PRESERVING THEATRICAL LEGACY

An Archiving Manual for Theatre Companies

American Theatre
archive project

PRESERVING THEATRICAL LEGACY: An Archiving Manual for Theatre Companies
is written and edited by:
> Susan Brady, Archivist, Beinecke Library, Yale University
> Ken Cerniglia, Dramaturg & Literary Manager, Disney Theatrical Group
> Maryann Chach, Archivist, The Shubert Archive
> Jessica Green, Archivist, Simmons College graduate student
> Helice Koffler, Archivist, University of Washington Libraries
> Sharon Lehner, Archivist, Brooklyn Academy of Music
> Tiffany Nixon, Archivist, Roundabout Theatre Company

PRESERVING THEATRICAL LEGACY: An Archiving Manual for Theatre Companies
Version 1.3 (14 Aug 2015)

The American Theatre Archive Project (ATAP) supports theatre makers in archiving records of their work for the benefit of artists, scholars, patrons, and the public.

Its goals are:
- To preserve records of current theatrical process and product for future generations.
- To employ theatre legacy to develop theatres' fiscal health and support new work.
- To promote a better understanding of theatre as a vital element of cultural history.
- To encourage scholarly research in contemporary American theatre.
- To increase funding for establishing and maintaining theatre archives.
- To support collaborations among theatre archivists, practitioners, and scholars.

<div align="center">

www.AmericanTheatreArchiveProject.org

</div>

PRESERVING THEATRICAL LEGACY

An Archiving Manual for Theatre Companies

TABLE OF CONTENTS

www.AmericanTheatreArchiveProject.org

PROLOGUE

PRESERVING THEATRICAL LEGACY: An Archiving Manual for Theatre Companies has been created for the busy theatre worker who loves this ephemeral art but is concerned about its place in history. Establishing and maintaining a functional archival program at a theatre company requires time, money, and long-term commitment. However, archiving is also adaptable to company mission, scalable to available resources, emotionally rewarding, and a great deal of fun.

Through its publications and training programs, the American Theatre Archive Project (ATAP) aims to help theatre companies develop an archival sensibility that saves time and money while preserving and making accessible records of theatrical process and product. ATAP focuses on establishing theatre archives on company premises rather than preparing records for transfer to an official archival repository, such as a library with a theatre collection. Theatre companies that are part of a larger organization, such as a university, will want to contact their institution's archivist and/or records manager to determine what archival and retention policies and procedures are already in place, and use this manual accordingly.

This manual is designed to function independently or in tandem with the ATAP Initiation Program (see Appendix A). A box at the end of each chapter summarizes key points for quick reference. Since the manual is updated regularly, please visit the ATAP website to download the latest version and offer feedback through the contact form.

1. WHY ARCHIVE THEATRE? — A Call to Action

The records that your company generates and collects in the course of creating, producing, and publicizing theatrical productions are of immediate value to you in conducting your day-to-day business. After a show has closed, related records serve as evidence of the important work that went into the making of that production and its impact on your artists, staff, and audiences. Maintaining your records in a consistent and organized way will help to preserve them and enable staff (current and future) as well as outside researchers to identify and access the items that document your company's history—the archives.

Having an archival program helps often itinerant staff access company history and work more efficiently. For the publicity director who needs an old production photo for a brochure, the development officer who wants to know the amount of contributions in 1999, or the new artistic director who is curious about the last company production of *Romeo and Juliet*, an organized company archives can respond quickly and easily.

Researchers outside the company may consult your archives for a variety of reasons. Theatre fans may have an interest in a particular production or artist. Students may need to collect information for a class paper or thesis. Scholars may undertake extensive research for an academic journal article or a commercial publication. Colleagues from other theatres may be interested in dramaturgical materials created for your production of a play they are undertaking. By opening your archives to the public, you reinforce the connection between

your company and your community and contribute to research and publications that raise your company's public profile and make its work part of the historical record.

Establishing an archival program for your company improves current administrative and artistic activities by maximizing existing resources and putting your legacy to work for the future. By preserving and sharing your archives, your company safeguards its own historical records and becomes a permanent part of America's theatrical heritage.

(To see if your theatre company is ready to create its archives, take the introductory survey in Appendix A — ATAP Initiation Program Application.)

TOP TEN REASONS TO ARCHIVE THEATRE

1. Save time and money through organization of records.

2. Establish and exploit historical connections with your community.

3. Uncover and preserve historical gems hidden among your "stuff."

4. Improve interdepartmental communications.

5. Relieve staff of the burden of "institutional memory."

6. Engage students, veteran volunteers, and retired staff as free labor.

7. Free up space by discarding old records that are not part of the archives.

8. Collaborate with local and national educational and cultural institutions.

9. Attract legacy-specific grant money.

10. Secure your company's place in history.

---

2. WHOM WILL THE ARCHIVES BENEFIT? — Building Support

Establishing and maintaining successful theatre archives takes a certain amount of archival knowledge and skill, but it also requires an equal amount of political savvy and institutional advocacy. Building archival support is both a top-down and a bottom-up process. (If you participate in the ATAP Initiation Program, the Orientation session will address the items in this chapter.)

The first step is to identify specific stakeholders who might benefit from or utilize your theatre's archives, for example: executives, board members (past and present), staff, artists, audiences, patrons, researchers, and students. It's also vital to enlist in your archival cause the record *creators*: artists, photographers, videographers, journalists, and technical and administrative staff who help create, support, and document your productions.

For many theatre workers, "preserving the historical record" may at first not sound like a goal that serves a theatre company's immediate needs. However, your company likely has a written (and oral) history that is used in connection with mission statements, publicity

materials, on websites, and in furthering its place in theatre history. Even the youngest company will have a "history"—the vision of the founder/artistic director and the reasons behind the genres to be performed—that can help define an archival collection and ultimately set policies for retaining materials. The history should include the most complete chronology of the company and factor in major changes in management, locations, board activity, mission, etc. (If your company does not have a written history, you can work on it as part of your archival program). It is essential to articulate how an archives program relates to your company's *mission* and history and how the archives will support day-to-day operations. Executive staff and interested board members should be enlisted to help draft a mission statement for your archives program. The archives mission should tie into the theatre's mission with a clear and specific purpose. With company leaders engaged in the initiation of your archival program, channeling resources to the archives in the future will be much easier to achieve.

After an archives mission statement is drafted, all stakeholders should be asked to contribute to the design of the project, since your archives should reflect all of the activities of your institution. It is critical to communicate how an archives project will serve each stakeholder's interest. Board members and the managing director may be most interested in how an archives project will help increase labor and economic efficiency. A founding artistic director may be more concerned with the legacy of the work and the people who created it. The facilities manager may want to clean out a closet full of old boxes.

"Top-down" success strategies may include reporting archival activity directly to an executive director/producer, attending board meetings, and forming a board committee, which help guarantee that your archival program remains in line with the company mission. It is also important to consider where the archives will appear in the annual operating budget (e.g., costs of a closet, room, or shelf for physical archives and a portion of someone's salary) as well as each production budget (e.g., archival folders and boxes for scripts, photos, and programs). No matter the scale of your archives, it is easier to attract outside funding and support when archives are incorporated into institutional planning. A tiny budget line item for a small, sustainable archives program is often a better measure of long-term viability than a fat capital project that loses momentum after its establishment.

You may need to employ different, "bottom-up" strategies to build support among the archives stakeholders who carry out the day-to-day work of the theatre. Archives can serve marketing and development staff by offering easy access to historical information, language, and products (e.g., DVDs) that support institutional narratives. A vital institutional archives will provide high-level research services for all users within the organization, making materials available with the least amount of hassle. Staff should be shown how contributing to an archives project can streamline workflow, increase efficiency, document work processes, and preserve the historical record.

Besides executives, board members, and regular staff, companies often employ temporary or seasonal workers to produce theatre. Artists—whether company members or contractors—will often be very interested in preserving the legacy of their work and should be involved wherever possible in designing an archival program. As these creative

personnel are in the center of the theatrical historical record, they should be consulted about how to document creation and performance.

After establishing institutional support with company stakeholders, you should engage audiences and the general public your theatre's archives by way of visual demonstration. Photographs, posters, costumes, and other items from past productions can be exhibited in the lobby and other spaces in the theatre where audience members gather. For both first-time theatregoers and long-time subscribers, these items provide a sense of the history of the theatre and their place in it as they reminisce about past shows and identify actors whom they recognize from other stage, film, and television productions. [Illustrations to come: photographs with captions of the Yale Repertory Theatre's audience lounge, with multi-screen slide show of previous seasons' production; the display of costumes in public spaces at Arena Stage, Washington, D.C.; the Signature Theatre's audience lounges with interactive screens in New York; etc.] Many other audience-engagement activities can increase awareness of the archives and provide fundraising opportunities. For example:

- Place an essay (or a regular series of essays) about the company's history in production programs and/or theatre newsletters.

- Having difficulty identifying some of the people in archival photographs? Place copies in a lobby display and ask audience members to help put a name to a face.

- The numerous duplicate programs, posters, and heralds that consume valuable real estate in company offices and storerooms can be sold at a lobby kiosk with a brochure describing the company's efforts in establishing an archives.

- Combine all of the above activities and invite the public to a weekend company fair where they can enjoy interactive exhibits, buy theatre memorabilia, meet actors in current productions, etc.

- After communicating your archives mission to subscribers, develop an archives volunteer group whose members can help with routine sorting of archival material.

- To provide funding for the archives, include a line on renewal forms for a special contribution to the archives and/or add a small "legacy" fee to ticket prices.

- Consider including your archival program in grant applications for infrastructure/operating support and emphasize how orderly, accessible archives will enhance your theatre's day-to-day efficiency and effectiveness as well as preserve its place in your community's cultural history.

No matter what shape your archival program takes, make sure to enlist the input of all possible stakeholders at its inception in order to build a foundation for long-term success.

BUILDING SUPPORT

1. Identify and engage key stakeholders in your archival program by addressing their unique concerns.

---

2. Enlist record creators to your cause and get their advice on how best to document their artistic process.

3. Draft an archives mission statement that supports your theatre's mission.

4. Secure the support of company leadership.

5. Form an archives committee from a cross-section of stakeholders.

6. Engage your audiences with visual displays of archival materials.

3. WHAT DO WE HAVE? — Preliminary Archival Assessment

Once you have established the necessary buy-in for the *idea* of an archival program at your theatre company, the practical work begins.

Only a fraction of all the records that your company generates in the process of producing theatre will ultimately find their way into the archives. All archives are records, but not all records are archives. ***Archives are non-current records deemed to be of permanent historical value.*** These records will no longer be needed in the course of day-to-day company activities but collectively will document your theatre's history. Just as each theatre company is unique, its archives are equally distinctive. Current professional archival principles and standards have been developed over decades of archival practice, but each company will address and adhere to them in its own way.

The most basic archival principles are ***respect des fonds*** and **original order**. The principle of *respect des fonds* dictates that records of different origins (**provenance**) be kept separate to preserve their context. For example, if the correspondence of the artistic director is filed in her office before it is archived, the correspondence should not be interfiled with the correspondence of the company's managing director once those records are transferred to the archives. The principle of *original order* dictates that the organization and sequence of records established by the creator of the records be maintained. For example, the documents in a stage manager's calling script have a sequential purpose that should be preserved "as is" when placed in the archives. As you begin to survey your company's records and decide which belong in your archives and how they are organized, these principles will help you preserve your company's history—especially when the creators of the records are no longer around. When the provenance and/or original order cannot be determined, records should be organized in such a way that they are easily searchable (e.g., chronologically).

Before any archival records are placed in any box or any listings of material are made, you should engage an archivist to conduct an archival **assessment**. (A Preliminary Assessment is the second part of the ATAP Initiation Program; review Appendix A.) During this process, the archivist meets individually or in small groups with members of each theatre department to become more familiar with the history, activities, programs, practices, needs, and goals of the company and to further explore how the staff envisions a company

archives being used. The company's organizational chart is often a useful tool to guide this discussion.

The archivist will also do a **general survey** of what types of materials are currently kept and how they are housed (see Appendix B — Preliminary Assessment Guide). Issues regarding shelving space, staffing of the archives, and financial support for its maintenance may be discussed. The often thorny issue of how digital records (both born-digital and digitally reformatted) are stored should be addressed with all staff, especially those in the IT department.

Following the onsite preliminary assessment, the archivist will prepare a **preliminary assessment report** for your company that details the findings of the assessment and outlines a plan for moving forward (see Appendix C — Sample Preliminary Assessment Report). Included in the report are preliminary goals, including locating, preserving, and making accessible the significant historical records and developing record retention schedules and records management policies for archival and non-archival documents in order to better manage the materials from each season. If your theatre has an approaching anniversary or other event for which you would like to use your newly archived records, realistic deadlines and goals for the event will be discussed. The scalability of your archival program and any preservation issues will be addressed (e.g., what can be done in a week/month/year, what can be done in the future if a preservation grant is obtained, etc.). (If your theatre is participating in the ATAP Initiation Program, the dissemination of the report will be followed by an interactive Workshop, at which an ATAP archivist and documentarian will discuss recommendations with your staff, share basic archival principles and practices, and help you form an archives committee and determine prudent next steps.)

Once your company has consulted with an archivist, conducted a preliminary assessment, reviewed recommendations, and committed to establishing an archival program, your next steps could entail a **comprehensive survey** of current holdings. If your company is small, the initial records survey that is part of the preliminary assessment may suffice (the ATAP Initiation Program includes up to 8 archivist hours). However, if your company is large and/or old, a more comprehensive survey may be in order (and is required for certain preservation grants). During the survey process, the archivist works closely with your archives committee to review and make note of all existing records and their locations. These can include onsite records in offices, closets, attics, and basements, as well as offsite locations such as record storage facilities and the homes of current or former administrative, managerial, and artistic staff and board members. These records come in a range of formats, including paper, videotapes, audiotapes, photographs, textiles, and digital records. Examples of typical theatre company records are listed below:

Administrative
- human resource files
- licenses/permits
- credit card receipts

- banking records
- employee directories
- invoices
- petty cash vouchers

- safety records
- purchase orders
- equipment maintenance records and manuals
- grant awards
- staff meetings and reports
- press clipping files
- contracts
- artistic correspondence
- photo documentation
- video documentation
- building leases and/or purchases
- capital campaigns
- galas or fundraising events
- trademarks
- theatre architectural drawings and records
- house reports
- concessions reports
- correspondence
- marketing brochures/posters

Creative/Artistic
- script drafts
- final scripts
- scene/character breakdowns
- scores
- song lists
- unused song lists
- running song order
- orchestrations
- orchestration schedules
- cast breakdowns
- development notes

Design/Technical
- set design elevations, plans and notes (including research)

- lighting design plots, cues, and notes (including research)
- sound design cues and notes (including research)
- research on wardrobes/costumes
- dress size sheets (measurement sheets)
- costume specs/sources
- millinery/accessories breakdown
- costume studios bids (with agreements and sourcing)
- costume sketches
- fabric swatches for fabrics used and/or consulted
- photos of actors in costume (fittings photos)
- photo documentation of costumes
- notes on costumes/wardrobe
- costume bibles
- research on props and scenic elements
- sketches and photographs of props/scenic elements
- sources (purchase, loan)
- notes on props/location of props

Production
- production "bibles"
- contact sheets
- calendars
- rehearsal reports
- performance reports
- budgetary (petty cash, timecards, invoices)
- blocking script
- calling script
- fact sheets

- executed contracts and attendant correspondence with agents and unions

- performance video recording documentation (if applicable)

- correspondence—internal and external

The completed survey provides your staff with a clear picture of what records the company has, where the records are kept, and how many records there are. With this information, the appraisal and disposition process can begin.

PRELIMINARY ARCHIVAL ASSESSMENT

1. Review the definition of archives: non-current records deemed to be of permanent historical value.

2. Understand the archival principles of *respect des fonds* and original order.

3. Consult an archivist to conduct a preliminary assessment of your theatre's records.

4. Review the archivist's recommendations and establish an archives committee to take the reigns of next steps.

5. If your company is large or old (i.e., has an enormous amount of records), engage an archivist to perform a comprehensive survey.

---

4. WHAT SHOULD WE KEEP? — Appraisal & Disposition

An archival assessment may reveal that in order to establish its archives, your company must first formalize its record creation and retention processes. These are often related to organizational structure. For some theatre companies, departments and responsibilities are fluid (i.e., staff job descriptions often include work in a range of "departments"); larger theatre companies often hire more specialized staff and have more defined departmental boundaries. The number of departments generating records within any given company varies, but typically include the following:

- Artistic (artistic direction, dramaturgy/literary management, casting)
- Business (managing director, finance, box office, front-of-house, facilities, IT)
- Development (institutional and individual giving, fundraising)
- Education (outreach, audience enrichment, talkbacks, study guides, interns)
- Marketing (advertising, public relations, graphic design, publicity)
- Production (technical direction, stage management, shops)

Determining document generation and flow will ensure that materials scheduled for retention in your archives are pulled using a pre-determined schedule. Designating

members of your archives committee to liaise with each department will ensure retention of significant documentation and the timely inclusion of those documents in the archives.

The creation of a **document retention schedule** should be one of the first tasks you undertake after the assessment (see Appendix D — Sample Retention Policy & Schedule). The retention schedule organizes a list of documents by department, thus creating a visual flowchart depicting documents, their creators, how long they are kept, and ultimate **disposition** (where they go when no longer in use). This schedule should be drafted with the input of the financial department, legal counsel, and heads of each department. Although a functional retention schedule can be drafted with a simple spreadsheet, your company may wish to consult with a professional records manager to assist in this process (see Appendix F: Archival Resources). Once formalized, the retention schedule will assist in the straightforward assessment of documents to determine short- and long-term retention. Most documents subject to the retention schedule will easily fall within two areas: **lifespan** and **non-lifespan** (perpetuity) documents.

Lifespan documents are retained for determined lengths of time for legal purposes. These documents can include credit card receipts, accounting documents, payroll records, etc. Determining the appropriate lifespan ensures that these records are kept only so long as legally required and sets calendared destruction dates to dispose of the documents once they are no longer needed (or once the lifespan expires). Lifespan documents may include, but are not limited to:

- Human Resources files
- licenses/permits
- credit card receipts
- banking records
- employee directories
- invoices
- petty cash vouchers
- safety records
- purchase orders
- equipment maintenance records and manuals

Non-lifespan documents are retained in perpetuity. These documents comprise the bulk of the archival collection and include a wide range of materials that chronicle the operation of the company. Non-lifespan documents may include but are not limited to:

- grant awards
- staff meetings and reports
- press clipping files
- scripts
- production "bibles"
- contracts
- artistic correspondence
- photo documentation
- video documentation
- building leases and/or purchases
- capital campaigns
- galas (or fundraising events)
- trademarks
- endowment records
- corporate by-laws and incorporation
- blueprints/elevations for building plans and constructions
- publications (newsletters, study guides, journals, annual reports)

Identifying these two categories of records (**appraisal**) will assist in managing the flow of documents. Handling the lifespan documents first leaves more time for the detailed work of managing the perpetuity documents. Designating a central repository (or shelf, closet, etc.) to temporarily retain lifespan documents helps isolate these documents away from the archival collection and makes monitoring for ultimate destruction easier. A simple spreadsheet or database can be created to track the lifespan documents: use the contents of the boxes (date range, department, box/location number, etc.) as data fields. Dispose of the documents once they have reached retention cut-off. Shredding of confidential documents that are no longer needed protects your organization and ensures compliance with both state and federal laws. Many shredding companies offer secure mobile shredding or off-site document destruction (see Appendix F).

What constitutes perpetuity documents will be slightly different for each company and will reflect your theatre's mission and spatial parameters. Generally speaking, items that chronicle your company and its place in a historic context should be permanently retained. The creative and administrative documents from your productions are essential to your archives and should be as complete as possible. Contracts, set and costume designs and notes, lighting and sound cues, daily reports (performance and house), artistic collaborator correspondence, and digital-born documents (e-blasts, newsletters, ticketing, email, etc.) all fall within this area. Documents from non-staged "productions" should be retained as well, including play readings (either public or in-house), donor dinners and events, educational outreach, co-productions, etc.

Your archives committee should set a **retention policy** for key non-lifespan materials and documents and include this policy in recordkeeping manuals with your retention schedule (see Appendix D). The policy should include a checklist of desired archival documents to help with retention and establish an order for the documents that can be maintained once the materials are moved to the archives. It is prudent to reach out to artistic collaborators while the productions are in planning/rehearsal phases (or immediately after the production is in previews) in order to get copies of costume sketches, fittings photographs, source materials, set models, etc. Identify a room, closet, or shelf *separate from your lifespan repository* as the home for your company archives.

Items collected from *outside* the company during the creation and production process are seldom needed for the archives. For instance, development staff might collect research on potential funders or examples of other companies' gala materials. Retaining this kind of documentation past the point of usefulness is unnecessary. Your company is not creating a collection of publications by all theatre companies (a library) but rather a collection created by your company (an archives), one that is meaningful and manageable. Organize purges of unnecessary documents on a yearly basis to keep files and offices up-to-date and on-mission. As noted above, it is critical that the archives committee work closely with all records creators to insure that the records are transferred to the archives for proper disposition.

Once you've got a handle on your company's current documents by creating a retention policy and schedule, your archives committee may turn its focus on what is missing. Your

collection (or **acquisition**) **policy** will identify the kinds of materials that your archives is seeking to acquire. For most companies, the collection policy should include only materials that directly support or enhance the organization. Donations of materials should fall in line with this policy. (If an audience member wants to donate her 10-box collection of 1940s playbills, do you accept the donation? Does it follow your collection policy? Would the donation be better received elsewhere?) Establishing clearly defined collecting areas might expand to include areas that fall outside your immediate organization (for example, collecting historic materials about your theatre building or scholarly journals about a particular playwright whose work is often staged by your company). Collecting can (and arguably should) include sidebar interests, but take steps to ensure that the sidebars are defined and manageable.

The collection policy should also note material to supplement gaps in archival holdings, such as material from early years of the company. An oral history program can also be a wonderful way to capture the history of an organization. Forging meaningful relationships with artistic collaborators might be the single most important step taken toward guaranteeing retention of documents. Reach out to designers and directors (and often, more importantly, the assistants to these people) with the goal of educating them on the significance of retaining documents for the company archives. Stress the potential for scholarship, legacy, and shared resources.

APPRAISAL & DISPOSITION

1. Create a document retention schedule to list all current document types and distinguish lifespan documents from non-lifespan (perpetuity) documents.

2. Identify separate spaces for temporary storage of your lifespan documents until they can be destroyed and permanent storage of your perpetuity documents as your archives.

3. Establish and communicate a clear retention policy for archival documents to all staff, particularly to creative record generators who may be contract employees.

4. Create a collection policy to acquire documents that are missing from your current holdings but are essential evidence of your theatre's history.

---

5. HOW DO WE PROTECT OUR RECORDS? — Storage & Preservation

Many companies have little room for staff, let alone extensive storage for an archival collection. This means that fragile (and rare) materials often end up in less-than-desirable locations. Most materials deteriorate over time, especially film/video and paper products, so a vigilant eye is required to protect the items designated for your archival collection. Included in this section are basic preservation guidelines that should be reviewed with company staff.

Areas housing archival documents should be climate-controlled and regularly monitored to ensure that the materials are protected. Often storage areas have ceilings that leak, are not properly ventilated, and/or are subject to other environmental hazards (rodents, dust, etc.). General climate standards for archives are 68 degrees Fahrenheit and 50% RH (relative humidity). However, maintaining stable temperature and humidity levels is preferable to pursuing an "ideal" of climate control that may be very difficult to attain in many buildings. If archival collections must be stored in loft spaces or in areas subject to water and/or environmental hazards, take the steps necessary to protect the items by installing metal shelving units, tarping boxes, or re-housing/removing sensitive materials (photographs, media, rare poster artwork, one-of-a-kind manuscripts, etc.) to ensure a more stable environment.

If archival documents have been damaged (water damage, mold, excessive light exposure, etc.), it is important to immediately isolate these items and treat the damage. Mold can be extremely dangerous if inhaled, so it is best to consult a specialist who can advise and carry out treatment if necessary. If possible, wrap the affected item in freezer paper and keep frozen until it can be seen by a specialist. Never freeze audio and video tapes, CDs or CD-ROMs, DVDs, ambrotypes, daguerreotypes, or tintypes.

Keeping one step ahead of environmental concerns is only part of the preservation effort. Materials identified for retention in perpetuity will often need to be cleaned and/or repaired and will undoubtedly have to be re-housed in archives-compliant boxes and folders.

At the most basic level, archival items should be properly boxed and stored on metal shelves in areas not subject to waterways, windows, A/C vents, or excessive fluorescent lighting. Use acid-free sleeves and boxes to store the materials and place these boxes in easily accessible, temperature-controlled rooms. Keep these rooms free from food and beverage use. Purchase inexpensive UV fluorescent light filters to protect archival collections from fading due to prolonged UV/light exposure and maintain a regular cleaning schedule to remove dust, dirt, and other organic/inorganic materials from shelves and floors. Communicate with your building maintenance staff to be aware of and negotiate cleaning services and changes to the temperature control and lighting of the archives room. For example, your company might lower or turn off the building's heat when the building is not occupied, but extreme temperature changes could significantly damage some records.

Stabilize slides/photos/negatives by housing these items separately from paper collections. Use archival-grade photo envelopes and sleeves to protect the film and clearly label the sleeves with identifying information about the image using inexpensive archival marking pens. House posters/window cards/elevations/stage plans in flat metal drawers with all paper clips and rubber bands removed prior to storage. Store media (video/moving image film) in the coolest room possible (ideally 50 degrees/50% RH). Never store loose paper in the storage box/can containing moving image film, and monitor film degradation by periodically smelling the storage box/can to detect vinegar syndrome. If the film is giving off a vinegar scent, isolate the materials from the general collection, as this "vinegar syndrome" is a sign of deterioration.

If funding is limited for the above ideal archival supplies, store the items in size-specific folders/boxes of the highest quality available given your budget. Do not overstuff or underpack the boxes—you want to create an environment in the box whereby the documents are easily pulled for access and not bent when documents are removed. Clearly label the outside of each box with a range of dates and/or specifics about the contents. Purchase a bag of white cotton gloves for use (and cleaned for reuse) when handling photographs and other sensitive materials. Purchase reams of acid-free paper to use to interleave material and as dividers within the boxes.

No matter the quality of the storage conditions, a well-planned emergency plan should be in place should unforeseen natural disasters impact the archival holdings. Designate staff members to take charge of ensuring proper handling of the damaged materials and have a plan for dealing with the damage in a quick and effective manner. This plan should be shared with all staff members, and multiple copies should be kept in and outside of the theatre. The plan should also include emergency phone numbers, including local organizations that can assist the theatre in case of damaged materials, such as the Northeast Document Conservation Center, whose leaflets can be particularly useful when preservation crises (e.g., flood, fire, etc.) arise. While most companies will not have the resources to have a full preservation survey and follow-up treatment conducted, company staff should become familiar with basic triage methods. Basic emergency supplies, including plastic drop cloths, a wet vac, etc., should be kept on hand specifically for the archives (see Appendix F for a list of companies specializing in archival supplies). Types of natural disasters that affect the company's geographic area, such as flooding or earthquakes, will dictate emergency supplies that will be of most use. Discuss this emergency planning with your company/facility administration so that the archives can be integrated into an institution-wide plan.

STORAGE & PRESERVATION

1. Identify the best storage option for your archives within the parameters of your facility.

2. Aim to keep climate conditions stable, ideally at 68 degrees Fahrenheit and 50% relative humidity.

3. Purchase the best archival shelving and supplies within your budget.

4. Identify and preserve any records that are damaged or in jeopardy.

5. Develop an emergency plan for your archives in case of natural disaster.

---

6. HOW DO WE PROCESS FOR POSTERITY? — Arrangement & Description

With a clear retention schedule, retention policy, and collection policy in hand, and ideal storage located, your archives committee—under the supervision of your consulting archivist—can begin work on the arrangement and description (also known as **processing**) of the perpetuity records you are collecting for your archives. Within each

department, you will refine the **arrangement** of materials to be prepared for the archives, re-house material, and create a listing to facilitate future access by staff and other researchers.

While material that comes to your company archives from various departments may be in somewhat orderly arrangement, documents that arrive from closing productions and/or load-outs often need to undergo substantial reordering. Stage managers, general managers, and other workers use documents for different purposes and retain and reorder the documents to serve necessary ends (e.g., pulling contracts or invoices, consulting past correspondence, etc.). Maintaining the integrity of original order in conjunction with future accessibility can be contradictory. You may be forced to rearrange documents to aid access using terms and definitions understandable to your company staff (which may or may not be used by the archives profession). Be aware of how documents are used prior to arriving in the archives and exercise common sense in creating order and arrangement.

For example, a set of stage manager reports may have been consulted by a general manager. The order of the reports might have been altered to highlight important nights, trouble areas, etc. This same set of documents might then be passed to the assistant of the general manager, who is asked to reorder the documents looking for a specific cast member. The documents are then passed by the assistant to an intern who is charged with the task of isolating matinee performances from the run to calculate house totals. Do you see where this is leading? By the time the archives receives the documents, they have been reordered numerous times. Maintaining the reports in this unordered state will lead to confusion. In this instance, a reordering using date chronology would be practical to ensure future accessibility.

This isn't to say that all documents will need to be, or should be reordered. Often documents arrive directly from the person who created them (perhaps the stage manager) and should be kept in this original order. But in many instances the documents arrive in a less organized/less original order and should be rearranged in favor of accessibility. Frequently, multiple copies of the same document are found within departmental and individual staff files. By developing policies on how duplicates are handled, your archives committee can eliminate unnecessary material and free up valuable shelf space.

Once you've sufficiently arranged perpetuity records that have arrived in your archives—balancing original order and accessibility—it's time to begin the process of **description**. **Series**, or grouping of records with the same **provenance**, will be identified and numbered, (usually according to a hierarchical arrangement based on the company's organizational chart), and further subdivided into subseries. For example:

> City Theatre Records
> Series I. Artistic Director's Records
> > Correspondence [subseries]
> > Subject Files [subseries]

Here records from the artistic director's office include files of correspondence and another run of files relating to topical subjects; these form the subseries within Series I. Artistic Director's Records. The correspondence files (which, for the purposes of this example, are

arranged alphabetically by correspondent) would be reviewed to clarify names and order, and, if staff resources permit, correspondence within folders would be arranged in chronological order; a similar process would be undertaken for the subject files. Inclusive dates of the material within the folders would be written on the folder label. A standardized folder labeling system should be adopted. For example:

> City Theatre Records
> Series I. Artistic Director's Records (John Smith) Correspondence Abbott, Helen
> Box 1, folder 1 1985-1996

When you place material in boxes, affix a box label containing information regarding the contents of each box, as well as an assigned box number.

Create a listing or **inventory** of the records that reflects the arrangement of the records and includes the box and folder number numbers to enable physical access to specific records (see Appendix E — Sample Archival Inventories). A similar database as that used for lifespan documents can also be used for inventorying your collection of archival materials. Software can be purchased for this purpose, but there are templates that have been designed by established archives that can be used through open-source sharing (see www.collectiveaccess.org for templates created by Brooklyn Academy of Music and Roundabout Theatre Company). These open-source templates can be installed and managed by in-house IT staff. For those companies without IT staff, common office software can be used to create archival inventories that can be shared online with staff and potential outside users.

Assistance with arranging and describing company archives can be obtained in several ways. A consulting professional archivist may be able to train and supervise your staff in basic archival processing for a nominal fee or even tickets to your shows (barter). Consider establishing a student internship through local university graduate archival and/or theatre programs. If you participate in the ATAP Initiation Program, your ATAP archivist and/or documentarian may be affiliated with or have colleagues in these programs. Also, your company may have volunteers such as ushers who are very knowledgeable about the company's history and can perform basic processing tasks such as sorting and arranging material alphabetically or by date. Although establishing and maintaining your theatre's archives is a long-term commitment that can at times seem overwhelming, when broken into discrete projects, it's actually very doable. And don't forget to apply the creativity with which you tackle your theatrical work to your archives—simple solutions and resources are often very near when you think outside of the box.

ARRANGEMENT & DESCRIPTION

1. Use common sense to balance concerns of original order and accessibility as you collect and arrange records for the archives.

2. Establish a clear and consistent method to label and describe the records in your archives.

---

3. Whether a spreadsheet or a database, create an inventory of your archives that matches your description protocols.

4. Enlist students and volunteers to help with discrete processing tasks.

7. HOW DO WE MAKE OUR ARCHIVES ACCESSIBLE? — Public Use

Your archival program can support company staff on a daily basis and enable them to work more efficiently. The databases/inventories created and maintained by your archives committee will provide the principal reference tools for identifying where a particular source of information is located within the archives. Additional tools can include a company history, a listing of productions, and an inventory of artists who have been involved in company productions. Making these tools available to staff on the company website enables them to identify the box/folder location of the documents they want to use. While company staff have internal needs for the company archives, individuals outside the company may also have reason to consult your collection.

In planning for researcher inquiries, your archives committee will need to determine the means and extent to which company records will be made available to outside researchers. The majority of inquiries will no doubt relate to the company's production and administrative history. By placing a history of the company, a chronological listing of productions accompanied by production photographs, and an administrative history (including names of staff and time periods of their tenure) on your theatre's website, the number of basic informational requests will be reduced. For many theatre companies, at least initially, providing on-site access to their records is not possible due to staffing, space, or other limitations. In those cases, the archives' online presence is even more essential. Additionally, a list of Frequently Asked Questions (FAQs) can be linked to the archives website and can be updated as appropriate questions arise. User statistics can inform decisions regarding priorities for adding content to the company/archives website. As photographs are requested by researchers, for example, you may choose to digitize those items and make them available via the website.

Some records are by law restricted for specific periods of time; for example, personnel files and any kind of medical records. Based on discussions with administrators and other staff, you can include notes in the archival inventories regarding what is and is not available to researchers and post relevant information to your website. For example:

- Publicity (photographs, programs, heralds): available after production closes
- Financial records: available 10 years after production
- Videotaped performances: available as union contracts allow

Establishing and publishing policies for outside researchers will save time and help your archives committee handle unexpected requests. Basic information regarding how and when researchers may visit; how individuals register to use the archives; what kind of copying facilities, if any, are available; permissions to publish material from the archives,

etc., should be made a part of the archives page of your website. Since needs and requirements vary from one company to another, tailor these policies to suit your theatre.

Once you've established basic researcher policies and active use of your theatre's archives, you may consider developing other policies common at established archival repositories, for example:

- Equal access
- Registration of readers
- Confidentiality
- Restrictions—imposed by company/donor/contracts (unions)
- Restrictions—imposed by law (personnel records, medical records, etc.)
- Copying of material
- Publication rights—who owns rights to materials held in company archives and who gives permission to publish?

While some theatre companies may not have the space and/or resources to provide on-site reference services for outside researchers, you should become familiar with the issues involved in providing this service. You may require that in-person researchers set up an appointment and identify what material they wish to see before they come to your archives. This could be done via telephone, an online form or an email to your archives committee. Registering readers enables companies to track use of the archives and the purpose of the reader's visit as well as verify identification for security purposes.

While you do not need a fancy reading room like one would find in an institutional repository, you should consider providing the following for visiting researchers:

- A place to check bags, coats, etc.
- A table (with chair) large enough to accommodate the material they wish to see, preferably with an electrical outlet nearby for those using laptops. The table should be within viewing of an archives committee member so that the handling of material can be observed.
- A supply of pencils for taking notes. (No ink pens, which could permanently mark material, should be used by researchers.)

Typically, reading rooms have a list of rules by which readers are expected to abide, and usually include policies regarding handling of material: use of pencils rather than pens and restricting food and drink (for preservation purposes), cell phones, personal cameras, etc. A copy of the rules should be reviewed with and given to the reader. These rules may also be posted to your theatre's website so that the researcher is aware of the rules in advance.

After a reader has identified, via the inventory, what boxes he or she wishes to see, a staff member retrieves the material and provides it to the reader. In order to insure the preservation and order of the material, readers should use one box, and one folder from that box, at a time. If the company allows photocopying of material, an archives committee member should be responsible for doing the actual copying in order to insure careful handling; the researcher can use acid-free flags to identify items to be duplicated.

Ideally, your archives committee will maintain a record of what material is used by researchers. In this way, use can be measured statistically, rather than anecdotally. These statistics can be helpful when determining what material should receive additional preservation or digitization, when reporting on the activities of the archives to company administrators and/or board members, or when applying for additional grant funding for the archives.

If your company is able to make your archives available on-site to the public on a regular basis, you may consider including a description of your archives for potential researchers in national, state, and/or local archives online catalogs, including the National Union Catalog of Manuscript Collections http://www.loc.gov/coll/nucmc/. If you choose to place your archives in a manuscript repository (see section 8), information about your archives will be included in that repository's local catalog and will likely be contributed to a national database of archival holdings.

PUBLIC ACCESS

1. Create an archives page on your company's website and include basic company history and production chronology.

2. If you are ready to accommodate outside researchers, create and post on your website any rules and policies as well as a listing of items that are publicly accessible.

3. Within the parameters of your facility, provide a secure and clean space for researchers to review your archives, one box and folder at a time.

4. Keep track of archives usage for further conversations with theatre leadership and funding agencies.

---

8. WILL WE KEEP OUR ARCHIVES FOREVER? — Planning for the Future

While much of the processing of your theatre's archival material can be conducted within existing company offices, storage of the material may require additional space within or outside the theatre and/or company building. After conducting a preliminary archival assessment and determining what is to be kept as well as the approximate amount of material that will be added each year, your archives committee can determine if existing space will suffice. You will also want to consider how often some material may be needed by staff and potential researchers more often than others. Specific types of material may be kept on site, while others could be sent to an off-site shelving location.

Given limitations on time, space, and money at your theatre, you may also consider the possibility of placing your company archives in a manuscript repository. Repositories in public, academic, or private institutions specialize in preserving and making accessible manuscript collections and institutional records from a variety of sources. However, the pros and cons of this option should be weighed carefully. Depending on your geographical location, finding an appropriate repository for your theatre's archives may entail a simple

phone call or an extensive search. Within large, metropolitan areas, public libraries and universities often have well known archival repositories. It may be more difficult to identify appropriate repositories in smaller communities.

All manuscript repositories have general, if not specific, collection development policies. Understandably, they cannot acquire every archive that it is offered. So, you will want to initially investigate repositories that specialize in performing arts, and/or a repository with which your company or company affiliate already has a relationship. Often, company founders or other administrative or artistic staff have strong ties with their alma maters; these universities often are interested in collecting the papers of their graduates or the records of companies with which they have been strongly associated.

In discussing the possibility of placing your company archives in a manuscript repository, you will want to evaluate the repository's policies regarding:

- gift agreements, detailing ownership of intellectual rights and property rights of material
- deposit agreements, detailing length of deposit, financial support for housing and processing material, and under what circumstances material might be returned to the company
- the manner in which originals or copies of archival material may be made available to the company by the repository when needed
- restriction agreements describing what, if any, material should be restricted to readers (researchers) and for what period of time
- schedules of transfers to repository describing the timeframe for initial and future additions of archival material to be transferred to the repository (e.g., every 2, 5, or 10 years)
- the manner in which inventories and finding aids will be created in conjunction with the repository
- providing financial assistance for processing and housing company records

In considering an appropriate repository for your company's archives, you will also want to consider the location of the repository and the ease with which company records can be transferred and accessed. While some high-profile repositories may offer prestige, if they are highly restrictive or far away, your company may not be able to activate its archives in a way that supports current work. On the other hand, theatre companies do not live forever, so establishing a relationship with an institutional repository is prudent, even if your archives remain in-house until your company stops making theatre.

PLANNING FOR THE FUTURE

1. Project growth rate for physical records and identify on-site and off-site storage options.

2. If unable to maintain an archival program, identify an institutional repository to take your collection.

EPILOGUE

This manual has provided basic information about establishing and maintaining your theatre's archives. As your company works through the process of assessing, surveying, appraising, storing, preserving, arranging, describing, and making accessible its legacy documents, ATAP archivists and documentarians are available to answer questions and recommend solutions to issues as they arise. Please visit our website regularly for the most current resources and don't hesitate to share your feedback on this manual so we can continue to improve it.

APPENDIX A — ATAP INITIATION PROGRAM APPLICATION

The American Theatre Archive Project (ATAP) supports theatre makers in archiving records of their work for the benefit of artists, scholars, patrons, and the public.

An initiative of the American Society for Theatre Research (www.astr.org), ATAP is a grassroots network of professional and student archivists, practitioners, and scholars dedicated to preserving the legacy of the American theatre by developing archival resources for theatre companies.

One of these resources is the **ATAP Initiation Program**, which places an archivist-documentarian team with a theatre company to assess records of historical value and formally establish archives. The Program currently costs $1000: $600 covers archivist/documentarian stipends, and $400 goes toward archival supplies (boxes, hard drives, etc.) for the theatre company. Local or national funds may be available to help cover this cost.

The ATAP Initiation Program takes place over the course of one month and comprises the elements below. Session times vary depending on number theatre staff, records, etc.

o **Orientation: Preserving Your Theatre's Legacy**—60–90 minutes during week 1. This interactive orientation provides an overview of the work ahead and generates a provisional archives mission statement that reflects the theatre's values. It's the "theory" before the practice begins.

o **Preliminary Assessment—**up to 8 hours of appointments during weeks 2–3. The archivist surveys records and storage spaces and interviews staff about current and desired archival practices. Upon completion of the assessment, the archivist will submit a report with recommendations and follow-up questions to answer before the workshop.

o **Workshop: Establishing Your Theatre's Archives**—60–90 minutes during week 4. This interactive workshop introduces and applies basic archival principles and practices based on the recommendations from the preliminary assessment. Theatre staff will leave with a refined mission statement, goals for the next quarter, specific tasks to take on immediately, and a formal committee to oversee the work ahead. The documentarian will work with staff to write a case study of the process that can be shared with other theatres and funders.

Participation in the ATAP Initiation Program is dependent on funding and the availability of trained archivists and documentarians in your area. To help you get started on establishing your theatre's archives with or without this program, download ATAP's free *Preserving Theatrical Legacy: An Archiving Manual for Theatre Companies* from www.AmericanTheatreArchiveProject.org.

If you would like your theatre to be considered for the ATAP Initiation Program, please fill out the following application form.

ATAP INITIATION PROGRAM APPLICATION FORM

NAME: _____

TITLE: _____

COMPANY: _____

ADDRESS: _____

PHONE: _____

EMAIL: _____

YEAR COMPANY ESTABLISHED: _____

1. **Does your company keep records from past projects and/or administrative activities?**

    Yes

    No (skip to question #9)

2. **Which of the following types of records does your company keep? (check all that apply)**

    Administrative (articles of incorporation, by-laws, meeting minutes, annual reports, appointment calendars, correspondence, insurance policies, etc.)

    Artistic/Literary (scripts, sheet music, programs, performance guides, awards, etc.)

    Audience (mailing lists, surveys, summaries, etc.)

    Design (costume sketches, lighting plots, scene designs, sound cues, etc.)

    Development (grant applications, donor lists, etc.)

    Facilities (architectural renderings, specs, ground plans, etc.)

    Financial (budgets, reports, box office statements, concession sales, invoices, etc.)

    Legal/Personnel (job descriptions, contracts, license agreements, etc.)

    Marketing/Publicity (advertising mock-ups/plans/schedules, brochures, newsletters, press releases, press kits, features, reviews, etc.)

    Production (production calendars, rehearsal schedules, contact sheets, performance reports, prompt books, costumes, props, sets, etc.)

3. **Approximately how many standard bankers boxes would your theatre's records fill?**

    Under 10

    11-25

    26-50

    Over 50

4. **Approximately how much server/hard disk space do your theatre's digital records occupy?**

    Under 500 gigabytes (GB)

    500 GB—1 terabyte (TB)

    1–10 TB

    Over 10 TB

5. **How are the records currently maintained?**

    An individual staff member coordinates the maintenance of all the records.

    Staff members from various departments maintain records generated by their departments.

    No staff member is responsible for maintaining the records.

6. **If a single staff member is responsible for maintaining the records, what position does this staff member hold?**

    Administrator

    Archivist

    Intern

    Literary manager or dramaturg

    Other _____

7. **Are these records requested and used by staff?**

    Yes, daily.

    Yes, weekly.

    Yes, but infrequently.

    No.

8. **Are these records requested and used by outside researchers?**

    Yes, daily.

    Yes, weekly.

    Yes, but infrequently.

    No.

    No, outside researchers are not given access to the records.

9. **If yes, please indicate which types of researchers use the records.**

    College and/or graduate students

    Independent researchers

    Press

Staff from other theatre companies

University faculty

Other

10. **Where are the records stored?**

In boxes under the stage/in the back of closets/anywhere we can find space

In space specifically designated for the records

In off-site storage

11. **If you don't keep records, why?   (check all that apply)**

No space

No time

No interest

Please elaborate _____

12. **Does your company already have an archival relationship with a library or repository?**

_____

13. **Within the next five years, will your company be moving or celebrating a significant anniversary?**

Yes

No

14. **Which company leaders support the dedication of time and resources to an archival program?**

Artistic director

Managing director

Board chairperson

Other: _____

15. **Which four-week period is ideal for the Program to take place at your theatre?**

_____

16. **Please add any comments about the general idea of creating and maintaining an archive of your theatre's legacy.**

_____

APPENDIX B — Preliminary Assessment Guide

The following guide (courtesy of Tiffany Nixon, Archivist, Roundabout Theatre Company) may be used to interview theatre staff and conduct the materials survey that will constitute a preliminary archives assessment. Detailed notes will support a Preliminary Assessment report.

1. What **materials** are present?
   - Programs/playbills
   - Posters
   - Artwork
   - Scripts
   - Bibles/stage manager compilations
   - Press/publicity
   - Clippings
   - Media (photographs, video, audio)
   - Institutional (financial, board-related, departmental, fundraisers)
   - Correspondence
   - Building leases, plans, moves, etc.

2. Who **stewards** these materials, and why?
   - Permanent staff
   - Seasonal/temporary staff
   - Board members
   - Interns
   - Volunteers

3. What materials are **not present**, and why?
   - Located off-site
   - Located in a staff member or board member's house or office
   - Located in artistic collaborator's house or office
   - Are there regularly scheduled purges? Who determines timing and materials?

4. How are materials **created**?
   - Request a flowchart of document creation by department—who does what?
   - Born digital—in-house (development, marketing, management, artistic)
   - Born digital—farmed out (press, advertising, marketing)
   - Legacy paper documents (articles of incorporation, annual reports, etc.)
   - What databases are in use? (Word, Excel, Access, Filemaker)

5. How are materials **maintained**?
   - Are specific filing and labeling systems uniform or unique by department?
   - Are there specific servers and/or electronic backup? Who maintains them?
   - Are materials purged from computers or servers? Who does this?

6. What general **records management** practices exist?
- Is there a records management process in place? Who regulates and maintains it?
- Is there a retention schedule? Can it be amended to include archives?

7. How are the **legal** concerns of the materials managed?
- Does the theatre own or control all the materials it keeps? If not, who does?
- Are licensing processes and rights for the holdings clearly outlined?
- Is documentation of deeds, gifts, or other donation materials accessibly organized?

8. How are materials **stored**?
- In filing cabinets, offices, basement storage, loft areas—Are they accessible?
- On shelving units—What type of shelving?
- In computers—What filing, naming conventions are in place? Who determines?
- Off-site storage—How often consulted, supervised, or added to?

9. What **environmental** factors affect the materials?
- Air quality, susceptibility to water damage, fire, rodent/bug, other lasting damages
- Are best practices in place, or is the integrity of the holdings at risk?

10. Is the **preservation** of any materials immediately threatened?
- What materials are in immediate need of preservation?
- What resources are in place to arrange preservation/conservation?

11. What **supplies** are used or needed to store materials?
- What materials are currently used to house media, paper, and other documents?
- Is there a funding allotment for additional/supplemental/archival supplies?
- Who would be in charge of ordering and supervising use of dedicated supplies?

12. What are the **space** limitations?
- Is there space in the current location to create an archive? Who maintains it?
- Determine square footage, access, environmental controls, etc.

13. What **short-term goals** have been articulated for the archives?
- Better organization, access to materials
- Database construction (Filemaker Pro, Archivist Toolkit, Excel, or other)
- Recovery of missing/rare/unique materials
- Initial preservation of aging materials (scripts, photographs, manuscripts)
- Online or small-scale exhibits
- Compilation for historic/legacy work (time-lines, articles, company bio, etc.)

14. What **long-term goals** have been articulated for the archives?
- Public access of legacy documents or curated collections from legacy documents

- Permanent in-house archives or arrangement for off-site archives with regular deposits
- Initiation of part-time or full-time archivist or project archivist position
- Oral history recording and access
- Videotaping productions and access
- Retention schedule creation and implementation with staff monitoring
- Publication of history (milestone celebrations, fundraisers, general press or scholarship)
- Complex preservation of aging materials (working with conservators/specialists)
- Initiation of retention of born-digital documents (archiving email, computer files, etc.)

APPENDIX C — Sample Preliminary Assessment Report

The following sample preliminary archives assessment report is based on the one given to New York Theatre Workshop as part of the pilot ATAP Initiation Program conducted by Eunice Liu (archivist) and Ken Cerniglia (documentarian) in summer 2012. A cover sheet and table of contents was followed by the sections below (overview, assessment, recommendations, workshop prep questions). A list of resources accompanied the report; however, these are now included in Appendix F of this manual, which is available free on the ATAP website. This report served as the basis for discussion in a follow-up workshop with theatre staff.

Overview

New York Theatre Workshop (NYTW) is an Off-Broadway theatre located at 79 East 4th Street in the East Village neighborhood of Manhattan, New York City. NYTW was founded in 1979 by Stephen Graham and incorporated as the New York Theatre Workshop in 1982.

NYTW houses a 198-seat theatre for its mainstage productions, and a 75-seat black box theatre for staged readings and developing work in the building next door, at 83 East 4th Street. In 2005, NYTW purchased a vacant building at 72 East 4th Street for set and costume shops. NYTW and its buildings are a vital part of the designated Fourth Arts Block (FAB) Cultural District.

The records of NYTW are valuable assets that contain information pertaining to its historical development, artistic programming and business operations, and provide unique opportunities to capture and share institutional memory. The American Theatre Archive Project (ATAP) supports NYTW in establishing an archives program to ensure the preservation of its legacy.

The NYTW archives assessment, conducted by members of the ATAP-NYC team, is supported by a generous grant from the Lucille Lortel Foundation.

Assessment

The records of NYTW include all recorded information that is created, received, or maintained by the organization and those that relate in any way to its functions, operations, or activities. This definition of records encompasses all documented information regardless of physical form. These records include, but are not limited to: paper; computer files and other born-digital materials; photographs and film; audio, video, and digital recordings; and ephemera.

Interviews were conducted with key members of the NYTW staff in order to gain a better understanding of their past and current recordkeeping practices, needs, concerns, and goals. The sessions took place on July 12 and 17, 2012. Staff answered these questions:

- What materials are present?
- How are they stored, organized, and maintained?

The following summaries are organized alphabetically by department.

Artistic

Physical records include production binders and stage manager books in chronological order on office shelves, date to c. pre-1988; awards; framed poster for NYTW's first production, *A Day in the Life of the Czar* directed by Peter Sellars; framed original drawing called "The Game of NYTW," published in an early newsletter; NYTW branding memorabilia (coasters with old and current NYTW logos); paper scripts, located on shelves that extend to other departments; records documenting international trips; building research; production photographs, film negatives, contact sheets, and slides, housed in binders; VHS videotapes of non-NYTW productions; records documenting summer residency programs and early fellowships; a *Rent* poster autographed by the original cast.

Electronic records include born-digital files and correspondence, kept on the server. Old paper scripts have been digitized in a piecemeal manner.

Board

Official NYTW Board documents include meeting minutes, resolutions, agreements with third parties and artistic collaborators, loan agreements, contracts (i.e., contracts with the city), some funding and development records, correspondence. Records exist in both paper and electronic forms and are accessed through the Director of Individual Giving & Board Relations and the Managing Director. Paper files are located in filing cabinets near the Director of Individual Giving & Board Relations. Electronic files are saved on the server.

Development

Physical records include annual reports (oldest reports available only in paper); institutional and government funding records; audits; 501(c)(3) records; capital project records; repeat patron files; documentation of fundraising events (older photographs, programs, related materials); proposals; solicitations; and old tele-funding paper records. Filing cabinets contain paper records in chronological order. Event materials are organized in binders. Some hard-copy photographs are kept in binders.

Electronic records include annual reports; institutional and government funding records; audits; 501(c)(3) records; capital project records; repeat patron files; digital photographs of events; proposals; correspondence; Raiser's Edge database files. Electronic files date back to circa 1999 to early 2000s. Electronic records are kept on the server; some files have permission restrictions. Digital photographs saved on an external hard drive and CDs.

Education

Physical records include documentation of the program Mind the Gap, learning workshops, master classes, fellowships, internships, and public programs such as AfterWords; program applications, schedules, and related materials; student artwork and plays; and student evaluations. Evaluations are important in promoting programs to donors and in facilitating future ones. Education programming materials are stored in binders on five shelves above the Director of Education's desk, adjacent to the script library. There are no records in off-site storage.

Electronic records include PDF files of "The Brief", audio files, MS Excel files of education programming data, evaluations, photographs, and correspondence. Electronic files are kept on the server. Consistently recorded information includes program dates, numbers of students, activity tracking—to use for generating report data. Digital photographs of education activities are saved on an external hard drive.

Marketing

Physical records include advertisements, press clippings (some newsprint), member communication packets, brochures, direct mail, sales reports, ticket stubs (retained for legal and auditing purposes), and older photographs. Records in current use are housed on-site. Press clippings are kept near marketing's desks. Binders of marketing materials by season (dated 1992-present) are stored on shelves in the back office room. 2 or 3 copies of each brochure/program are kept in the binders. Nothing has been moved to off-site storage during the Marketing Director's tenure at NYTW.

Electronic records include advertisements; press clippings (MS Word files); direct mail; videos (show trailers uploaded to Youtube); photographs of shows, readings, parties, public events, and programs; and correspondence. These files reside on the server. In addition, digital photographs are backed up on an external hard drive and thumb drives. 200 photos, on average, are taken per show.

Website

The webmaster's office, on the fourth floor of the NYTW office building, serves as the default archives. Physical records kept there include show posters (rolled) and show poster boards, in cabinet; headshot photographs, résumés, auditions recorded on VHS tapes and CDs; some set models (also housed in second floor kitchen); commemorative plaque from Dreamworks Records for the *Rent* soundtrack album; architectural drawings for the new building; legal files (two filing cabinet drawers).

Electronic records include audiovisual files, website construction files, correspondence, all kept on the server. Digital photographs are backed up onto an external hard drive, organized with marketing staff.

Common Staff Goals

Interviews across departments revealed several common goals for NYTW records and archives:

- To more efficiently utilize on-site and off-site spaces as well as server space and external hard drives.

- To create and implement clear guidelines and policies regarding the recordkeeping of archival and non-archival materials and their disposition.

- To strengthen interdepartmental communication and create a centralized and accessible inventory of key records, housed in-house and off-site.

- To promote the legacy of NYTW by sharing its history through the use of archival materials.

Recommendations

The initial assessment has prompted the following recommendations for developing an archives program at New York Theatre Workshop. Many are common for theatre companies getting started, and some are unique to NYTW. The recommendations are organized around short-term (next 6 months) and long-term (ongoing) goals.

Short-Term Goals

- Create strategic documents to implement protocols:
    - Establish guidelines for recordkeeping and files management of archival and non-archival records.
    - Create a records retention schedule that covers both archival and non-archival records.
    - Draft an archives collection policy. Begin with the mission statement drafted during the Orientation: "The NYTW Archives serve as the institutional memory for over three decades of unique theatrical relationships, processes, and presentations. The Archives exist to benefit NYTW's current staff, associates, and patrons as well as future artists, theatregoers, and scholars."
- Follow best practices in recordkeeping:
    - Apply records retention schedule consistently across departments.
    - Develop new or refine existing organizational schemes for physical and electronic files.
    - Develop and apply clear and concise folder and file naming conventions (by department).
    - Eliminate unnecessary duplication of records.
    - Regularly schedule times for archival review and disposition (what records that are no longer current can be transferred to your Archives and how).
    - Shred records of non-archival value that are past the required retention period. (All discards and shredding activities must be approved by the appropriate staff person and tracked.)
- Staff the Archives:
    - Establish an archives committee. Appoint one or two key staff persons serve as the archives liaison. Maintain momentum by holding regularly scheduled meetings and archival reviews of records. Ensure that recordkeeping and archiving protocols are followed.
    - To help with specific archival projects, consider enlisting graduate student interns who have had archival training, and/or hire a part-time consulting archivist.
    - Sustain commitment from all staff to care for an in-house archives program and/or to arrange for a future off-site archives.

- Sustain financial support for the Archives program from within NYTW. Build an archives line item into season and show budgets. The amount can be nominal to start (e.g., $50 per show and another $100 per season to cover folders, boxes, and hard drives) and expand as circumstances allow.

- Begin processing NYTW records (archival processing is the arrangement, description, and housing of archival materials for storage and use):

  o Arrange records with respect to their provenance and original order when possible, to protect their context.

  o Place paper records, photographs, and audiovisual analog materials in archival housing.

  o Record and organize details about the formal elements of collection holdings (creator, title, dates, extent, and contents) in an inventory and/or database. (This can be a simple Excel spreadsheet to start.)

  o Create a finding aid: a complete and consolidated description of records that assists users of the archives to gain access to and understand the materials.

Long-Term Goals:

- Apply for grant funding to expand and ensure the long-term health of the Archives.

- Build the Archives collection.

  o Reach out to the greater NYTW family (former staff, Usual Suspects, volunteers, etc.) to fill identified holes in your collection.

- Use the Archives to share the legacy—show how NYTW evolved as a critical Off-Broadway arts and cultural institution with a rich and provocative history…

  o Through the website and social media outlets;

  o Through communication outreach: email blasts; use NYTW's extensive database of affiliated artists, patrons, volunteers, and other supporters;

  o At NYTW programs; and

  o At fundraising events (e.g., plan a retrospective using "gems" from the archives to highlight major accomplishments and milestones).

- Digitize early photographs, audiovisual recordings, and paper records of special interest and archival value (discrete projects).

  o Consider low cost in-house OCR scanning of paper scripts.

  o Consider low cost in-house scanning of photographs.

  o For large-scale collection digitization, consider collaborative efforts with a future "home" repository and/or contacting vendors offering archival digitization services (such as AudioVisual Preservation Solutions).

- Develop an oral history program.
  - o Gather and preserve unique historical information from current former board members, staff, directors, artists, collaborators, and long-time repeat patrons through digitally recorded interviews.
  - o Investigate potential collaboration with a local oral history program and oral history consultants.

Workshop Prep Questions

To prepare for the culminating workshop of the ATAP Initiation Program, where the ATAP team will help the NYTW staff clarify its Archives goals and next steps and provide basic tools for moving forward, please prepare answers to the following questions.

- How did the assessment site visit and interviews affect your understanding of the difference between records and archives?

- Are personal records of your work (what you would take with you if you left) clearly distinguished from what belongs to NYTW, especially items of archival value?

- Create a rough inventory of records within your purview that may belong in the NYTW Archives.

- Create a list of records in your department that are no longer needed on a regular basis nor have particular historical value (e.g., records that may be good candidates for recycling or shredding to free up space).

- What do you know about NYTW that nobody else does? Is it important for the theatre's functioning? Is it important for the archives? How can you share important knowledge with others to preserve continuity for NYTW when you are no longer doing your job?

APPENDIX D — Sample Retention Policy & Schedule

Every organization should seek legal counsel when preparing its retention policy and schedule. The sample below is not meant to be "one size fits all" and therefore should be referenced and used cautiously. In order to be considered a document with legal weight, a retention policy and schedule needs to be drafted, modified, and codified within each respective organization.

Record Retention Policy

The [COMPANY NAME] record retention policy has been developed to manage the paper and electronic records accumulated by [COMPANY]. By setting forth procedures for consistent and regular identification of historically valuable documentation, adherence to document retention schedules, and destruction of unnecessarily retained documents, [COMPANY] will preserve storage space, improve efficiency of document management, retain documents necessary for litigation, and will ultimately create an institutional archive. Excess record-keeping makes locating pertinent records more difficult, and causes the cost of record management to grow unreasonably. This policy applies to all records and documents that have been made or received by [COMPANY], including (but not limited to): written and printed matter; electronic databases; disks and computer files; e-mail; sound, audio and video recordings; voice messages; photographs; diagrams, plans and drawings; or information stored in any other media. Note that each copy bearing notes or other markings that do not appear on the original is a separate "record."

Records must be kept if they fit within any of the numbered categories below. The lettered sub-headings below each numbered category are not inclusive, but are meant to provide examples, and they may in fact fit within several numbered categories. Each department head is responsible for identifying and recording the specific items to be retained by their department. General guidelines regarding the period of retention are attached as Exhibit 1.

All other records should be removed from the files and destroyed when no longer needed. *During a designated "File Clean-Up" week (which should be the same week every year), under the supervision of each department head, all employees should review records in their control and destroy those that are beyond their retention life. The designated File Clean-Up week will be the last week of July each year, unless the department head designates a different week for a particular department.* An exception to this rule is if the employee has reason to believe, or has been notified, that it is reasonably likely that a disagreement exists or that litigation or some governmental inquiry or investigation may be commenced, in which case all records potentially relevant to the disagreement or potential litigation or inquiry must be maintained until the General Counsel determines the records are no longer needed. All records that are protected by confidentiality statutes or contract provisions must be shredded when they are destroyed. Adherence to this Record Retention Policy by all employees is essential to protect us from potential liability for any accidental or innocent destruction of documents that later turn out to be relevant to some future investigation or litigation.

1. **Records that Provide [COMPANY] with Information and Data Needed for Its Operations**

   A. Executed contracts, union agreements

   B. Leases, purchase agreements, rental agreements

   C. Grant agreements, publicly-filed documents

   D. Press releases

   E. Marketing and subscription documents

   F. Active files supporting the current business activity of a department

   G. Equipment instruction manuals and warranty documents

2. **Records Needed to Comply with Laws or Regulations (Federal, State or Local)**

   A. Human Resources department documents such as employment applications, personnel files, accident reports, payroll records, employee benefits records, etc.

   B. Licenses and permits

   C. Corporate by-laws, certificate of incorporation, other corporate documents

   D. Fundraising records

   E. Audit reports, annual reports

3. **Records Needed for Tax Purposes**

   A. Financial documents such as bank statements, canceled checks, etc.

   B. Tax returns

4. **Records Needed to Comply with Audit Requirements**

   A. Accounting records

   B. Administrative records such as purchase orders, invoices, ledgers, journals, etc.

5. **Records Needed to Comply with Contract Provisions**

   A. Documents reflecting construction work paid for with City or other public funding

6. **Board and Board Committee Materials**

   A. Board of Directors meeting minutes

   B. Resolutions

   C. Conflict-of-interest forms

7. **Records Designated for Production/Artistic Archives**

   A. Documents with historical value to the institution, including but not limited to production documents, costume sketches and notes, props sketches and

notes, correspondence, contracts and negotiations, stage plans, gala production documentation, play-reading documentation, subscriber surveys, ticketing and sales statistics, building plans, casting notes (video and paper), and renovation documentation

B. Films, audio and video recordings, or photographs of [COMPANY] performances, productions, programs, or events

C. Newsletters, brochures, posters, playbills, subscriber magazines, and other publications

Exhibit 1: Retention Schedule

In each case, unless otherwise specified, the retention period begins when the fiscal year ends for the transaction reflected in the records. If a record falls within more than one category, apply the longest applicable time period. Any questions should be directed to the General Counsel, the Controller, or the Archivist.

Accident reports	6 years
Accounting journals/ledgers	forever
Accounts payable records	7 years
Accounts receivable records	7 years
Annual reports	forever
Audit reports	forever
Banking records	4 years
Blueprints/building plans/specifications	forever (if project was completed)
Board minutes	forever
Board and committee materials	10 years
Budgets	5 years
Clippings (institutional)	forever
Contracts/leases/license agreements	7 years (after the term of the contract or lease ends)
Correspondence (routine)	2 years
Correspondence (legal & important matters)	forever
Corporate organizational documents/By-Laws	forever
Deeds/mortgages/other real property records	forever
Donor records (except endowment gifts)	10 years
Employee directories	5 years
Employee injury records	20 years
Employee records (including health)	5 years after employment ends
Employment announcements & advertisements	2 years
Employment applications (non-employees)	2 years
Endowment records	forever
Equipment instruction manuals	as long as equipment is used
Equipment maintenance records	5 years
Financial statements	forever
Garnishment records	7 years

Human Resources policy/procedure manuals	6 years from end of effective period
Immigration records	1 year after employment ends
Invoices	7 years after the term of the contract ends
Insurance policies	10 years after policy term ends
Insurance claim records	3 years after settlement
Job classifications	forever
Licenses/permits	5 years after expiration
Marketing & sales records	6 years
Occupational incident reports	2 years
Organizational charts	6 years after end of effective period
OSHA-related employee health records	30 years after employment ends
Overtime reports	5 years
Payroll records	5 years
Petty cash vouchers	3 years
Pension/retirement plan records	6 years after expiration
Photographs (institutional)	forever
Press releases	forever
Property improvement records (capital)	5 years after property no longer owned
Property tax exemption records	7 years after property no longer owned
Production/artistic records	forever
Publications (institutional)	forever
Publicly-filed documents	forever
Purchase orders	10 years
Safety records	6 years
Sales records	10 years
Tax records	6 years
Tax returns	forever
Trademarks/copyrights	forever
Unemployment tax records	4 years
Union agreements	forever
Workers' Compensation records	20 years

APPENDIX E — SAMPLE ARCHIVAL INVENTORIES

Listed below are links to a selection of archival inventories, often called finding aids. They illustrate various ways theatre company archives can be described in order to provide information about and access to the records.

The Guthrie Theater Archives, archived by the University of Minnesota Library's Performing Arts Archives, are accessible to researchers with permission of the theater's staff. This finding aid provides basic information on the types and extent of material currently held by the repository.
http://special.lib.umn.edu/findaid/xml/paa003.xml#series5

The New York Shakespeare Festival Records, maintained by the New York Public Library for the Performing Arts, includes a full listing of the company's archives currently held by the Library. As the Festival adds records to its archives, the finding aid will be updated to reflect those additions. http://www.nypl.org/archives/4572

The Roundabout Theatre Company Archives are in the process of making finding aids for their holdings accessible online. The Selwyn Theatre Historic Renovation Collection finding aid describes the materials documenting the Roundabout Theatre Company's extensive renovation of the derelict theater, beginning with early negotiations in the mid-1980s through the 42nd Street Development Project/New 42nd Street and culminating in 2000 when the company opened its first production in its new home.
http://archive.roundabouttheatre.org/index.php/FindingAids/Collection/Index/

APPENDIX F — ARCHIVAL RESOURCES

Audiovisual, Digital & Electronic Records

AudioVisual Preservation Solutions. An NYC-based consulting firm that provides individualized solutions for collections of moving image and sound regardless of size, variety of formats, or budget range. http://www.avpreserve.com/ (917) 475-9630

"Conventions for Naming Electronic Files/Folders at MSU." University Archives & Historical Collections of Michigan State University. http://archives.msu.edu/documents/NamingElectronicFiles_v01.pdf

"Naming Conventions for Electronic Files and Folders." York University, 2007. Adapted from the University of Edinburgh Records Management Section's *Standard Naming Conventions for Electronic Records*: http://www.yorku.ca/ipo/ToolsTipsDocs/TipSheet6NamingConventionsEFilesFolders.pdf

Document Conservation & Preservation

Northeast Document Conservation Center. http://www.nedcc.org/home.php

Finding Aids

Downtown Collection Finding Aids. Fales Library & Special Collection, NYU. http://www.nyu.edu/library/bobst/research/fales/findingaidsdtwn.html

Finding Aids for the Performing Arts Archives, University of Minnesota. https://www.lib.umn.edu/scrbm/paa/finding-aids

General Reference

Don't Throw it Away! Documenting and Preserving Organizational History by Sandra Florand Young, with revisions by Douglas Bicknese and Julia Hendry. Special Collections Department, The University Library, and Jane Addams Hull-House Museum, College of Architecture and the Arts, The University of Illinois at Chicago, 2006. A basic guide to managing organizational records and archives; not theatre-specific, but provides practical advice applicable to organizations large and small: http://www.uic.edu/depts/lib/specialcoll/pdf/DTIA.pdf

A Glossary of Archival and Records Terminology by Richard Pearce-Moses, Society of American Archivists. Searchable online: http://www2.archivists.org/glossary

SAA Archival Fundamentals, Series II. Check out the bibliography.

"Webography: Archiving Theater Materials" by Jessica Green. Examples of theater collections, theater history resources, and grant-seeking information. http://americantheatrearchiveproject.org/sites/default/files/resources/webography_theaterarchives.pdf

Oral Histories

Principles and Best Practices for Oral History. Oral History Association, 2009L.
http://www.oralhistory.org/about/principles-and-practices

Columbia Center for Oral History, Columbia University Libraries. Resources for designing and constructing oral history projects.
http://library.columbia.edu/content/libraryweb/indiv/ccoh/education/resources.html

Records Management

ARMA International. Non-profit association for records and information management.
http://www.arma.org/

Bill Saffady, Long Island University. Records management consultant.

Shredding
Cintas Paper Shredding & Document Shredding of New York, NY. (516) 777-0933.
http://www.cintas.com/DocumentManagement/

On-Site Shredding. (800) 340-7632. http://onsiteshredding.com/

Supplies (acid-free boxes, acid-free folders, archival photo supplies, etc.)

Conservation Resources. http://www.conservationresources.com

Gaylord Bros. http://www.gaylord.com/

Hollinger Metal Edge. http://www.hollingermetaledge.com/

University Products. http://www.universityproducts.com/

Light Impressions. http://www.lightimpressionsdirect.com/

Paige Company (record storage boxes). http://www.paigecompany.com/

APPENDIX G — Glossary of ATAP Terms

Application—The application is intended for theatre companies that would like to apply for the ATAP Initiation Program and is available on the ATAP website. It allows theatres to learn more about the program and self-assess readiness by answering a series of questions about their records.

Assessment—An assessment includes site visits, interviews with staff, and a survey of materials and processes which result in a written report which details the findings of the assessment and provides recommendations for short and long-term plans for moving forward. ATAP's preliminary assessment is the second step in the three-step ATAP Initiation Program (orientation-assessment-workshop), and provides the theatre with information to gain a basic understanding of the archival needs of the company.

Assessment Report—Upon completion of the preliminary assessment, the archivist assigned to the theatre submits a report that includes a summary of the findings from the interviews and survey, recommendations for moving forward, references to resources that will help them do so, and follow-up questions to answer in preparation for the workshop.

Brochure—The ATAP brochure is currently a 3-fold single sheet (double sided) that can be distributed at the pitch and other occasions. Written for theatre companies, the brochure describes succinctly what ATAP does and why theatre archives matter. It is also available for download from the website.

Committees—ATAP is guided by the work of four Committees, which help develop partnerships, facilitate communication, create guidelines, seek funding, and disseminate best practices. The *Steering Committee* develops core documents, hones strategic vision, and establishes and maintains key partnerships. The *Communications Committee* develops and maintains the ATAP website, recruits volunteers, and facilitates communication with members through announcements, the listserv, and progress reports. The *Funding Committee* identifies, compiles, and applies for national funding and assists teams in applying for local funding sources for the ATAP Initiation Program. The *Training Committee* develops and supervises archival guidelines, training sessions, and *Preserving Theatrical Legacy: An Archiving Manual for Theatre Companies.*

"Hot Topic" Seminars—Additional ATAP "hot topic" seminars are being developed for theatre staff who have completed the ATAP Initiation Program or are working on their own archival project. Possible topics include records management, born-digital records, and audio-visual preservation.

Initiation Program– The ATAP Initiation Program is a collaboration between an archivist/documentarian team and a theatre company. It consists of three steps: the orientation, the preliminary assessment, and the workshop. The orientation and the workshop act as book-ends to the preliminary assessment during which the archivist and documentarian discuss archival principles and practices and help the theatre create an action plan. ATAP recommends a $1000 budget for the Initiation Program: $400 is paid as an honorarium to an archivist, $200 is paid as an honorarium to a documentarian, $400

goes directly to the theatre to purchase archival supplies and/or fund a portion of intern support.

Interviews—During the preliminary assessment, the archivist/documentarian team conducts interviews with members of the administrative and departmental staff individually or in small groups to become familiar with the history, activities, programs, practices, and goals of the company and to discuss the needs of the company and how the staff envisions a company's archives being used. A general review of what types of materials are currently kept and how they are housed is also conducted.

Listservs—There are two ATAP listservs that members and non-members can join on the ATAP website. The *Announcements Listserv* shares general news and information relevant to the American Theatre Archive Project. The *Discussion Listserv* is a forum for ATAP members and interested theatre professionals to share questions and resources related to creating, describing, and maintaining theatre-related archives.

Manual—*Preserving Theatrical Legacy: An Archiving Manual for Theatre Companies*, a PDF available through the ATAP website, helps theatre companies establish their company archives with or without the assistance of ATAP. It includes information on the importance of archiving theatre, how to build institutional support, archival definitions and principles, preliminary archival assessments and surveys, appraisal and disposition, arrangement and description, preservation issues, user access, in-house and public repositories, and ongoing resources.

Member Handbook—The ATAP Member Handbook is intended as an all-in-one place guide for theatre scholars, archivists, dramaturgs, and students to get oriented to the work ATAP is doing. It includes the ATAP mission statement; the project's history; membership, committee, and team information; an overview of tools and training for ATAP members; an overview of the ATAP Initiation Program; and archival resources.

Orientation—The orientation is the first session in the three-step ATAP initiation program. This session is intended for theatre staff who have already decided to establish an archives, submitted an application to ATAP, secured funding for the ATAP initiation program, and have been paired with an archivist/documentarian team. Before beginning the preliminary assessment, the archivist/documentarian team assigned to the theatre will conduct this 60-90 minute session with as much of the theatre's staff as possible. This session is an invitation to a conversation, rather than a lecture. Together the theatre staff and ATAP team will brainstorm and articulate archival goals and draft a mission statement, and the ATAP archivist will tell them what to expect during the preliminary assessment.

Pitch—The pitch is intended for theatre professionals who are interested in establishing an archives but have not yet committed to doing so. It is a 20-minute lecture and Q&A session that any trained ATAP member can present at a conference, at a community meeting, or to a theatre's board. After the Pitch, theatre companies can fill out the application and secure funding if they would like to apply for the ATAP initiation program.

Progress Reports—Location-based teams submit monthly team progress reports to share team activities with the rest of ATAP. The ATAP communications committee collects all the

team progress reports and combines them into one document for dissemination on the ATAP listserv and website.

Survey—An archival survey determines the amount, form, content, and condition of archival materials produced and housed at the theatre. There are three types of surveys that can be conducted before, during, and after the ATAP Initiation Program. The first survey is the most general and is conducted by the theatre staff when they fill out the ATAP application. The second survey is more detailed and is conducted by the ATAP archivist assigned to the theatre during the preliminary assessment step of the ATAP Initiation Program. The third survey is the most detailed and can be conducted by the theatre staff, with or without an archival consultant, after the completion of the ATAP Initiation Program. Theatre staff can conduct this more detailed survey of boxes/items in the collection that have been identified during the preliminary assessment as highest priority due to their high value, preservation concerns, or general interest.

Teams—There are two types of ATAP teams. *Location-based teams* self-organize based on concentration of theatrical activity and the particular needs of a given area, whether a city, county, state or region. They carry out the work of ATAP by reaching out to theatres who may be interested in working with ATAP, securing funding for interested theatres to complete the ATAP Initiation Program, recruiting new members, holding meeting to discuss goals and projects, and holding Team Training sessions for new members. Once theatres have applied and secured funding, the location-based team in their region assigns them an *archivist/documentarian team* to complete the ATAP Initiation Program.

Theatre Contact Tracking Sheet—Team leaders of location-based teams are encouraged to fill out a theatre contact tracking sheet in the form of an Excel spreadsheet to track their progress with theatre companies in their area. A template is available on the ATAP website. Fields include: company name/location/ URL, company contact name/title, email address, phone number, ATAP team/contact, status of archives, and communication log (date, brief description of conversation). Each location-based team is in charge of keeping its own spreadsheet.

Team Training—The ATAP Team Training session lasts for 4 hours and is intended as an introduction for ATAP members who will assist theatre companies in establishing and maintaining archival programs. It covers the ATAP pitch as well as the three steps of the ATAP Initiation Program: the orientation, the preliminary assessment, and the workshop. If available, archivists and/or theatre practitioners who have gone through this process will share their experience with the group.

Workshop—The workshop is the third session in the three-step ATAP Initiation Program. After completing the preliminary assessment, the archivist/documentarian team assigned to the theatre will conduct this 60-90 minute session with as much of the theatre's staff as possible. Like the orientation, this session is an invitation to a conversation, rather than a lecture. The archivist will introduce basic archival principles and practices that will help the theatre in the initial phase of their archival program. The archivist and documentarian will go over the findings of the preliminary assessment and create an action plan that reflects the mission statement they drafted during the orientation.

APPENDIX H — ATAP Statement on Standards and Ethics

The practices and methods used in this project follow the professional standards and ethics set by the Society of American Archivists http://www2.archivists.org/statements/saa-core-values-statement-and-code-of-ethics , and the Association of College and Research Libraries Code of Ethics for Special Collection Librarians http://rbms.info/standards/code_of_ethics/. Of particular importance is the understanding that the mission of individuals who participate in ATAP, despite any institutional affiliation, is to assist theatre companies in preserving their archives, and not to conduct collection development activities for their institutions. It is possible that a theatre company's administrators may determine that they would prefer to place their records in an archival repository, and the team archivist may assist the company in identifying an appropriate repository that may be interested in maintaining the records. Some theatre companies may already have a relationship with a repository, and that should be investigated during the initial contact with the company so that arrangements can be made to bring the repository into the discussion.

ATAP STATEMENT ON STANDARDS AND ETHICS

- ATAP's goal is to help theatre companies establish their own archives;
- ATAP believes that the best way to help companies achieve this goal is through sustaining ongoing conversations involving those companies, other members of the local theatre community, dramaturgs, scholars, and professional archivists, and so endeavors to include these diverse perspectives on its local teams whenever possible;
- The practices and methods advocated by ATAP follow the professional standards and ethics set by the Society of American Archivists (SAA) and the Association of College and Research Libraries (ACRL), including recognition of the importance of the protection of the privacy of individuals and avoiding conflicts of interest;
- While not the goal of ATAP, when theatre companies plan to donate archival materials to specific cultural heritage institutions, ATAP advocates including representation from those collecting institutions in any conversations with those companies when mutually acceptable, whether employees of the collecting institutions are official members of ATAP or not;
- In cases where ATAP team members are also professional archivists working for cultural heritage institutions, those archivists should differentiate clearly between transactions in which they act on behalf of ATAP and transactions in which they act on behalf of their employers, to avoid confusion;
- Whenever ATAP team members are also professional archivists acting on behalf of a collecting institution that is expected to acquire a specific company's records in the future, those archivists should not accept honoraria or other remuneration from ATAP or that company.