoded Archival Description DTD EAD files. This position will devote 10 hours a week to the project. See Appendix C for a proposed job description.

Consultants: Several archivists involved with the Online Archive of California will continue their consulting roles from Phase I. They include Robin Chandler, Adrian Turner, and William Landis. Resumes of the OAC consultants follow the appendices at the end of this proposal.

The NWDA also will work with a consultant from an organization such as OCLC to develop a business and sustainability plan for the ongoing operation of the consortium. A sample proposal, budget, and consultant resume from the OCLC Western Service Center follow the appendices at the end of this proposal.

Other Consortium-Level Support:
Trevor Bond (Washington State University) will continue serving as the liaison between the database manager and the participating institutions. He will work closely with the database manager and technical assistant in enhancing and evaluating the functionality of the database, particularly the search engines. He will devote an average of two hours per week to these functions.
Mary Caughey (Oregon State University) will continue with the ongoing development of the NWDA Web site, usability testing and various dissemination activities. She will devote an average of two hours per week to the project.
Lawrence Stark (Washington State University) will continue in his role as leader of the compliance working group – ensuring that encoded finding aids submitted by the institutions are in keeping with the standards and best practices developed by the consortium. He will average two hours per week to this activity.

Participating Institutions Project Directors: The following individuals are serving as project directors for the institutions participating in this project:

Eastern Washington State Historical Society	Rose Sliger Krause
Gonzaga University	David Kingma
Idaho State Historical Society	Linda Morton-Keithley
Montana Historical Society	Molly Kruckenberg
University of Montana	Donna McCrea
Oregon Historical Society	Sharon Howe & Geoff Wexler
Oregon State University	Lawrence A. Landis
University of Oregon	James Fox
Oregon University System	Jim Mullen
Center for Pacific Northwest Studies	Elizabeth Joffrion
Pacific Lutheran University	Kerstin Ringdahl
City of Portland Archives	Diana Banning
Seattle Museum of History & Industry	Carolyn Marr
University of Washington	Marsha Maguire
Washington State Archives	Tony Kurtz
Washington State University	Trevor Bond
Whitworth College	Janet Hauck

For resumes of project directors at the participating institutions, see Appendix A. Project directors will monitor workflow at the individual institutions to ensure that the institution's commitments are made on time and within budget, coordinate with the Database Manager at Washington State University for submission of encoded finding aids, and coordinate with the Consortium Director and Administrator on the submission of reports, travel requests and other administrative matters.

As a group, the project directors from each of the participating institutions will work with the Consortium Director, Consortium Administrator and the Database Manager to develop standards, procedures, and benchmarks for project progress and assessment and coordinate dissemination activities. Project directors will prepare and submit narrative and statistical reports to the Consortium Administrator as requested. Project directors will participate in dissemination to the archival and user communities in their state. Project directors will devote an average of 2-15 hours per week to the project depending on the degree of the involvement of the institution in the project.

Executive Committee: The Executive Committee consists of a select group of project directors that make procedural and policy level decisions based upon input from the full project directors group. It also assists the Consortium Director and the Consortium Administrator in administrative matters as needed. The members are selected to represent the geographic regions in the Northwest as well as the variety of institutions in the consortium – large state universities, small colleges and universities, historical societies and museums, and state and local governments.

Advisory Board: The role of the Advisory Board in Phase I was to monitor development of the NWDA in order to establish means for the continued operation and sustainability of the consortium. The Advisory Board will continue this role but will work more closely with the consortium. A list of the proposed Advisory Board members follows the appendices at the end of this proposal.

VI. Dissemination

Northwest Digital Archives phase II will build on and extend the dissemination activities of Northwest Digital Archives phase I. The consortium will design and produce promotional and educational materials for use by its members as individuals and institutions in disseminating information about NWDA and in training user groups. Design of these materials will be coordinated with design of the home page and user interface.

The consortium's dissemination working group will analyze feedback received during NWDA phase I dissemination activities and user group testing to identify potential users, as a basis for refining existing dissemination tools and creating new ones. The goal will be to find the most efficient and effective ways to reach potential users and to help them locate and use the Northwest Digital Archives to serve their research needs.

The dissemination working group will identify appropriate Web sites and arrange to place links to the Northwest Digital Archives on as many as possible. Information also will be posted to Listservs, including Archives, ExLibris, H-net, and Museum-L. NWDA members will continue to be regular contributors to discussions on the EAD listserv.

Participating institutions (singly or in teams) will host information and training sessions for librarians and other user groups throughout their areas of service on reference and research use of the Northwest Digital Archives. Training materials, including Power Point presentations and handouts, will be available on the NWDA Web site.

The Consortium Director will take a leading role in disseminating information about NWDA to the archival and user communities and will represent the project to national organizations such as the Society of American Archivists, the Western History Association, the Organization of American Historians, and the American Historical Association. Members of the Dissemination Working Group will reach out to regional historical, archival, library, and museum organizations. NWDA will explore and use as many other avenues as possible to make contacts with potential users.

News releases about the Northwest Digital Archives will be prepared by the project implementation team and distributed through Oregon State University's News and Communication Services department to:
- All participating institutions for their publications and Web sites
- Other research institutions in the Western United States
- Newsletters of all regional archival organizations in the United States
- Society of American Archivists' newsletter, *Archival Outlook*
- Western History Association
- *The Western Historical Quarterly*
- Pacific Northwest History Association
- *Pacific Northwest Quarterly*
- *Journal of the West*
- *Archives and Museum Informatics*
- American Library Association and regional library association publications
- *College and Research Libraries News*