

NATIONAL ENDOWMENT FOR THE HUMANITIES



SAMPLE APPLICATION NARRATIVE

Grants to Preserve and Create Access to Humanities Collections Institution: American Antiquarian Society

SUMMARY OF THE PROJECT

This project will catalog approximately 3,000 song sheets and poems printed in the United States from 1850 through 1876. These fragile single sheet documents preserve the texts of popular songs and other verse issued in response to moments great and small in the history of this nation and its many communities. Examples printed through 1850 have already been cataloged through projects funded by the National Endowment for the Humanities that have resulted in the creation of machine-readable records for 18,700 pre-1877 broadsides. The project is part of the Society's North American Imprints Program (NAIP), whose long-term goal is the creation of a machine-readable union catalog of books, pamphlets, and broadsides printed in the United States and Canada before 1877. To date, the Society's catalogers have produced nearly 40,000 records for materials printed prior to 1801, and over 78,000 other records for nineteenth-century materials, including pamphlets, books, and children's literature. All of these records provide access points for author, title, publisher, printer, illustrator, subject, genre, place of imprint, date, physical characteristics, provenance, and first lines of broadside ballads. Scholars in this country and abroad have access to these records via the Research Libraries Information Network (RLIN) and the Internet.

The benefits of such cataloging are inestimable. Scholars in the humanities require access to all types of printed documents. Yet, ephemeral documents such as broadsides are seldom accorded full cataloging by libraries. Thanks in part to grants from NEH, the American Antiquarian Society (AAS) is an exception. AAS provides sophisticated cataloging for its broadsides printed prior to 1877. This proposal seeks to extend this level of cataloging to broadside ballads and poems printed through 1876, the cut-off date for the primary research collections.

Before AAS began its efforts to catalog broadsides, scholars were required to look through folders housing up to two hundred broadsides each to locate the few documents that might serve their needs. Such indiscriminate searching was not only time-consuming, but it increased the risk of damage to individual items. Our concern always has been for both access and preservation. Each item cataloged has received conservation treatment as necessary and is now shelved in a separate acid-free folder. This proposal seeks funds to continue the process of cataloging and conserving the Society's broadsides.

Scholars have often ignored single-sheet documents. Believing in the importance of such materials, AAS has long collected broadsides and continues to do so. Providing greater access will increase the use of the collection by scholars and will enrich the research and publications of these

scholars for many years to come. Since the subject matter of the collection is so broad, scholars in many disciplines will benefit, whether their interest is political, social, or cultural, or is oriented toward the history of communities, organizations, or educational institutions. This body of crucial evidence needs to be made available in the formats that researchers have come to expect--via a national cataloging database and the Internet.

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SIGNIFICANCE OF THE PROJECT

Introduction

The library of the American Antiquarian Society (AAS) houses the world's best collection of printed material relating to the history and culture of the United States from the beginning of printing in North America in 1640 through the year 1876. Readers come to the Society from across the country and around the world. In addition to a traditional academic community of scholars, our readers include librarians, high school and college students, primary and secondary school teachers, local historians, genealogists, and creative artists and writers. While many come to use our well-known collections of seventeenth- and eighteenth-century materials (all of which are fully cataloged and accessible in both our on-line system and RLIN), more and more arrive to work on nineteenth-century topics. They are both astounded by the breadth and richness of our holdings and frustrated when bibliographic access to them is lacking. Too often readers have been able to identify pertinent materials only because our knowledgeable and experienced reference services staff and curators have worked closely with them, guiding them, and suggesting sources for their topics.

The range of readers and the variety of topics are as broad and diverse as the collections themselves. Recent examples of nineteenth-century projects include the study of the publications of religious tract societies in Antebellum America, relief to Irish famine victims, literature pertaining to pirates, nativism, and female mill workers. In these instances the readers were introduced to both cataloged and unprocessed collections (e.g., government documents, publishers' prospectuses, and library catalogs) that they found valuable for their projects. However, the close, collaborative relationship between the staff and researchers should be an enhancement to and not a substitute for a comprehensive library catalog. The goal of the library is to provide access to all collections through 1876 in machine-readable form. At the present time, more than 197,000 machine readable records, created from 1974 to 2001, can be searched in the on-line catalog.

Through a grant from a major national foundation, AAS is involved in the retrospective conversion to machine-readable form of an estimated 125,000 entries found in AAS card catalogs. The conversion will be restricted to items published between 1841 and 1975, thus avoiding the duplication of records already in the on-line catalog.

When the 125,000 recon records for monographs are added to the 197,000 records now in the on-line catalog, there will be a total of 322,000 records, a figure well below our estimate of AAS's total 680,000 monographs. The remainder of our monographic holdings are beyond the reach of any retrospective conversion effort, never having been cataloged in any form. These materials, for the most part published in the nineteenth century, are to be found in a variety of coherently arranged but uncataloged collections. Descriptions of such collections at AAS, including collections under the headings of Bibles, Canals, Colleges, Hymnals, Institutions, Miscellaneous Pamphlets, Plays, Railroads, Songsters, and so on, may be found in *Under Its Generous Dome: The Collections and Programs of the American Antiquarian Society*, second edition, revised (Worcester, AAS, 1992) and available on the AAS website (www.americanantiquarian.org). We anticipate these collections will

eventually be cataloged under the auspices of the North American Imprints Program.

In an effort to make AAS collections better known to a variety of audiences, there is now a full-time director of outreach who reports to the vice-president for collections and programs. With a background in media and communications and solid research experience in the AAS collections, he is well-suited to explain the holdings and access to new audiences which include primary and secondary school teachers. The NEH-funded cataloging projects facilitate the public use and understanding of the collections and public appreciation of the new lines of inquiry that the cataloging has opened up for professional scholars.

THE PROJECT

The American Antiquarian Society (AAS) seeks funding to provide detailed bibliographic access to its collection of approximately 3,000 broadside ballads and poems printed in the United States and Canada from the early 1850s through 1876. This is an important subset of the broadside collection, national in scope and consisting of more than 20,000 items printed from 1639 through 1876 and one of the preeminent collections of this kind of material in the country. Until 1978 no part of this collection was cataloged, but successive projects funded by the National Endowment for the Humanities have resulted in sophisticated cataloging. The collection contains such materials as government proclamations, town reports, advertisements, programs for public entertainments, accounts of crimes and accidents, prospectuses for publications, and notices for public rallies. The cataloging records are made available to the Research Libraries Information Network (RLIN) and over the Internet via the Society's website (www.americanantiquarian.org) so that scholars around the country and abroad can learn, without visiting the library, precisely what is in the collection. Photocopies may be ordered through interlibrary loan, saving scholars time and money.

The basic format of a broadside ballad is a single sheet of paper, usually printed on one side, very occasionally on both, containing the words of a ballad, or other poetry, and, infrequently, musical notation. Street vendors and agents distributed these to the broadest public imaginable. Until the middle of the nineteenth century, ballads were generally printed for a local audience. Subjects include fires, hymn texts written for dedications of churches or ordinations of ministers, elegies for deceased children or adults. In his introduction to *American Song Sheets, Slip Ballads, and Poetical Broad-sides 1850-1870: A Catalogue of the Collection of The Library Company of Philadelphia* (1963), Edwin Wolf 2nd wrote “. . . to meet a growing popular demand, sheets, which had once been printed by the score, appeared by the thousands. They were run off in large editions, sold wholesale to dealers and sold retail by hawkers and in stationery shops and book stores.”

Few libraries have provided systematic cataloging of such ballads. Brown University has cataloged in RLIN many of their broadsides containing verse, and the Library of Congress has entered collection level records for broadside ballads. Some individual ballads are also cataloged in the Lester Levy Collection of American Sheet Music at The Johns Hopkins University. Earlier AAS holdings were fully described during the earlier projects funded by NEH.

By the nature of the format, an unprotected single sheet of paper, most of these items are rare, and many are unique. The Society's staff constantly checks booksellers' catalogs for potential acquisitions. It is surprising how few broadsides survive and many examples are unique. This is

probably even truer of nineteenth-century examples than of earlier ones that have been collected by a number of historical organizations since the early nineteenth century. George Miles, curator of western Americana at the Beinecke Rare Book and Manuscript Library at Yale University, was struck by the strength of the Society's collection. He wrote in an exhibition catalog published by the Society in 1991: "From the first, western immigrants needed as much advice on how to live in the West as they did about how to get there. The literature that helped guide them in establishing their homesteads, in setting up their businesses, in educating themselves and their children, and in creating new territories and states has generally not received the same attention as travel guides [to the West]. Often ephemeral in character, usually thrown away within a few weeks if not days after their publication, advertisements for land agencies, banks, clothing stores, schools, and political rallies tell us much about the lives that western pioneers tried to construct in their new homes. Published in limited quantities, often as small broadsides, and rarely distributed beyond the local market, such pieces are among the rarest of all western Americana. It is a measure of the depth and strength of the Antiquarian Society's western collection, that so many examples of this literature can be found there."

Broadside ballads are to be treasured in our day because they provide a window into the nation's past that illuminate specific events in history and less visible trends of long duration. Most, in fact, do not describe the great moments that make their way into history textbooks, but rather the seemingly insignificant events that make up the history of a community or are important in learning about an individual's life, a manufactured product, or some other aspect of society in the nineteenth century. The collection includes celebrations of Union victories in Civil War battles, as well as sentimental songs expressing loss of loved ones during the same conflict. Some ballads are illustrated; this aspect will be brought out in the records. The collection as a whole is difficult to describe because each item is different. We hope that descriptions and reproductions of several examples will suggest the range of topics that will surface as this collection is fully cataloged. Typical of the genre is the *Song of the Needle Threader* (see the photocopy in Appendix B), an advertisement for a sewing implement. The name of the tune that should accompany the song is given as "Villikins and his Dinah." The author of this forerunner of the contemporary advertising jingle, is anonymous, but the pseudonym, "O. B. Joyful" is intriguing. Buried in the fourth stanza is the claim that Carter's Metallic Threader superceded its predecessor implement made out of ivory. The publisher, Horace Partridge of Boston, issued dozens of broadside ballads in the 1860s and 1870s. Since he moved several times, broadsides can be assigned dates according to the address on the item.

A. W. Harmon wrote the lyrics to *The Granite Mill Fire at Fall River, Mass.* and decided it should be sung to the tune of "Young Edmond," a popular ballad. This item describes the tragic fire at one of the mills in Fall River, Massachusetts on September 19, 1874. A history of the community reports that the company was established in 1863 and the mill erected in 1871. The fire started in the mule room and killed twenty-three textile workers and injured an additional thirty-three. The structure was rebuilt with fire suppression measures incorporated into the design. This ballad recalls the horror of the event and the emotional responses of the bereaved.

Great Cry But Little Wool was issued in Baltimore on July 2, 1861. This poem satirizes the administration of Abraham Lincoln with an uncommon level of venom. The illustration at the head of the print is not signed, but it is conceivably by Adalbert John Volck (1828-1912), who was active during the Civil War as a Confederate cartoonist, signing his prints with the pseudonym V. Blada.

Lincoln is shown in the presidential chair flanked by members of his cabinet, each of whom is attacked in the verses.

Brother, Tell me of the Battle is one of many hand colored illustrated song sheets published by Charles Magnus in New York. The note at the bottom of the sheet suggests that Magnus also issued these illustrated ballads as notepaper. This song was also published in 1864 as sheet music scored for performance on the piano. The sheet music version at AAS attributes the music to George F. Root and the lyrics to Thomas Manahan. The superb music collection at AAS will be very useful in providing information about the authors of the ballads in the collection.

James D. Gay of Philadelphia wrote and published the lyrics to *Brave Soldiers of the West*. This text appears on notepaper and was issued in variant editions with different state seals at the top. Gay described himself on another ballad as "Army Song Dealer & Publisher." Gay wrote these lyrics after the capture of New Orleans.

After the Civil War, William Lloyd Garrison devoted himself to a variety of reform activities, including women's rights. *Human Equality* calls for equality for women and concludes, "Through her enfranchisement our race Shall grandly rise." When fully cataloged, poems such as this one will add to our understanding of various social and political movements.

The importance of such literature was recognized at a meeting sponsored in 1990 by the Harvard College Library and the American Council of Learned Societies on Research Trends and Library Resources. The purpose of this meeting was to identify changing tendencies in research in the humanities and social sciences and the impact of these changes on research libraries. One topic of discussion was new sources of information. It was generally agreed that libraries needed to collect different sources including prints, photographs, popular literature, advertising and other forms of ephemera, anything that would "reflect the attitudes, activities, and culture of society."

The American Antiquarian Society has long collected this material. For example, Isaiah Thomas, the Society's founder, collected over three hundred broadside ballads issued in Boston during the War of 1812. This collection, containing many unique items, is one of the treasures of the Society and has been the subject of intense research by Arthur Schrader, an AAS-NEH fellow in 1979-80. In 1872, Samuel Foster Haven, librarian of the Society, wrote of the broadside genre as a whole: "There is another kind of historical supplies which is equally desirable to collect and preserve in unlimited quantities, and which individuals are apt to gather as unconsciously and inexpensively and can be spared quite as easily as [periodicals]. I refer to what are technically called Broad sides, embracing all sorts of posters, advertisements, notices, programmes, and indeed whatever is printed on one side of sheet of paper, large or small. They are legitimate representatives of the most ephemeral literature, the least likely to escape destruction, and yet they are the most vivid exhibitions of the manners, arts, and daily life, of communities and nations. ... They imply a vast deal more than they literally express, and disclose visions of interior conditions of society such as cannot be found in formal narratives." The conference at Harvard suggests that bringing these documents under bibliographical control and increasing access to them accords with the shift in scholars' needs caused by their interest in discovering and illuminating the context of works of literature or historical events. Ephemera, including broadside ballads, is one form of printed document that provides the context for more standard materials. There was also a consensus that access to a broad variety of cultural evidence was needed. Broadside ballads can be considered to be part of this cultural evidence.

Scholars at AAS are using broadsides in their research more and more frequently because they come across the catalog records as they conduct their searches in the on-line catalog. One of the first intensive users of the broadside records was Clare Lyons, a recipient of an AAS fellowship in 1993 to pursue research for her doctorate at Yale on gender and sexuality in the eighteenth and nineteenth centuries. She found references to many recently cataloged ballads that she subsequently called for and duplicated for future reference. Helen Horowitz, professor of American Studies at Smith College and the recipient of a recent Mellon Postdoctoral Fellowship at AAS, encountered many broadsides in her research on sexual representation and censorship from 1830 to 1880. Deborah Van Broeckhoven, executive director of the American Baptist Historical Society, has worked at AAS many times to research the political economy of fairs sponsored by voluntary associations in the nineteenth century. It was a simple matter to locate a dozen or so broadsides important to her research. Robert A. Gross, professor at the College of William and Mary and chairman of the AAS Program in the History of the Book in American Culture, has located broadsides relevant to his research on the literary culture of Concord, Massachusetts.

Ann Fabian of the City University of New York has used broadsides in her research on the phenomenon of self-publication in the nineteenth century. Barbara Conrad, a teacher from Alamo, California, and a recipient of one of the AAS-Lila Wallace-Reader's Digest Fund fellowships (for K-12 teachers and librarians), found titles of a number of broadside ballads pertinent to her attempt to enrich the high school curriculum through the use of printed music. Students in an undergraduate class at the College of the Holy Cross used the collection for an exhibition on the 1850 Women's Rights Convention in Worcester. Lucia Knoles, a professor of English literature at Assumption College in Worcester, uses broadsides frequently in her ongoing research on New England literary culture. She also collects facsimiles of material for Internet use. Vincent DiGirolamo, AAS-NEH Fellow in 2000-2001 and assistant professor of interdisciplinary writing at Colgate University, found the cataloging records for news carrier's addresses extremely useful for his project, "Crying the News: Child Street Trading in America, 1830s – 1890s." Patricia Johnston, professor of art history at Salem State College and the recipient of a recent fellowship funded by the American Historical Print Collectors Society at AAS, has used broadsides to document her study of visual responses to nativism in the first half of the nineteenth century. Marcus Wood, lecturer in the School of English and American Studies at the University of Sussex (England) found some striking broadsides relating to slavery that he reproduced in his recent book, *Blind Memory: Visual Representations of Slavery in America, 1780-1865* (2000). The illustrated song about Henry Box Brown is typical of the items in this collection. (A reproduction and the cataloging record are in Appendix B). The importance of songs to the contemporary popular understanding of the Civil War is described by Alice Fahs in her new book, *The Imagined Civil War: Popular Literature of the North & South, 1861-1865*. War songs and poetry figure prominently in this important study, researched in part at AAS. Finally, the AAS curator of graphic arts and the acquisitions department use the catalog almost every day for acquisition purposes.

THE INSTITUTIONAL CONTEXT

With holdings numbering close to three million books, pamphlets, broadsides, manuscripts, prints, maps, and newspapers, the American Antiquarian Society preserves the largest single collection

of printed source material relating to the history, literature, and culture of the first 250 years of what is now the United States. It specializes in the American period to 1877, and holds nearly two-thirds of the total pieces known to have been printed in this country between 1640 and 1821, as well as the most useful source materials and reference works printed since that period. The graphic arts department includes sheet music (about 70,000 pieces printed between 1789 and 1880), lithographs (about 5,000), countless portrait prints and views of the United States, about 10,000 maps and 250 atlases, and thousands of pieces of ephemera (menus, rewards of merit, legal forms, bills of lading, greeting cards, currency, lottery tickets, bookplates, calendars, stereograph views, postcards, etc.). In January 2002, these collections will be moved to a new stack addition, now being constructed, that will offer state-of-the-art environmental conditions for the storage of rare books and related materials. There will also be a fire suppression system. AAS is dedicated to the long-term preservation of printed materials; this new building helps us achieve this part of the institutional mission.

These collections serve a worldwide community of students, teachers, historians, bibliographers, genealogists, creative artists, and authors whose research here directly affects the quality of education through textbooks, biographies, historical novels, newspapers, periodicals, plays, operas, films, and libraries. The library is open from 9 a.m. to 5 p.m., Monday through Friday. Apart from fees for photoreproduction, there is no charge to use these unparalleled collections.

When current vacancies are filled, the Society will have a staff of sixty-three (FTE equivalent of 50). In addition to the function of curatorship for others, the library's staff is itself productive of scholarship. A few examples of staff work produced at AAS are: a history of printing in America; a history and bibliography of American newspapers; the standard work on Paul Revere's engravings; completion of Sabin's dictionary of books relating to America as well as Evans's *American Bibliography*; a four-volume dictionary catalog of the manuscript collections; two monographs on broadsides; a bibliography on American historical prints; an annotated transcription of a portrait painter's account book; an annotated diary of an early nineteenth-century painter and museum proprietor; articles on children's literature; and editorship of the Society's *Proceedings*, published semiannually. The project director has lectured and published widely on broadsides, book illustration of the eighteenth and nineteenth centuries, and on nineteenth-century prints. The skills and knowledge of all staff members are always available for guiding visiting scholars in the use of the collections.

AAS receives support for operating expenses from private individuals, corporations, foundations, and from income on its endowment. Grants from the federal government are received for specific projects and the fellowship program.

Providing detailed bibliographic descriptions of the broadside ballad collection will continue the progress made by the North American Imprints Program (NAIP) in providing machine-readable records for early American and Canadian imprints. The eventual aim of NAIP is to provide machine-readable records for all North American imprints issued prior to 1877. To date, all seventeenth- and eighteenth-century imprints, including broadsides at the Society and in other libraries in this country and abroad, have been so described. With NEH support, children's books and publications issued during the 1820s and 1830s have also been fully described. The records describing the pre-1801 imprints are available both on a CD-ROM published by the Readex Microprint Corporation and AAS and on tapes available to libraries that can be loaded into their on-line catalogs. These records are also available through the Eighteenth-Century Short Title Catalogue and on RLIN, the bibliographic utility

of the Research Libraries Group. AAS participated in the NEH-sponsored United States Newspaper Project by cataloging the preeminent collection of newspapers at the Society. Currently NEH funding supports the cataloging of the broadside collection and all books and pamphlets issued between 1800 and 1820. These efforts are unique among American libraries. Other libraries can draw upon this body of cataloging as they work on their own collections.

With long experience in the cataloging of American imprints, AAS is well qualified to catalog its ballad collection. AAS is a learned society founded in 1812 by Isaiah Thomas, a patriot leader during the American Revolution and the foremost printer, publisher, and bookseller in the United States in the generation or two following Benjamin Franklin's retirement from the trade. AAS is the third oldest historical society in the country and the first to focus its scholarly activities on a national level. The gathering and publication of bibliographic information about the output of the press in North America has been the central concern of the Society since the founding over 188 years ago. The Society maintains a research library containing the world's largest collection of American-printed materials published through 1820 and one of the largest collections of such materials published between 1820 and 1877. With these rich library sources as a base, the Society has devoted much of its energy to the listing, cataloging, and study of these imprints in the context of American society. Many of the standard bibliographies of American imprints were researched largely at AAS and many have been published by the Society. The Society edited the microform publication (by Readex Microprint Corporation) of the *Early American Imprints* series, which reproduces in microopaque and microfiche versions virtually all extant recorded American imprints published from 1640 through 1819. The Society has always placed a high premium on cataloging efforts to make these early American printed materials fully available to scholars and to other libraries.

AAS played a leading role in developing standards for cataloging specialized research materials and, with other members of the Independent Research Libraries Association (IRLA), was instrumental in the development of proposals leading to significant improvements in the national machine-readable cataloging (MARC) format. AAS joined the OCLC cataloging network in the mid-1970s, and in 1980 joined the Research Libraries Group (RLG) and its cataloging utility, RLIN. AAS developed with Inforonics, Inc. of Littleton, Massachusetts, an in-house cataloging system that has made possible the implementation of an enhanced cataloging format tailored to the needs of users of rare books and other specialized research materials. Records created locally (as these records of the Society's ballads will be) are loaded via tape into the national RLIN data base.

AAS is now negotiating a contract with Endeavor Information Systems, Inc., for the use of Endeavor's integrated library management system, Voyager. While the on-line catalog system now in use at the Society has proven its effectiveness as a tool for the creation of MARC records, it is no longer satisfactory as a means of providing access to researchers at AAS and over the Internet. With Voyager, AAS will offer its constituents a web-based catalog with a graphical user interface. (At present, users must telnet to the Society's server and log in; the catalog itself is command-driven.) Additionally, Voyager will support on-line authority control, and will enable the Society in the future to link cataloging records to digital images. We anticipate that Voyager will be installed and operational at AAS before work on the proposed project begins.

The Society's interest in matters relating to bibliography has broadened as well as deepened in recent years. The Society has brought its substantial scholarly resources to bear on the study of the

historical impact of printing on society through the establishment of the Program in the History of the Book in American Culture. A major project underway is the preparation of *A History of the Book in America (HBA)*, a five-volume series that is being published by Cambridge University Press in collaboration with AAS. Volume 1, *The Colonial Book in the Atlantic World*, edited by David Hall and Hugh Amory, appeared in 2000. Grants from the National Endowment for the Humanities helped fund the editorial work this major collaborative project.

HISTORY AND DURATION OF THE PROJECT

This project is a continuation not only of NAIP in general but, more specifically, of the work accomplished by the Society under a series of NEH grants (RC-0807-78; RC-20331-82; RC-22046-92; and PS-221095) that have resulted in the cataloging of the collection of pre-1877 broadsides. Items in the ballad collection printed prior to 1850 were cataloged during these projects. Under these grants, 18,700 bibliographic records have been created. The Society continues to add to the collection and fully catalogs newly acquired broadsides, usually over 100 per year. The Society will, of course, continue this commitment.

PROJECT'S METHODOLOGY

Recognizing the potential of the automated catalog to provide access in ways and places not possible in a traditional card catalog, we have expanded the traditional entry in a variety of ways. At the same time we have recognized that adherence to established standards is essential if records are to be shared by bibliographic networks. The cataloging procedures for broadsides may be found in Appendix A.

The NAIP record conforms to national standards, including the second revised edition of the Anglo-American Cataloging Rules (AACR2r), the Library of Congress's *Descriptive Cataloging of Rare Books*, the current version of the US-MARC format, and the Library of Congress subject headings. To this record are added locally defined data elements which are not part of the national standard, but which are important and useful to the Society and its researchers. Only the standard portion of the record can be transmitted to RLIN for shared use. In the on-line version at AAS, however, the local data elements form an important component of the file. Among these local data elements are filing codes to permit precise ordering of titles for which a number of editions exist; numerical identifiers for name headings to facilitate name authority control; and notes and access points for copy-specific information, including evidence of provenance (former owners, donors, etc.). Having access to previous owners permits researchers to reassemble an individual's collection of documents, to trace patterns of readership and ownership, and to glimpse the geographic dispersal of this material.

Cognizant of the importance of precision and consistency in the formulation of access points, AAS has participated since 1983 in the Library of Congress's Name Authority Co-Operative Program (NACO). AAS staff members contribute detailed records for personal and corporate names to the Library of Congress's Name Authority File.

NAIP cataloging records are designed to convey a wealth of information and to provide a variety of access points beyond that typically found in the cataloging of modern materials. The Society's cataloging takes into account the needs of users of primary research materials and recognizes that these items serve not only as the communicators of text but also as cultural artifacts and as records of the development of the printing and publishing trades. Important knowledge can be derived from the evidence of paper and typography. Circumstances of publication (where, when, by whom, for whom) and of provenance may be used to reveal business relationships and patterns of reading and communication. Names of printers may emerge for whom no other record exists and thus a clearer understanding of the spread of printing may become apparent. From such studies come important insights into the workings and development of American society.

In addition to traditional access by author, title, and subject, the broadside ballad records will offer access by place and date of publication, and by printer, publisher, and bookseller. Access points are created for illustrators, engravers, translators, and all others who contributed to the work. Access by genre (e.g., poems, elegies, advertisements) complements traditional subject access. We also provide access by first line for broadside verse. References to descriptions in published bibliographies are provided. Information on provenance (e.g., names of former owners and donors) and condition is noted. These sundry access points serve to make the materials accessible to a wide variety of users, including students of printing and publishing history, of book illustration, and of patterns of reading and ownership of printed materials.

PLAN OF WORK

As described above, we propose to catalog AAS broadside ballads published in the United States and Canada from 1850 through 1876. Since the Society has been cataloging broadsides for two decades, standards and procedures are in place. The collection is currently shelved by title, so work will begin at the beginning of that alphabet. Since the ballads are small in size, they will form a separate collection physically. If any large items surface, they will be cataloged and integrated into the broadsides collection. The items in that collection are in larger format folders.

The curator of graphic arts will determine which items are in need of conservation to ensure their continued survival. Many of the broadsides are torn and must be mended. Others are printed on paper that has become very fragile; they will be placed in Mylar "pouches" to provide added support. Old backing materials and pressure sensitive tapes will be removed. Since the Society's conservation laboratory currently has more work than it can accommodate, we are asking for funds to continue to employ a part-time conservator to work exclusively on this collection. Whether an item receives conservation treatment or not, each broadside will be housed in its own acid-free paper folder and boxed to be housed on shelves in the new stack addition.

PROJECT'S STAFF

The project director will be the Society's Andrew W. Mellon curator of graphic arts, Georgia B. Barnhill. The author of *American Broadsides* (1971) and co-author of *Massachusetts Broadsides of the*

American Revolution (1976), she has also lectured on historical broadsides published through the War of 1812, broadsides printed in Pennsylvania, the job printing of Benjamin Franklin, broadsides printed in rural New York State, and on broadsides useful as resources for the history of journalism. Mrs. Barnhill will oversee the progress of the project, will be responsible for decisions about the conservation of each item, will shelve each item, and will advise the catalogers on subject access, keeping the needs of scholars in mind, and will work with scholars who want access to the collection. She will devote approximately twenty percent of her time to this project.

Upon notification of the funding of this proposal, AAS will advertise the openings for the two full-time catalogers. Doris O'Keefe of the cataloging department will train the catalogers, proofread their work, and edit the records. Twenty-five percent of her time will be devoted to this project. Dianne Rugh, authorities specialist, will devote about ten percent of her time on name authority work to this effort.

Babette Gehrich, AAS chief paper conservator, will oversee the conservation of approximately twenty to twenty-five percent of the broadside ballads (500-750 items). She will supervise a part-time conservation paper technician and spend approximately ten percent of her time on the project. Most of the treatments will be limited to washing to reduce stains and mending tears, but some items will require the removal of old backings or pressure sensitive tapes and light bleaching.

John B. Hench, the Society's vice president for collections and programs and the AAS institutional grants officer, will oversee the project from the budgetary perspective and its relationship to the Society's research and publication program in general. Resumes of all AAS staff members to be involved with the project may be found in Appendix C.

PROJECT'S BUDGET

PRESERVATION

The Society's mission goes far beyond collecting and cataloging, however, and includes the preservation and conservation of scarce and fragile materials, while at the same time making them available to qualified researchers. What is ephemeral one day becomes, in future generations, an important source of social, political, economic, and cultural history. Such is the case with broadsides, which reveal so much about the issues and concerns of a particular place and time. But because nineteenth-century broadsides were "throwaway" literature, most that exist today are known by only one copy. To preserve that one copy requires the dedication and expertise of the curator, the cataloger, and the conservator--and considerable time and expense. Given the uniqueness of most of these items and their real and potential research value, providing access to and preservation of these documents is time and money well spent.

Putting each ballad in a separate acid-free folder is one way to eliminate unnecessary handling, and is the simplest and best means of preservation for the collection as a whole. The low per-item cost for folders and labels is an inexpensive investment in the future of our past. Conservation of seriously damaged items, however, is a labor-intensive task, but an essential component of the Society's mission, and is especially important for the fragile items in the collection.

For almost 190 years, the American Antiquarian Society has collected, preserved, and made available to researchers a vast array of materials pertaining to the history of the United States. With current on-line cataloging capabilities and methods of conservation we can ensure greater accessibility to our collections while providing a safer environment for them. These capabilities are expensive, but researchers will benefit from our efforts 190 years from now.

COST-SHARING

Although not shown in the budget, the Society will cost-share the use of the AAS on-line cataloging system, in addition to the cost-sharing budgeted. These records (like all NAIP records) are input into a computer system owned (hardware and software) by the Society. Although this extensive use of the AAS computer for the inputting of these records may be considered a form of cost-sharing, the calculation of the value of that cost-sharing is onerously complex and thus we have not put a dollar figure on it.

COST PER TITLE

The cost per title calculated from the total budget is approximately \$164; the NEH contribution to this unit cost is \$82. The unit cost includes the labor entailed in producing highly detailed machine-readable rare book catalog records. The standard procedure outlined for rare book cataloging provides for an advanced level of bibliographical description and a variety of access points. Cataloging procedures at AAS have developed from three overriding considerations--to build a definitive catalog of American imprints published through 1876, to permit the best possible access to AAS collections by scholars in all fields of American studies, and to fulfill its role as the chief institutional contributor of name authority information on early American authors, publishers, printers, and book illustrators to the Library of Congress's Name Authority Co-Operative Program (NACO). In essence, the AAS cataloging operation rests upon an extensive authority file that gives the established heading forms for individual and corporate names. A recent letter from Helen Deese, professor emerita of English at Tennessee Technological College, currently editing the extensive journals of Caroline Healey Dall, reported how useful the authority work is to her editing process. When looking for vital dates for people noted by Dall in her journals, Deese turns to on-line library catalogs. She notes that "AAS cataloguers try harder in their search for authorities, and I wish to let you know how very useful this sort of diligence is to a researcher like me. . . . such hard work and persistence are greatly appreciated. It is a hallmark of the excellence of all that you do."

Because the Society takes responsibility for documenting the history of printing, publishing and related book trades in America, the cataloging department has created an authority file tracing extant information on printers, publishers, illustrators, engravers, and other persons having an intellectual and physical connection with the books, pamphlets, and broadsides. These individuals and firms receive as much research attention in the cataloging process as do authors. Past experience has shown that the work involved in establishing headings in accordance with the guidelines set forth in the *Anglo-American Cataloguing Rules* (second ed., 1988 revision) can easily consume fifty percent of a cataloger's time and effort in preparing records for early printed materials. The extensive collections

at AAS of bibliographies, directories, local histories, genealogies, and other reference works support a high level of research of these individuals and firms--and a high rate of success. It should be noted that authority work for individuals active in the period of material to be cataloged under this grant (the third quarter of the nineteenth century) is more difficult than that for figures active earlier in the century. Printing is far more widespread geographically and greater numbers of job printers, as opposed to the better-known book and newspaper publishers, are often responsible for these documents. The difficulty of authority work will in large part determine the rate of progress during the period of the grant. The resulting work, however, will be all the more valuable in helping to document the spread of print throughout the American Continent at a particularly important period of our history.

SAMPLES

For this proposal we have prepared sample MARC records for several representative broadside ballads from the Society's collection. They are included in Appendix B, accompanied by photocopies of the original documents. We provide here some general notes on the sample records, followed by notes on AAS's local enhancements of the US-MARC format.

GENERAL NOTES

--Records are created according to the *Anglo-American Cataloguing Rules*, second ed., 1988 revision (Chicago: ALA, 1988), and Library of Congress interpretations thereof.

--Bibliographic descriptions are prepared according to the Library of Congress's *Descriptive Cataloging of Rare Books* (Washington: Library of Congress, 1991).

--Forms of bibliographic citations (in the 510 field) are taken from *Standard Citation Forms for Published Bibliographies and Catalogs Used in Rare Book Cataloging* (Washington: Library of Congress, 1982).

--Subject headings (650 and 651 fields) are taken from *Library of Congress Subject Headings*, 17th edition (Washington: Library of Congress, 1994).

--Genre headings (655 field) are taken from *Genre Terms: A Thesaurus for Use in Rare Book and Special Collections Cataloging* (Chicago: ACRL, 1983).

--Access by place or places of publication is provided in field 752.

--Headings for physical characteristics (in the 755 field) are taken from *Descriptive Terms for Graphic Materials* (Washington: Library of Congress, 1986); *Printing & Publishing Evidence: Thesauri for Use in Rare Book and Special Collections Cataloging* (Chicago: ACRL, 1986); *Provenance Evidence: A Thesaurus for Use in Rare Book and Special Collections Cataloging* (Chicago: ACRL, 1988); and *Paper Terms: A Thesaurus for Use in Rare Book and Special Collections Cataloging* (Chicago: ACRL, 1990).

AAS ENHANCEMENTS OF THE MARC FORMAT

--All personal, corporate, and conference names (in fields 100, 110, 111, 600, 610, 611, 700, 710, and 711) are assigned unique six-digit numbers (recorded in subfield @#) to facilitate local indexing and editing. Subfield @# is deleted from the version of the record supplied to RLIN.

--Access points for printers, publishers, and booksellers (certain 700 and 710 fields) are flagged through use of a locally defined second indicator value of 5. Access points for illustrators and engravers are similarly flagged by a second indicator value of 6, and access points for former owners and donors are flagged by a value of 4. These locally defined values permit us to create a separate index for each category. They will also permit the creation of separate printers', illustrators', and provenance files in a dictionary catalog. Access points for illustrators and printers are coded to MARC standards in the version of the record provided to RLIN. Access points for former owners and donors are deleted from the RLIN version.

--The 900 field is used to record catalogers' notes. This field is deleted from the version of the record provided to RLIN.

FINAL PRODUCT AND DISSEMINATION

The machine-readable cataloging records created by this project will be made available to scholars and to other libraries in a number of ways. As records are created on the Society's local system, they are immediately available to researchers using the on-line catalog in the library and over the Internet. From the local system, the records will be edited for transmittal to RLIN. This bibliographic database is available for use at AAS and to scholars and librarians throughout the United States and abroad, both for research and shared cataloging. We know from past experience how helpful it is to scholars to have our cataloging records available in RLIN. Years ago, Ronald P. Formisano, professor of history at the University of Florida, wrote to say that "it would be of great help to research scholars to have available bibliographic records for 'ephemeral documents' located in a computer network. As you know, I have used such documents in my own work, including political cartoons, printed ballots used for voting in the nineteenth century, sheet music and other documents. These kinds of materials can be invaluable to the social-political historian. Located during the academic year at the University of Florida in Gainesville, it would be most useful to have bibliographical records for such ephemera loaded onto the RLIN system to which I have access at my university library. Finding a cataloging record of these kinds of items at my home base, without having to travel to Worcester, Massachusetts (delightful as that may be at times), or other places, would be of great value." Thanks to past funding from NEH, his wish has come true. With the implementation of the web-based Voyager system, all scholars will have immediate access to the Society's on-line catalog without needing to use RLIN. However, RLIN continues to be used by other libraries for cataloging purposes and using RLIN enhances the ability of other libraries to draw upon AAS expertise and practices.

Machine-readable name authority records created at AAS for many of the headings for personal and corporate names are available in the Library of Congress's name authority file. The LC authority file is available through RLIN and other shared-cataloging utilities, including OCLC.

The Society will explore other forms of dissemination, including printed products. We are currently updating *Under Its General Dome*, a guide to AAS programs and collections for the website. There is a section on the broadsides collection (Appendix E). When this project is completed, the project director will disseminate information on the collection and access to it for publication in the *AAS Newsletter* (or *Proceedings* as she did for the *Catalog of American Engravings*) and a journal

such as *American Quarterly*, published by the American Studies Association. However, among the best publicists for the institution and its collections are the recipients of AAS fellowships and other scholars whose research depends on collections at AAS. Their scholarly books and articles contain reproductions and citations of the unique and uncommon materials at the Society.