MODELS vs. REALITY:
APPRAISING PUBLISHING RECORDS

by

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Date September 30, 1998
Abstract

Appraisal for selection determines which records of a creator will be permanently preserved for future generations. The archival community has continually attempted to establish guidelines that will provide assistance for the accomplishment of this difficult task. In recent years, a few studies of particular organizations and their records have offered practical guidelines that can serve as models for the appraisal of the records of other, similar creators. Among these are two models of publishing companies. While offering practical guidelines, such models represent only potential standards for appraisal. Determining their viability requires comparing them to an actual body of records created, used and maintained by a publisher. This thesis discusses the results of the comparison of the models to the reality of the records of the Vancouver-based publishing house of Douglas & McIntyre Limited. Descriptions of the intent, format and included records of each model; and an examination of the history, structure, functions and
records of the company are followed by a discussion of their points of correspondence and divergence. Comparison found that both models were only partially viable as appraisal standards. Tending to emphasize material of greatest interest to secondary users, each model included records that provided evidence of the functions and activities of publishing books. Failing to include any or all of the administrative, and especially financial records, of greatest use to the creator, neither model documented fully the operations of a publishing business. The thesis concludes with a consideration of which publishing records should be preserved; prevailing assumptions about business records; and the responsibility for the permanent preservation of a representative body of evidence of the full range of the company's functions and activities.
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Appraisal is fundamental to archival practice. It defines what documentary evidence of which organizations and individuals will be available to future generations endeavouring to reconstruct and understand the past. This shaping of society's accessible memory is a two-step process. Appraisal for acquisition first determines if the records of a particular person or organization are to be accepted by an archival repository. An institution's decision to acquire the records of a specific creator is usually governed by its mandate, or by an acquisition policy that takes into account such factors as the collection's research potential to its constituents and complementarity to existing holdings. Appraisal for selection then determines which documents within this body of records are to be permanently preserved. Although selecting records for permanent preservation requires the distillation of an entire collection into a core of essential material that provides comprehensible evidence of the full range of the creator's nature and work, there
are no unequivocal and constant standards to assist the archivist in this formidable task.

In *Archival Choices*, Nancy Peace wrote that “for the past fifty years, archivists throughout the world have sought to articulate some model or set of criteria that would guide them in the difficult task of determining which records . . . shall be preserved for posterity.”¹ Much of the discussion generated by this pursuit has concentrated on appraisal as the process in which “someone identifies the value that something, created by somebody, has to him or to somebody else for some purpose.”² Value, however, is an abstract criterion. Attempts to clarify it have resulted in the formulation of a number of descriptive classifications of various value types. Sir Hilary Jenkinson asserted that the value of records exists in their ability to meet the practical business needs of their creator. Archives, he argued, are drawn up or “accumulated by a natural process in the course of the conduct of affairs of any kind, Public or Private,” and are preserved to satisfy the information or reference requirements of the persons responsible for those affairs. Jenkinson


did acknowledge the "inexhaustible possibilities" of archives for study and recognized that their "value for the purposes of Research . . . becomes the governing factor in their preservation" in a repository. However, he stressed that archives are not "drawn up in the interest of or for the information of Posterity," and that this concern occurs only after the creator has already selected those records it considers worthy of being kept for its own purposes and later deposited in an archives.¹ In discussing government records, Theodore Schellenberg reiterated this primary value of records to meet the administrative, legal and financial uses of the creator, but emphasized equally the value of the same records to others. This secondary value he further defined as consisting of the evidential value of records to provide evidence of the creating body's organizational and functional development; or the informational value of records whose content provides information about the persons, places and subjects dealt with by the government body.² Other discussions have produced additional categorizations of administrative, legal, fiscal, and intrinsic values.


Such classifications have served as much to obfuscate the process of appraisal as to clarify it. Indeed, Schellenberg obscured the whole approach to appraisal based on the value of records by declaring that "the considerations that should be borne in mind in ascertaining values" can "be little more than general principles" that "can never be made precise" and "should never be regarded as absolute or final."¹ Nor has classifying value produced consensus on the evaluation of particular kinds of records. Reviewing the professional literature on business records that has appeared since the 1940's, Dennis Meissner has observed a definite lack of agreement among archivists about which records have value and should therefore be preserved.² Furthermore, categories have not eliminated the certainty that identifying value is a relative judgement unavoidably influenced by the social and political context in which appraisal is conducted, and by the opinions, knowledge and skill of the appraiser. Changes in public opinion and research trends, such as the shift in historical scholarship in the last few decades to the exploration of the role of formerly ignored groups and individuals, will invariably be followed by an archival attention to the preservation of records generated by previously overlooked creators and their activities. Schellenberg confirmed this

¹Schellenberg, p. 68.

inevitability by acknowledging that "archivists may use different criteria in evaluating records of different periods, for what is valuable for a past age may be valueless for the present."¹

Terry Eastwood has proposed that rather than focus on attempts to define value, the archival community should reconsider its underlying grounds for evaluation. He has identified as the two most commonly employed bases for appraisal the concepts of provenance, the organization or individual that created, accumulated and maintained the records; and pertinence, or the content of records. More a factor in appraisal for acquisition, provenance results in selection decisions founded upon the real or perceived significance or importance of the creator, rather than of the records themselves. Pertinence, the same as Schellenberg's informational value, produces a relative judgement of the information that can be derived from records rather than their ability to provide evidence of actions and transactions. Eastwood has suggested that a third, and more effective, possibility is use. Archives, he argues, are utilitarian objects, created to be used in the performance of some purposeful activity, or to satisfy some need to account for past actions. The use of active, semi-active and inactive records, by some one for some purpose, expresses their value to society; and it is that value to society that constitutes the ultimate consideration in evaluation for

¹Schellenberg, p. 68.
permanent preservation. Analysis of the evidence of the past use of records, by both primary and secondary users, the creator and others, therefore provides an empirical basis for the projection of a continuing use that warrants preservation.

The consideration of use as the fundamental basis for appraisal provides a more utilitarian approach to the difficult task of appraisal for selection. However, Eastwood's proposed analysis of use is based on the knowledge acquired from archivists' experience of which records have been preserved and used in particular and similar instances.¹ In some areas, this knowledge is clearly inadequate. Although business activities exert a profound impact on society, the records generated in their execution have received insufficient attention from the archival community. In his Master of Archival Studies thesis, Grant Mitchell concluded that the study of corporate records has generally been overlooked in Canada. His survey of more than a dozen repositories across the country found that although some institutions have developed programs to acquire business records, others saw no need to add such collections to their holdings. Of the corporate records that had been acquired, most tended to be "fragmentary or at best incomplete collections of business records" of primarily defunct companies that "only partially

document" their activities.¹ Both Meissner and Francis Blouin have noted the professional literature's failure to offer comprehensive, practical guidelines to assist in the appraisal of business records. This suggests a limited experience with business records that can hardly provide an adequate base of knowledge for an analysis and projection of use. To overcome this deficiency, Blouin has proposed the undertaking of case studies of corporate record groups. The publication and exchange of the results of such research, he claims, "will assist others who are doing selection," and "can only lead to a refinement of perspective on the appraisal process."²

Analysing the records created and used in one business situation, such a study would provide a model that could be applied to similar instances of business activity. A model is a pattern or arrangement of information that describes or represents some thing or situation, and that can be used as a standard for comparison. An archival appraisal model, then, can be defined as a schedule or list of the records of a particular creator that provides a basis for the evaluation of the records of similar creators. In recent years, a few journal articles, conference

¹Grant Mitchell, "Canadian Archives and the Corporate Memory: A Case of Amnesia?" (M.A.S. thesis, University of British Columbia, 1987), pp. 94, 72, 68.

papers, and other publications devoted to the discussion of the records of different organizations and businesses have offered descriptions sufficient to be considered as possible appraisal models. Among these have been two studies of publishing records.

A model offers the practical guideline sought by archivists to assist them in the difficult task of appraisal. However, any model represents only a potential standard for evaluating records. Its viability as a guide to appraisal for selection can only be determined by comparing the records it proposes should be preserved as the core of essential material providing evidence of the full scope of functions and activities, to the reality of what a creator actually creates and preserves; by determining if it accommodates both use to the creator and continuing use to future researchers.

In 1996, Douglas & McIntyre, Limited, a Vancouver-based trade publisher, initiated negotiations to deposit its inactive records in the library at Simon Fraser University. Without a records management program to manage their disposition, but with an acute sense of their potential value, the company had accumulated more than thirty years' worth of records in its office and warehouse. This author was contracted to locate, identify and consolidate this material in preparation for...

1The term “trade” refers to books intended for the general public, and primarily sold through retail outlets. Trade publications include fiction and non-fiction works, biography, popular science, cookbooks, travel guides, and art books.
its transfer to the library. Fulfilling this assignment provided a unique opportunity to compare the two proposed publishing records models to the reality of a complete body of records spanning the entire existence of one publishing company.

This thesis will discuss the results of this comparison. It will begin with a discussion of the models offered by the two studies of publishing records. Considered here will be the development, purpose, format, and potential applicability of each model; and the records each model identifies as the representative body of evidence of the operations of a publishing company.

Chapter 2 will examine the company, the reality, to which the two models will be compared. The appraisal of the records of any organization requires an understanding of their creator: what it does, the structure that supports its functions and activities, and the impact internal and external changes have had on its operations and records creation. To compare an appraisal model requires the same degree of comprehension. This chapter, then, will trace the history of Douglas & McIntyre Limited, examine its structure, discuss its functions, and describe the types of records it has created and retained.

Chapter 3 will compare the models and the reality. It will consider the structure and functions presented in each model to those of the company, and the records each model identifies to those created and used by Douglas & McIntyre.
Utilizing additional material gathered from the professional literature and sources on the publishing industry, the discussion will include points of agreement and difference, significant omissions in each or both models, and values or notions evident in them. It will conclude with an assessment of each model as a viable standard for the appraisal of publishing records.

Concluding the thesis, Chapter 4 will discuss which records of a publishing house like Douglas & McIntyre, and that company in particular, should be permanently preserved. It will also consider prevailing archival assumptions about business records, and the joint responsibility of company and acquiring institution to ensure the permanent preservation of a representative body of records that provides evidence of the full scope of the company's functions and activities.
Chapter 1

The Models

Most of the professional literature that has considered the production of books has concentrated on the appraisal of the manuscripts generated during the creative writing process. Discussing the papers of a published author, such studies have included, at best, only a brief reference to records that provide evidence of a writer's connections with publishers.\(^1\) A short article by J. A. Edwards has described some of the records of the ten company \textit{fonds} held in the Archives of British Publishing at Reading University in the United Kingdom. However, the account is too brief and random a listing to be considered a comprehensive study.

Only two works have been found that are solely devoted to the in-depth study of the records of publishing organizations: Gary Carre’s thesis *A Functional Analysis of the Private Press as a Type of Publisher*, and Laura Coles’ publication *Archival Gold: Managing and Preserving Publishers’ Records*.

Arguing that it provides a useful context for appraisal, Carre sought to demonstrate the application of functional analysis to private organizations by examining private presses. He defined these businesses by three common characteristics: the performance of most or all functions and activities by the proprietor or owner; the production of limited edition, finely crafted and often literary works; and limited financial resources. Selecting them as examples of this particular type of publishing organization, Carre based his study on the archival records of Barbarian Press, Cobblestone Press, and Klanak Press held in the Special Collections Division of the Library of the University of British Columbia.

Citing Chandler B. Grannis’ definition of book publishing as “the whole intellectual and business procedure of selecting and arranging to make a book and of promoting its ultimate use,” Carre began his analysis by identifying the main

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functions of a publishing organization: 1) acquiring prospective manuscripts, 2) producing a finished work, and 3) marketing a published work.\footnote{Chandler B. Grannis, \textit{What Happens in Book Publishing}, 2\textsuperscript{nd} ed. (New York: Columbia University Press, 1983), p. 1, as quoted in Gary Carre, “A Functional Analysis of the Private Press as a Type of Publisher” (M.A.S. thesis, University of British Columbia, 1995), p. 39.} He then identified the component activities of each of these functions, and enumerated the records created or received in the performance of each of them.\footnote{Carre, pp. 40-70, \textit{passim}.} Acquiring prospective manuscripts was thus shown to consist of the four activities of: a) developing an idea for publication, generating research documents, editorial policies, and report and draft proposals; b) soliciting manuscripts from writers, in which advertisements and correspondence with authors are created and received; c) considering publication of a particular manuscript, producing draft notes, internal memoranda, appraisal and/or marketing analysis reports, and costing records; and d) negotiating the terms of publication, creating contracts, royalty, and advance documents.

The function of producing a finished work was similarly broken down into three activities: a) copy editing, generating edited manuscripts and perhaps correspondence; b) designing the work, in which design and layout information, design notes, designer contracts, policy documents, procedural records or notes,
and supplier contracts, invoices and sales brochures are created and received; and c) printing and binding, creating manuscripts, galleys, [proof] pages, production notes, layouts, make-readies, sketches and other printed production material, and contracts with printers.¹

Carre identified direct and indirect marketing activities as the two components of the function of marketing a published work. Encompassing catalogue production, exhibits, advertising, book release parties and other such publicity events, direct marketing activities generate advertisements, correspondence with newspapers or magazines, catalogues, campaign records, notes, and draft marketing plans. Indirect marketing activities, including the distribution of complimentary copies of the published work to reviewers and providing background information about the author or publisher, create brochures, order cards, press releases, catalogues, and promotional pamphlets. To provide a format more useful for comparison, the functions, activities and records

¹Galleys are proofs (trial printed sheets produced for editing) consisting of long columns of unpaginated text copy. Proof pages, printed following the correction of the galleys, indicate the position of text and graphics on a finished page. Layouts are sketches, outlines or paste-ups that illustrate the general appearance of text and graphics on a page. Although replicated from the Barbarian Press inventory, the listing of “make-readies” appears incorrect. The term “make ready” usually refers to the activities required to prepare a press for printing, and thus is not a “record.” It seems reasonable to assume that the production material in question would be either “camera readies,” the text or artwork fully prepared for photographic reproduction, or paste-up layouts of pages.
identified by Carre have been summarized in Table 1.

Carre's analysis of Barbarian, Cobblestone and Klanak presses has yielded a list of the various records generated by their functions and activities that may be regarded as a model for the appraisal of the records of similar creators. Its possible applications, however, are not limited to this particular type of publishing organization. Carre identified acquiring manuscripts, producing a finished work, and marketing a published work as "the main functions of publishing organizations," not just private presses. While he used the archives of the three example presses as the primary source for his identification of the records created and received in the execution of each function and activity, Carre also consulted Laura Coles' booklet for "information about the records of larger publishing houses" and included some records specifically identified as more commonly found in larger publishing houses.¹ It is therefore reasonable to conclude that Carre's model should be applicable to the appraisal of the records of any publishing company, regardless of the number of staff performing its functions and activities, the type of publication produced, or its financial resources.

*Archival Gold* was produced at the request of the Canadian Centre for Studies in Publishing at Simon Fraser University. Concerned about the availability of records for research into the history of the publishing industry, the Centre decided

¹Carre, pp. 39, 18.
<table>
<thead>
<tr>
<th><strong>FUNCTION</strong></th>
<th><strong>ACTIVITY</strong></th>
<th><strong>RECORDS</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ACQUIRING PROSPECTIVE MANUSCRIPTS</strong></td>
<td><strong>DEVELOP IDEA</strong></td>
<td>Editorial policies; Report and draft proposals; Research documents</td>
</tr>
<tr>
<td></td>
<td><strong>SOLICIT MANUSCRIPT</strong></td>
<td>Correspondence with authors; Advertisements</td>
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<tr>
<td></td>
<td><strong>CONSIDER PUBLICATION OF A PARTICULAR MANUSCRIPT</strong></td>
<td>Draft notes; Appraisal reports; Market analysis reports; Internal memoranda; Costing records</td>
</tr>
<tr>
<td></td>
<td><strong>NEGOTIATE TERMS OF PUBLICATION</strong></td>
<td>Contracts; Royalty documents; Advance documents</td>
</tr>
<tr>
<td><strong>PRODUCING A FINISHED WORK</strong></td>
<td><strong>COPY EDITING</strong></td>
<td>Edited manuscripts; Correspondence with authors</td>
</tr>
<tr>
<td></td>
<td><strong>DESIGNING THE WORK</strong></td>
<td>Policy documents; Procedural records or notes; Designer contracts; Design and layout information, notes; Supplier contracts, invoices, sales brochures</td>
</tr>
<tr>
<td></td>
<td><strong>PRINTING AND BINDING</strong></td>
<td>Manuscripts; Galleys; [Page] Proofs; Production notes, reports, Layouts; Sketches; Make-readies; Printer contracts; Other printed production material</td>
</tr>
<tr>
<td><strong>MARKETING A PUBLISHED WORK</strong></td>
<td><strong>DIRECT MARKETING ACTIVITIES</strong></td>
<td>Advertisements; Draft marketing plans; Correspondence with newspapers and magazines; Seasonal catalogues; Campaign records; Notes</td>
</tr>
<tr>
<td></td>
<td><strong>INDIRECT MARKETING ACTIVITIES</strong></td>
<td>Press releases; Brochures; Promotional pamphlets; Catalogues of publications; Order cards</td>
</tr>
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</table>
to encourage publishers to preserve their records, and engaged Laura Coles to create a booklet explaining the importance of publishing records and their management. The Centre's concern about the accessibility of publishing records appears justified. An informal survey conducted for this thesis found few publishing company records among the holdings of Canadian repositories. A search of one hundred and twenty-six Canadian-owned houses, drawn from the Association of Canadian Publishers' 1997 membership list, on the Canadian Publishers' Records Database (C.P.R.D.) at Simon Fraser University found records for sixty-six companies. Of these, only twenty-three active companies, three university presses and twenty non-academic publishers, identified established repositories as the location of their inactive records. However, the records of four companies were identified as only partial collections, and those of another two comprised part of the *fonds* of the founder of the publishing house. Additional searches found the location of the records of nine defunct companies. Including the records of the active Barbarian Press used by Carre, the records of only thirty-three publishing organizations are held in Canadian institutions and available for access. A list of all located company records and the repositories holding them can be found in the Appendix to this thesis.

The remaining forty-three records found on the database indicated that forty companies utilized some kind in-house storage for their inactive records, two
employed external warehouses for this purpose, and one maintained its own archive. However, the entries for ten companies indicated that many inactive records were simply not retained. In some instances, editorial and production records, including manuscripts and artwork, were either returned to the author or designer, or discarded after publication of the title, the production of a new edition, or five years' retention. In other cases, most records, including financial records, were discarded after seven years, when no longer of any use for current business purposes, or simply when more storage space was required.¹

Because this survey was conducted only through a search of the C.P.R.D., and did not include direct contact with publishing companies or established repositories, its findings can not be considered definitive. No conclusions about the retention and disposition practices of Canadian publishing companies can be inferred from the results of locating the records of only some companies on a single database. The absence of entries identifying the records management policies of other companies can be attributed as much to the inevitable incompleteness of a database in development, as to the failure of publishing companies to preserve

¹Among the companies that indicated only partial retention of its inactive records was Nelson Canada, which purchased Douglas & McIntyre's Educational Division. Aside from its author contracts, which are retained indefinitely, the company retains few records considered no longer useful for business. Among these are its financial records, retained only for the standard period of seven years, and its editorial files, retained from four to seven years.
their records. However, it is possible to conclude that the accessibility of publishing records to researchers, of concern to the Centre, is indeed limited.

In compiling her publication, Coles visited several publishing firms, consulted archival holdings of publishing records, and incorporated the suggestions and comments of Simon Fraser publishing program students who had used her first draft in the completion of some course assignments. Addressed to the record creators, Coles' work intends to demonstrate the value of publishing records, assist in identifying records of continuing value, and provide practical guidelines for implementing a program for the management of records from creation to final disposition. To encourage the incorporation of a records management program into routine activities, Coles argued that publishing records have value not only as the basis for compiling company histories or for studying the publishing industry, but also as a source of additional information for a variety of research topics such as the impact of books on public opinion; economic trends; social problems and crises; educational policy and practice; women's studies; technological change; changes in language use; and the relationships between artists and publishers, and between books and the entertainment media.¹

As part of her guide to establishing a records management program, Coles

includes a sample schedule listing the types of records found in a medium-sized publishing company, and indicating which of these are to be permanently preserved. The schedule arranges these records according to the departments that created or received them in the accomplishment of the various functions and activities of the publishing process: Office of the Publisher, Editorial Department, Production Department, Marketing & Promotion Department, and Sales & Order Fulfilment Department. This assumes a fairly straightforward company structure that can be illustrated in the following way:

Listing records by department links the functions of the company to its structure. Coles does not directly discuss the functions of a publishing organization, other than to refer to the routine “tasks of acquiring titles, editing manuscripts, reviewing designs and layouts, supervising marketing plans, or approving production budgets.”¹ However, this and the departmental listing of the

¹Coles, p. 1.
records that would be generated by these tasks suggest that the functions of a publishing company are: administering the company, acquiring and editing manuscripts, producing a published work, marketing and promoting a published work, and fulfilling sales orders.

Records listed in Coles' schedule under the Office of the Publisher include the administrative, financial, personnel and premises housekeeping records created or received in administering the company: common administrative records such as annual reports, agendas and minutes of Board of Directors' meetings, company policies, legal correspondence and opinions, and forms; contracts with literary agents and authors; agreements with retailers and wholesalers; subsidiary rights agreements; grant applications; financial records such as reports, audit and budget statements, payroll records, and tax returns; personnel job descriptions and employee files; premises mortgages or rental contracts, insurance policies and claims, and building renovation documents. Listed also are records generated by the particular activities of an individual publisher such as correspondence about and speeches prepared for conferences and seminars, and correspondence with professional associations.

Listed under the Editorial Department are the records created or received in acquiring and editing a title for publication: correspondence, readers' reports, editorial decisions or reports, rejected submission correspondence, original
manuscripts, edited manuscripts, galleys, and proofs. Included also are the administrative and financial housekeeping records, such as policies and annual reports, specific to this structural unit; and professional association and conference records produced by the activities of the unit’s personnel.

Production Department records include the records generated in producing a published work: correspondence with authors, artists, designers, and printers; designs and layouts; and contracts with artists, designers, printers, and suppliers. Listed as well are the housekeeping records specific to such a department.

Advertisements, press releases, publication announcements, promotional materials, documents of tours and media events, photographs of authors and events, sales conference presentation materials, agreements with the media, and marketing surveys are listed as the records created or received in the marketing and promotion of a published work by a Marketing & Promotion Department. Also included are particular housekeeping records, and annual and financial reports generated by the department.

Listed under the Sales & Order Fulfilment Department are sales policies, inventory records, invoices and sales documents; yearly reports about supplies and equipment; and departmental financial and annual reports.

Supplementing the schedule is a discussion of the distinctive types of records created by publishing companies that are identified as having “archival value.”
Included are the manuscripts, the pivotal object of the editorial and production process; galleys, page proofs, and bluelines with alterations that “may contain much historically interesting and valuable information;” layout and design records that are novel, complex or represent significant successes or failures; sales records, or invoices if no summary totals are available; and catalogues, brochures, and pamphlets. Coles also argues for the preservation of duplicates with substantial annotations that could have “research value”; photographs and other records of company events and anniversaries, of company “history in the making”; editorial or production files of unpublished works subsequently published successfully elsewhere; and files of “notables” who have been connected with the company.¹

Intended as an adaptable framework for records management, Cole’s schedule provides a ready model of publishing records that should be applicable to all publishing companies of the same or similar size. As presented in the booklet, Coles’ model encompasses both records to be preserved and those that could be destroyed. For the purposes of this thesis, only those identified as having “archival value” and should be deposited in an established repository have been included in the modified reproduction of her model shown in Table 2.

Both Carre’s functional model and Coles’ structural model indicate the

¹Coles, pp. 24-30. Examples offered as “notables” are the unpublished authors who later became award winners, or the targets of libel actions.
records that constitute a representative body of evidence of the operations of a
publishing organization and should therefore be permanently preserved. Both
models can be considered as potential guidelines for the appraisal of the records
of any publishing company. Each will be compared to the reality of the records
maintained by Douglas & McIntyre to determine its viability as an appraisal model.
# Table 2

Coles’ Model

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<thead>
<tr>
<th>DEPARTMENT</th>
<th>SERIES</th>
<th>RECORDS</th>
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<tbody>
<tr>
<td>OFFICE of the PUBLISHER</td>
<td>ANNUAL REPORTS</td>
<td>Agendas; Member lists; Memoranda; Minutes; Policies; Policy correspondence</td>
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<tr>
<td>BOARD OF DIRECTORS</td>
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<tr>
<td>BOOK FILES</td>
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<td>CONFERENCES AND SEMINARS</td>
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<td>FINANCIAL RECORDS</td>
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<td>FORMS</td>
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<td>GRANT INFORMATION</td>
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<td>INSURANCE INFORMATION</td>
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<td>POLICIES</td>
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<td>Policy correspondence; Statistical information</td>
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Chapter 2
The Company

Although based in British Columbia, Douglas & McIntyre is by no means a “regional” publisher. While roughly thirty per cent of its sales are realised in its home province, about fifty per cent are earned in the national market, and approximately twenty per cent through exports. Producing some seventy-five new titles and fifty reprints each year, its revenues in excess of $10,000,000, and holding a strong national and international presence, the company ranks as the largest Canadian-owned English-language publishing house outside of Toronto, and one of the five largest Canadian-owned trade publishers in the country.

The company was established more than thirty years ago by James Jardine Douglas. Born in Edinburgh, Scotland in 1924, Douglas's involvement in the book publishing industry began with Menzies, a local wholesaler, as a “collector” who transferred books between shops to accommodate consumer demand. After service
in the Royal Air Force during World War II, Douglas returned to Menzies as a bookseller in one of a chain of retail outlets being developed by the company. With prospects for advancement in the business slim, Douglas left to study electronics communication engineering at Cranwell and Debden Staff College. Pursuing an engineering career, Douglas emigrated to Canada in 1954, and moved to Vancouver in 1955. Cultivating contacts within the Canadian publishing industry, he soon established himself as the western sales agent for McClelland & Stewart¹, and for a short time worked in Toronto as its marketing director. Returning to Vancouver, he formed Douglas Agencies Limited, a promotional enterprise providing representation and distribution for a number of publishing companies.

With a memorandum of agreement filed and registered under the Companies Act on May 13, 1964, Douglas founded J. J. Douglas Limited to "carry on the business of publishers, distributors, importers, exporters, jobbers, dealers, wholesale and retail, in all books, magazines, periodicals" and to "represent all publishers, distributors, jobbers, exporters, importers . . . on commission basis or as brokers."² Although publishing was one of Douglas' goals, the company's activities were initially limited to wholesale book distribution for such companies

¹Replacing Bill Duthie, who went on to establish Duthie Books.

²Memorandum of Agreement filed and registered under section 22 of the Companies Act by James J. Douglas on May 13, 1964.
as McClelland & Stewart, Macmillan, and the University of Toronto Press. Douglas sold the assets of this aspect of the business to Harry Smith & Sons in 1968. Although it continued as a corporate entity, J. J. Douglas Limited remained inactive for the next three years.

Publishing operations began in 1971, with the production of two titles for the fall season: *Cooking for One* and *British Columbia Coast Names*, which is still in print. Working with Douglas to develop the company’s publication program was part-time partner Gordon Scott McIntyre. Born in Vancouver in 1944, McIntyre received an honours degree in Fine Arts from the University of British Columbia in 1965, and then spent two years as associate creative director for a local advertising agency. Attempting to sell a book to McClelland & Stewart, he approached Douglas who arranged an introduction to Jack McClelland. McIntyre joined the trade division of McClelland & Stewart in Toronto in 1967, and became its Advertising and Promotion Manager later that year. He returned to Vancouver in 1970, and in 1971 joined Douglas as partner and minority shareholder in both Douglas Agencies Limited and J. J. Douglas Limited. When Douglas decided to devote his full attention to the development of the fledgling publishing company, McIntyre and Mark Stanton purchased the remaining shares in Douglas Agencies. By 1976, the enterprise, renamed McIntyre & Stanton Limited, had become the largest publishers’ sales agency in Canada.
From its modest offering in 1971, J. J. Douglas Limited's annual output of titles and sales revenues steadily expanded over the next few years. With the growth of the publishing operations able to support two working partners, McIntyre resigned as president of and sold his interest in McIntyre & Stanton to join J. J. Douglas Limited full-time as Managing Director in January of 1977. The partnership was cemented at a meeting of the company's directors on November 5, 1977. Although the public announcement was withheld until January 25, 1978, to avoid any confusion to customers during the busy holiday season, it was reported to the company that its formal name had been changed to Douglas & McIntyre Limited. The firm also adopted a logo for the partnership: a stylized bull designed by Bill Lim. Suggesting the roots of the founder of the company and traditionally associated with strength and courage, the device was inspired by centuries-old stone carvings found in the area around Barrhead, Scotland.

With McIntyre fully involved, Douglas stepped down as publisher and

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1McIntyre & Stanton merged with Nicholas Hunt Agencies in 1972. Alan MacDougall joined the agency in 1976. With McIntyre's departure in 1977, the name of the business was changed to Stanton, Hunt & MacDougall. After Hunt's departure in the same year, the company's name was again changed, to Stanton & MacDougall. The agency was sold to Kate Walker in 1991, and renamed Kate Walker & Company.

Both Mark Stanton and Allan MacDougall have served on Douglas & McIntyre's Board of Directors. Stanton, Hunt & MacDougall and Stanton & MacDougall have provided sales representation for J. J. Douglas Limited and Douglas & McIntyre.
turned his attention to the development of the export market for Canadian books in the United Kingdom.\(^1\) In 1980, McIntyre acquired the controlling interest in the company and, with the retirement of Douglas in 1982, assumed the position of president of Douglas & McIntyre Limited.

Throughout its history, the company, like many other houses, has maintained a number of associations with other publishing concerns. Such connections have yielded distribution agreements to generate sales in international markets and allow for larger print runs that reduce unit costs of production. In 1996, for example, arrangements with Roundhouse Publishing and Ragged Bears

\(^1\)Douglas had made earlier efforts toward developing the export market for Canadian titles. In 1973, as the result of an agreement with English trade publishers David & Charles Limited, he formed Douglas, David & Charles Limited. Headquartered in Vancouver, with Douglas as president and publisher and retaining the majority of shares, the company was incorporated in 1974 to market David & Charles titles in Canada, co-publish books in Canada under its own imprint, and develop and export market for Canadian books in the United Kingdom through Canongate, a Scottish publishing company. Although an arrangement between the U.K. house and James Douglas alone, J. J. Douglas Limited received a management fee in return for providing marketing and warehousing facilities for Douglas, David & Charles Limited. The connection with David & Charles was terminated in 1978, and Douglas, David & Charles Limited was dissolved. The rights to some of its titles, however, were assigned to Douglas & McIntyre Limited in 1979.

of London, Peribo Pty. [Proprietary] Limited and Ashton Scholastic Pty. of Australia, and Publisher's Group West of California provided for the distribution of Douglas & McIntyre titles in the United Kingdom, the Republic of Ireland, and continental Europe; and parts of Africa, Australia, New Zealand, and the United States.

Similar arrangements have made Douglas & McIntyre the agent for the distribution of books produced by other publishing houses. Conducted on a consignment basis or through discounted buy-ins of titles, and generally representing exclusive agreements for Canadian or trade rights, agency agreements secure additional sales revenue for the company while requiring a minimum investment of creative effort and capital. Over the years, the company has represented a number of foreign and Canadian publishers; in 1996, these included the Orion Group, Ragged Bears and Thames & Hudson in the United Kingdom; the Sierra Club of San Francisco, the New Press of New York, and Candlewick Books of Boston; and offerings from the Canadian Museum of Civilization and Terra Bella. The company now produces a separate catalogue of the agency titles it distributes.

Other associations have resulted in joint publishing ventures that combine the benefits of shared production costs and increased readership and sales. The company has produced exhibition catalogues in co-operation with the Canadian
Museum of Civilization, the National Gallery of Canada, and the Vancouver Art Gallery; and, since 1971, about ten to twenty books a year on the Northwest coast and native history with the University of Washington Press.

One association has been a major factor in the expansion of Douglas & McIntyre's publishing program. Although it had produced children's books since 1972, the company established a continuing relationship with Groundwood Books to develop this area further. An independent Toronto-based publisher of children's books, Groundwood was founded by Patsy Aldana in 1977; its first titles, issued the following year, were distributed by Douglas & McIntyre. In 1979, Aldana joined the staff of Douglas & McIntyre part-time as manager of an eastern "branch" office. The two companies were merged operationally in 1980, creating a Toronto-base for Douglas & McIntyre Children's Books with Aldana as publisher. Groundwood acquired shares in Douglas & McIntyre, and agreed to furnish the services of Aldana as a director of the company. Although it remains a totally separate Ontario company owned by Aldana and holding the copyright to its own published titles, Groundwood functions as a virtual division of Douglas & McIntyre, which finances Groundwood's operations and owns its inventory.

The company has also expanded its operations through the acquisition of the assets of other publishing concerns. Antonson Publishing, owned by then staff member Rick Antonson, was absorbed in 1977. The assets of Western Producer
Prairie Books, the book publishing program of the Saskatchewan Wheat Pool, were purchased in 1991, and most of its contracted authors subsequently signed with Douglas & McIntyre. The author contracts of Brighouse Press, owned by Elizabeth Wilson and Douglas & McIntyre's current Managing Editor Terri Wershler, were acquired in 1993.

Further expansion came with a venture into educational publishing. In August of 1980, a group of teachers and educational editors approached the company to join them in the preparation of a response to the British Columbia Ministry of Education's request for the submission of proposals for the development of textbooks to support its new elementary social studies curriculum. Because of the substantial investment required to develop an educational program, and to protect the trade division from any potential losses, Douglas & McIntyre consented, by special resolution passed at a meeting of its members, to the formation of a separate Douglas & McIntyre (Educational) Limited. Incorporated on October 29, 1980, the new company assembled a team of almost forty authors, editors, illustrators, and educators to develop a proposal. Its “Explorations” program, for grades 1 through 6, was presented to the Ministry in May of 1981. The following year, Douglas & McIntyre (Educational) Limited was awarded a $2.7 million contract to publish social studies texts for grades 1 through 3.

“Explorations” texts for grades 1 to 3 were published in the summer of
1983. In the next few years, Douglas & McIntyre (Educational) Limited published French editions, expanded the series to include texts through grade 6, and produced customized publications for use in the Yukon Territory, Alberta, Nova Scotia and Newfoundland. The company also published a "My Canadian Friends" series of photo essays and idea books, and purchased the Dragonfly series of elementary supplementary reading books from Era Publications of Australia. It began development of "Young Health Canada," an elementary health education textbook program, in 1986; and "Active Pack," a physical activity program, in 1987.

Actively involved in founding this sister company, Scott McIntyre served as its first president. He was succeeded by vice-president and publisher Carol Langford, one of the original developers of the "Explorations" series, in March of 1985.

On June 17, 1987, Douglas & McIntyre Limited bought Douglas & McIntyre (Educational) Limited. The purchase was followed by the formal amalgamation of the two companies into one entity on December 31, 1987.¹ Once amalgamated, the single company reorganized its existing areas of operation into three more formally defined and separate publishing divisions: Adult, Educational, and Children's. Each division was headed by a publisher. The former publishing director of

¹A Certificate of Amalgamation was issued by the Registrar of Companies on January 4, 1988.
Western Producer Prairie Books who joined Douglas & McIntyre in September of 1987, Rob Sanders assumed responsibility for the Adult Division that included its first fiction titles that year. Carol Langford continued as publisher of Douglas & McIntyre Educational Division, and Patsy Aldana remained as publisher of the Children's Division consisting of Douglas & McIntyre Children's Books and Groundwood Books. All divisions shared the same service functions such as fulfilment and accounting. No longer involved in the day-to-day operations of the Adult Division, McIntyre turned his full attention to the management of the amalgamated company as its president.

Douglas & McIntyre Educational Division functioned for less than two years. In 1988, it published *AIDS: What Young Adults Should Know* and *Coast-to-Coast Reader*, a collection of articles about everyday life in Canada; and piloted a grade 4 “Active Pack” prototype. The following year, it produced a grade 4 “Explorations” text for Nova Scotia, and was developing a “Let’s Explore Books” series using Groundwood fiction titles. On August 14, 1989, the division was sold to Nelson Canada, which published the “Young Canada Health” series in 1990.

A second reorganization occurred in 1992. McIntyre re-assumed the role of publisher of the Adult Division. Aldana, as Vice-President of Douglas & McIntyre Limited and Publisher of the Children’s Division, assumed the additional responsibility for the company’s adult fiction list of about a half dozen titles a year.
The publishing divisions, reduced by the sale to Nelson, were increased again by the creation of Greystone Books. Sanders, also a Vice-President of Douglas & McIntyre Limited, assumed the position of Publisher of the new division, built on the strengths of the Western Producer Prairie Books backlist,\(^1\) that issued its first titles in the Spring of 1993. A summary of the development of the company is shown in Figure 1.

Continuing to the present, Douglas & McIntyre's three publishing divisions produce a wide variety of books. The Adult Division concentrates on Canadian biography and history, social issues, native studies and anthropology, art and architecture, food and wine, and some adult fiction. Greystone Books focuses on natural history, natural science and environmental issues, guidebooks, sports, and the culture and history of the prairie provinces. In the Children's Division, Douglas & McIntyre Children's Books produces non-fiction for young adults, while Groundwood Books publishes juvenile and young adult fiction, and illustrated flats (picture books).

Originally situated in West Vancouver, the company has moved several times to accommodate the continued growth of its operations. With the first site continuing as an editorial office, a sales office was opened on Philip Avenue in

\(^1\)Backlist refers to the catalogue of published books offered for sale beyond the season in which they were originally published.
Figure 1
Development of Douglas & McIntyre Limited
North Vancouver in 1973. All activities were transferred to Philip Avenue in 1974, and then to Welch Street in North Vancouver in 1975. Douglas & McIntyre moved to its present location at 1615 Venables Street in Vancouver in 1980, and expanded to occupy the adjoining building in 1985.

Like any number of companies, Douglas & McIntyre is governed by a Board of Directors which oversees the overall direction of the organization, and its financial affairs in particular. Usually comprised of about a half-dozen individuals, in 1996 the Board consisted of the President of the company, the Vice-Presidents/Publishers of Greystone and Children's divisions, and two non-company members. Reporting to the Board on the management of the company and future options, the President is responsible for the day-to-day administration of the company.

As noted in the history of the company, the office of President has been, and is currently, combined with the position of Publisher of the Adult Division. Responsible for the overall management of his or her division, each of the three Douglas & McIntyre publishers coordinates and oversees the editing, financing, production and distribution of titles produced under his or her imprint.

The continuing association with Groundwood Books in Toronto has afforded Douglas & McIntyre a base for its children's publishing program and an important presence in the traditional centre of the retail sales market. Editorial and marketing staff are divided between the Vancouver and Toronto "branch"
offices. Editors in Vancouver are divided between the two divisions located there: two Editorial Directors edit Adult or Greystone titles exclusively, and one Senior Editor is assigned to either division. A Senior Editor and Editor are based in Toronto with the Children’s Division.

The company also utilizes freelance editors for both adult and Greystone titles. The responsibility for these contract personnel rests with the Managing Editor, who also supervises the design and printing phases of the production process, through the Production Editor and other production staff hired as needed. The Managing Editor also oversees the freelance designers used by the Vancouver office. The Children’s Division maintains its own Art Director in Toronto.

The marketing staff for adult and Greystone titles is also split between the two offices, under a Toronto-based Vice-President for Domestic Sales and Marketing. She supervises directly the Inventory and Sales Coordinator, Senior Publicist, and National Accounts Representative in Toronto, and indirectly the Adult Marketing Manager, a Marketing Associate, and the Vancouver Sales Representative in the Vancouver office. The Children’s Division maintains a separate Toronto-based staff of Manager for International Rights and Export, Children’s Marketing Manager, and Marketing Associate. Like many other companies, Douglas & McIntyre also utilizes a network of sales representatives
provided by Kate Walker & Company and Hornblower Books, who actively promote the sale of their books in British Columbia, the prairie provinces, Ontario and metropolitan Toronto, Quebec, and the Atlantic provinces.

The remaining personnel based in Vancouver are the Manager of Business and Finance who oversees the company’s Accountant and accounting staff; the Customer Service and Fulfilment Manager who supervises the Customer Service staff and the Warehouse Manager who is, in turn, responsible for the warehouse staff; an Assistant to the President; and Assistant to the Publisher of Greystone Books; and an Administrative Assistant who performs reception, secretarial, and some editing duties.

To avoid reducing it to illegible dimensions, an illustration of the company’s structure has been divided into Figures 2.1, 2.2, and 2.3. Together, these represent the organization as it existed in late 1996. Since then, the position of General Manager, in existence at various times throughout the company’s history, has become vacant by resignation. However, those positions shown as under the General Manager’s supervision continue. The Vancouver Sales Representative’s position title has been changed to B.C. Sales Manager, and the Vancouver-based Marketing Associate has been re-named Promotions Manager.

Conforming to the usual classification of publishing functions that appears in a number of standard texts about the industry, a Douglas & McIntyre Staff Kit,
Figure 2.1
Douglas & McIntyre Company Structure 1996
(T) Denotes Toronto Location
Figure 2.2
Douglas & McIntyre Company Structure 1996
(T) Denotes Toronto Location
Figure 2.3
Douglas & McIntyre Company Structure 1996
(T) Denotes Toronto Location
prepared about 1986, listed Editorial, Design and Production, Marketing, Fulfilment and Administration as the "five main areas - interdependent and interrelated - involved in the acquisition, assessment, production and distribution of quality books."\(^1\) The Editorial function was further defined as "the evaluation and editing of book ideas and manuscripts." Although it did so for many years, the company, like a number of other comparable publishing houses, no longer accepts unsolicited manuscripts. Authors known to the company might be contacted about developing a particular idea, or submit a proposal to one of the publishers directly or through a literary agent. If the evaluation of the idea results in a decision to publish, the company negotiates a contract with the author and assigns an in-house or freelance editor to the project. As in any publishing organization, the editing function includes the meticulous working and correcting of the manuscript, subsequent drafts, and proof pages in preparation for printing.

\(^1\)Definitions quoted are those found in the company's Staff Kit. In one of the standard texts on the industry, John Dessauer further defines editorial as the selection and preparation of manuscripts for publication; production as the planning and design of the physical book, including the choice of materials, and the selection of and continued relations with suppliers through typesetting, printing and binding; marketing as personal contact selling, direct-mail advertising, promotion and publicity; fulfilment as order processing, invoicing, handling of accounts receivable, payments and collections, credit control, shipping and warehousing, and the maintenance of sales and inventory records; and administration as fiscal, personnel and general business management, including the accounting function. John Dessauer, Book Publishing: A Basic Introduction (New York: Continuum, 1989), pp. 48-49.
The Design and Production function, the "art direction and organization of book production," begins with a "concept meeting" with the publisher, editor, marketing personnel, and designer to determine the "look" of the book - its physical size and layout, cover design, typefaces, paper and visuals. The printer is contacted for a quote, and a budget is decided. Once editing and design is completed, the finished typeset and visuals are sent for printing and binding.

The Marketing function coordinates the relationships between the author, booksellers, and the media to promote the new books published by the company. Author events such as tours, book launchings, interviews, and book store appearances are planned to promote sales. Sales representatives visit book stores to secure purchases and encourage participation for in-store events with the authors, displays, advertising and bookmarks. Representatives often distribute sample covers, information sheets, or blads\(^1\) to stimulate interest in particular titles. Advertisements are designed and submitted to the print media, and complimentary copies of new titles are mailed to reviewers.

The Staff Kit defined the Fulfilment function as the "warehousing, distribution and inventory [of] records, and customer services," and described the

\(^1\) Believed to be of Scottish or Irish derivation, "blad" means fragment or portion. In the last few decades, the term has come to refer to a sample of a book, usually the first few pages and including preliminary pages, produced to show to potential buyers.
last as “order processing and handling of all customer inquiries.” Until 1998, book
orders were filled from two locations. Attached to its offices, the Vancouver
warehouse shipped Douglas & McIntyre titles and those produced by two agency
publishers represented by the company for the western market; and consignment,
special customer and export customer orders. These in-house sales were invoiced
directly by Customer Service for remittance to the Vancouver office. At the same
time, the company, like a number of other Canadian publishing houses, contracted
the distribution of its publications to the University of Toronto Press (U.T.P), which
warehoused its stock in Toronto and shipped orders for Douglas & McIntyre and
agency titles to book stores, libraries and schools from either the Toronto or
Vancouver warehouses. A direct electronic link with U.T.P. allowed Customer
Service to place orders immediately at the Toronto warehouse, monitor available
stock, and transfer inventory between Toronto and Vancouver. University of
Toronto Press invoiced directly for orders placed with it, and issued a monthly
sales report for Douglas & McIntyre Adult and Children’s divisions, Greystone
Books, Groundwood Books, and agency titles. Customer Service directly handled
returned books, customer inquiries and complaints; recommended reprints when
stock volume demanded it; controlled stock stored for export sales in depots
located in the United States, the United Kingdom, and Australia; and conducted
a yearly inventory.\textsuperscript{1}

The Administration function consists of the "ongoing financial, staff, and office management of the firm." This includes the routine housekeeping areas of personnel, premises, equipment and supplies, finance, and the overall management and direction of the company. The financial component includes not only the traditional accounting of income and expenses, but also activities aimed at securing outside funding to offset the expenses of publishing projects. Federal grants from the Canada Council and the Department of Communications, and provincial funding from the Cultural Services Branch of the Ministry of Tourism and Ministry Responsible for Culture, "made a difference and have helped recover costs on important books" that Douglas & McIntyre has published. Although grants have been shown to constitute varying amounts of publishing revenues, they nonetheless represent such a valuable source of additional capital to the company that "government relations is a full-time job" to secure them. \textsuperscript{2}

\textsuperscript{1}At the end of 1998, Douglas & McIntyre will be moving to a new location. This will result in the closure of its warehouse and the cessation of in-house order fulfilment. The agreement with University of Toronto Press has been superseded by an arrangement with General Distribution Services to provide exclusive warehousing, order fulfilment and shipping services.

The accumulated records held in the offices of Douglas & McIntyre comprise the records of five publishing companies: J. J. Douglas / Douglas & McIntyre, Antonson Publishing, Brighouse Books, Douglas & McIntyre (Educational) Limited, and Western Producer Prairie Books. Author contracts and any other files that may have been acquired from Antonson Publishing and Brighouse Books have been fully integrated into the company's records. The majority of the records, particularly correspondence and production files, of Douglas & McIntyre (Educational) Limited, integrated into the Douglas & McIntyre Educational Division, were transferred to Nelson Canada with the sale of the division. What remains have been stored separately and include some administrative records such as policies, budgets and financial statements; publishing project files; editors' files for various titles developed; marketing and promotion records; correspondence with provincial educational ministers and ministries; designer, cartographer and consultant files; records created in the report on book publishing in British Columbia submitted to the Culture Services Branch of the provincial Ministry of Municipal Affairs, Recreation and Culture, James Lorimer estimated that grants represented an average of 14.5% of total net sales. Roy MacSkimming's 1993 study for the A.B.P.B.C. found that grant revenues represented an average of only 6% of the total revenues of twenty publishers in the province. See Rowland Lorimer, *Book Publishing in British Columbia* (Vancouver: Simon Fraser University, 1989), p. 103; and Roy MacSkimming, *Publishing on the Edge: A Cultural and Economic Study of Book Publishing in British Columbia* (Vancouver: Association of Book Publishers of British Columbia, 1993), p. 3.
development of its health series; research and production files for the presentation to the Ministry, original presentation materials, and pilot materials for its textbook series. Author files, contracts, and rights and permissions files acquired from Western Producer Prairie Books, and used by the Greystone imprint, have been integrated into Douglas & McIntyre's current records. The bulk of the records, however, remain as received and are not consulted for any reference purposes. These include administrative and marketing records, edited manuscripts, production records, and camera-readies.¹

Also stored separately is a small group of records generated by some of the early activities of J. J. Douglas Limited. Apparently reorganized in this way sometime in the 1980's, the group includes a register of manuscripts submitted to the company; correspondence; some title, catalogue and production files; financial statements, inventories, premises records; and the final edited manuscripts of the English and French editions of a children's book.

Although the company has never developed a retention and disposition schedule, since the late 1970's it has utilized an established filing system, originally alpha-numeric and now simply alphabetic in character. This has produced easily identified records series, although changes in the filing system have assigned

¹Records of Western Producer Prairie Books created before the sale of its assets, or not transferred to Douglas & McIntyre, are held in the University of Regina Archives.
varying titles to the same series. Some of the series contain records created or received in the performance of the administration, editorial, production, and marketing functions identified by the company. Series of the administrative function include those of the Office of the President, such as legal agreements, board and annual meeting minutes of Douglas & McIntyre and Douglas & McIntyre Educational, financial and banking statements and correspondence, and records created by changes in company organization; House Administration, with staff, banking, legal, and premises records; Finance and Business, comprising contracts and royalty documents, financial statements and reports, a database of in-house sales records, and U.T.P. sales reports; and Financial Assistance, containing grant correspondence and applications.

Records generated by the editorial function constitute the series Editorial Projects, containing records relating to proposed publishing projects; Manuscript Files, including correspondence, original and edited manuscripts, galleys and page proofs¹, and style sheets; and Manuscript Rejections, consisting of submission and rejection letters, agent correspondence, and readers' reports.

The Production series contains both the textual records such as printing quotes, invoices and correspondence with printers and freelancers; and the graphic

¹New publishing techniques have eliminated the need for galleys. Edited manuscripts are now directly translated into laser page proofs, which are set in the chosen font and position text and space allocated for graphics as they will appear on the printed page.
materials, the inside and cover art, maps, and photographs, created or received in
the design and production of a published title. Documents generated by the
marketing function are found in the Marketing series that includes author
biographies and correspondence, advertisements and reviews, and records of
catalogue production and various promotional activities; and the published
Catalogues series. The Fulfilment & Customer Service series includes invoices
created by in-house order processing and shipping; U.T.P. sales reports; and
proforma "invoices," created to ship U.T.P. orders, later invoiced by it, from the
Vancouver warehouse.

Other series comprise records related to the same subject. These include
the Current Titles / Author Files series that contains records that are the by-
products of administration, production and marketing functions. Originally
classified by the filing plan as Current Titles, the series comprises an ordered set
of files for each title, including correspondence with the author, production and
promotion records; translation, reprint, and rights documents; and accounting
records of jointly published works. Later called Author Files, although still filed by
title, the series contains author correspondence; copies of contracts; permissions
for external material included in the work and use of material in it by others; and
rights documents for each published title.

Other subject-related series include Agencies, containing correspondence
and distribution agreements with literary agents and publishing houses who
distribute Douglas & McIntyre titles, or whose titles are distributed by Douglas & McIntyre; Booksellers comprising correspondence, commission sales reports and analysis; correspondence with and involvement in Professional Associations, especially the Association of Canadian Publishers (A.C.P.) and the Association of Book Publishers of British Columbia (A.B.P.B.C.); Printers; correspondence, distribution and co-publishing arrangements with other Publishing Houses; and Publications regarding the company, its activities, and its authors.

Included in the House Administration, Professional Associations and Office of the Publisher series are records, including diaries, generated by the extra-company activities of Douglas and McIntyre personnel. The company was one of the founding members of the British Columbia Publishers Group (B.C.P.G.), later renamed the Association of British Columbia Book Publishers, and Jim Douglas served as its first president. Scott McIntyre has served as chairman of the B.C.P.G., and as president and vice-president of the A.B.P.B.C. Other staff members have also held posts on the association’s executive, as president, treasurer or secretary, or have served as members-at-large.¹ Douglas, Patsy Aldana of Groundwood Books, and Greystone publisher Rob Sanders have all served as president of the Association of Canadian Publishers. McIntyre has participated in publishing trade missions to Japan and the Netherlands; chaired the Cultural Industries Sectoral

¹I am grateful to Angela Roberge, A.B.P.B.C. Executive Assistant, for providing the details of Douglas & McIntyre staff involvement in that organization.
Advisory Group on International Trade, which reports to the Minister of Foreign Affairs and Trade in Ottawa; and been inaugural chairman of the British Columbia Cultural Foundation promoting private sector investment in the arts. McIntyre was also president of the Canada Pacific Publishing Society, a non-profit Canadian-American initiative to expand the market for Canadian books and publishing services in the Pacific Rim area. The records of this now defunct organization are currently held in the Douglas & McIntyre offices.

Table 3 presents a summary of Douglas & McIntyre's series and records. Notably absent are any records of the Children's Division. Although some of the division's financial records are contained in the Finance and Business records maintained in Vancouver, its contracts, editorial, production, marketing, sales, and other financial records are maintained in Toronto, and are interfiled with the records of Groundwood Books.
### Table 3
Records of Douglas & McIntyre Limited

<table>
<thead>
<tr>
<th>SERIES</th>
<th>RECORDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>AGENCIES</td>
<td>Proposals; Manuscript samples; Readers' reports; Correspondence with literary agents and other publishing houses; Co-publishing agreements</td>
</tr>
<tr>
<td>BOOKSELLERS</td>
<td>Correspondence with retail outlets; Commission reports; sales analyses</td>
</tr>
<tr>
<td>CATALOGUES</td>
<td>J.J. Douglas; Douglas &amp; McIntyre; Douglas &amp; McIntyre Educational; Douglas &amp; McIntyre Children's; and Greystone published catalogues; Agency catalogues</td>
</tr>
<tr>
<td>CURRENT TITLES / AUTHOR FILES</td>
<td>Author correspondence; Production, Promotion, Translation, Reprint, Rights, Joint accounting, General files; Permissions; Copies of contracts</td>
</tr>
<tr>
<td>EDITORIAL PROJECTS</td>
<td>Correspondence, Readers' reports, Memos. Sample chapters; Legal issues of book ideas and specific projects under consideration</td>
</tr>
<tr>
<td>FINANCE &amp; BUSINESS</td>
<td>Ledgers; Journal entries; Trial balances; Financial statements; Statements of income; Balance sheets; Bank reports; Contracts; Royalty advances; In-house sales records; U.T.P. sales reports; Fulfilment correspondence; Printers' statements</td>
</tr>
<tr>
<td>FINANCIAL ASSISTANCE</td>
<td>Correspondence with federal and provincial government and private funding agencies; Copies of completed applications for operating, title, and author travel grants</td>
</tr>
<tr>
<td>FULFILMENT &amp; CUSTOMER SERVICE</td>
<td>In-house sales invoices; Proforma “invoices”; U.T.P. sales reports</td>
</tr>
<tr>
<td>HOUSE ADMINISTRATION &amp; OFFICE MANAGEMENT</td>
<td>Staff kit; Staff files; Inventories; Financial presentations; Banking arrangements; Legal agreements; Insurance policies and correspondence; House style; Premises documents; Personal staff correspondence</td>
</tr>
<tr>
<td>J.J. DOUGLAS LIMITED</td>
<td>Register of manuscripts received; Edited manuscripts; Author and reviewer correspondence; Title files; Catalogue files; Production files; Facilities documents; Financial, profit &amp; loss and income statements; Balance sheets; Telegrams</td>
</tr>
<tr>
<td>SERIES</td>
<td>RECORDS</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>MANUSCRIPT FILES</td>
<td>Original manuscripts; Edited original manuscripts; Edited drafts; Galleys; Laser page proofs; Style sheets; Correspondence for J.J. Douglas, Douglas &amp; McIntyre, Greystone published titles</td>
</tr>
<tr>
<td>MANUSCRIPT REJECTIONS</td>
<td>Author submission letters; Copies of form rejection letters; Agent correspondence; Readers' reports</td>
</tr>
<tr>
<td>MARKETING</td>
<td>Marketing plans; Budgets; Marketing meetings minutes; Job descriptions; New title listings; Price lists; Sales forecasts, reports; Author biographies &amp; correspondence; Advertisements; Tour information and agendas; Agency, consultant, sales representative files; Commission reports; Book fair, trade reception, and sales conferences files; Reviews; Awards; Catalogue production files</td>
</tr>
<tr>
<td>OFFICE of the PRESIDENT</td>
<td>Legal agreements and correspondence; Board &amp; Annual meeting minutes (Douglas &amp; McIntyre and Educational); Shareholder files; Balance sheets, financial statements, banking correspondence; Company amalgamation and Educational sale files; Personal activity files; Diaries</td>
</tr>
<tr>
<td>PRINTERS</td>
<td>Correspondence with printers</td>
</tr>
<tr>
<td>PRODUCTION</td>
<td>Textual records Correspondence with printers, freelancers; Printing quotes, designer and printers invoices, general material for titles in production</td>
</tr>
<tr>
<td></td>
<td>Graphics Camera-readies; Illustrations; Photographs; Maps; Cover art</td>
</tr>
<tr>
<td>PROFESSIONAL ASSOCIATIONS</td>
<td>Company and staff correspondence, memos, printed material; Copies of A.C.P., A.B.P.B.C. minutes</td>
</tr>
<tr>
<td>PUBLICATIONS</td>
<td>Advertising; Reviews; Book excepts; Copies of articles on authors and the company; Expo participation files</td>
</tr>
<tr>
<td>PUBLISHING HOUSES</td>
<td>Correspondence with Canadian, American, and international houses, memos; Distribution, co-publishing projects and contacts; Agency arrangements</td>
</tr>
<tr>
<td>SERIES</td>
<td>RECORDS</td>
</tr>
<tr>
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</tr>
<tr>
<td>DOUGLAS &amp; McINTYRE (EDUCATIONAL) LIMITED / DOUGLAS &amp; McINTYRE EDUCATIONAL</td>
<td>Administrative, marketing, production, editors' files; Staff manual; Correspondence with provincial education departments / ministers, designers, cartographers, consultants; Manuscript files; Project files; Research files; Pilot materials; Presentation books</td>
</tr>
<tr>
<td>WESTERN PRODUCER PRAIRIE BOOKS</td>
<td>Includes Manuscript files; Camera-readies; Marketing, sales, catalogue, book fair files; Correspondence with government agencies; Grants, rights, agent files</td>
</tr>
</tbody>
</table>
Chapter 3
Models vs. Reality

The features of the models found in Carre's and Coles' studies of publishing organizations have been discussed, and the development and operations of Douglas & McIntyre have been described. It is now possible to compare the models to the reality of the company and its records, and to determine if they provide viable standards for the appraisal of publishing records.

Listing records by creating departments, Coles' model assumes that structure determines the functions that generate records, and presumes the appraisal of publishing records based on the organizational structure of a company. This conforms to Schellenberg's assertion that the organization of an agency is determined by the functions it is designed to accomplish. "Organization," he declared, "thus frequently corresponds to function," and "records may be, and
usually are grouped to reflect organizational structure. ¹ His conclusion, however, was based upon records created by public agencies. Although some records of a private organization may be grouped this way, the majority fall into series that comprise "all records which result from the exercise of a given function or activity within a function, have the same form, or relate to the same subject."² Some of Douglas & McIntyre's records, those of the Office of the President, Finance & Business, J. J. Douglas, and Douglas & McIntyre Educational series do reflect a grouping according to organizational structure. However, other series like Editorial Projects, House Administration, Marketing, and Production constitute groupings by functions and activities; while Manuscript Files, Manuscript Rejections and Catalogues series reflect groupings based on the form of the records; and Agencies, Booksellers, Current Titles/Author Files, Financial Assistance, Printers, Professional Associations, Publications, Publishing Houses, and the Western Producer Prairie Books series represent groupings of records relating to the same subject.

Structure provides the framework for the designation of responsibilities for the execution of functions and activities. Understanding the creator's organization


is part of the process of understanding the full context of records creation that is necessary for the selection of records for permanent preservation. Structure, however, is seldom rigidly established in publishing companies. One of the standard texts on the industry has asserted that not only the terms used to designate responsibilities, but also the distribution of responsibilities themselves, may vary widely from one house to another.\(^1\) At Douglas & McIntyre, positions and position titles have been created or vacated with no effect on the company's operations.

Moreover, structure is not stable. It is often altered by internal reorganizations and external circumstances. The simple organizational model presented by Coles, as shown on page 20, assumes that a medium-sized publishing company is engaged in, and generates records from, only one type of publishing program. Douglas & McIntyre is regarded as a medium-sized company, but its structure, illustrated on pages 44 to 46, has changed over time to support different publishing programs. In the last decade, the firm has created or dissolved four distinct publishing units: Adult, Children's, and Educational divisions, and the Greystone imprint. The Adult, Children's and Greystone divisions currently share, and the Educational Division formerly shared, common financial and fulfilment services, and the sales records for each division are grouped into one Finance &

\(^{1}\text{Dessauer, p. 184.}\)
Business series. The remaining records of the Educational Division, however, include extensive research files, correspondence with educational ministers and ministries, consultants' files, and pilot materials generated by this distinct type of book production, and which are grouped together in a single division series. The Children's Division generates editing, production, and marketing files that are particular to its specialized publishing program. Greystone and the Adult division also utilize the same editorial and production facilities in Vancouver, and their manuscript and production records are part of the same Manuscript Files and Production series. While its records have not yet been consigned to storage, Greystone is currently also creating records specific to the operations of that division alone.

The model also assumes that functions are limited by departmental structure; that all editing, for example, is accomplished by a single Editorial Department. Douglas & McIntyre's organizational structure includes three editors, who could perhaps be considered as constituting a "department." However, two of these editors are specifically assigned to titles for the Adult and Greystone divisions, and therefore more accurately considered as part of separate publishing divisions. The company also contracts freelance editors for titles in either division, and these are supervised by the Managing Editor who, structurally, is head of the production "department." Editing for children's books is performed by that
division's own Toronto-based editors. The company's long and continuing association with the independent Groundwood Books has created a virtual "branch" office in Toronto. This has produced a division in the marketing "department," with personnel in both the Toronto and Vancouver offices executing the firm's singular marketing function.

Other external factors have also altered Douglas & McIntyre's organizational framework. The purchase of Douglas & McIntyre (Educational) Limited prompted a reorganization into three distinct publishing divisions in 1987; the sale of the division in 1989 reduced the publishing operations to two programs. The assets acquired from Western Producer Prairie Books produced the basis for the creation of Greystone Books as a new publishing division in 1993.2

Coles' model also assumes that the department, or position, of publisher is a single administrative and operational office. This may or may not be the case, _

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1The division of editing functions appears in a number of other publishing companies. Both McClelland & Stewart in Toronto and Véhicule Press in Montreal, for example, produce literary series under editorships separate from those of their general trade publications.

2The structure of other publishing companies has also been altered by acquisitions. When the Book Society of Canada (founded by John Irwin who also was one of the original founders of Clarke, Irwin & Company) purchased the majority of the assets of Clarke, Irwin in 1983, it initially maintained the company as a separate division before amalgamating it with The Book Society as Irwin Publishing Limited. Acquired by General Publishing in 1988, Irwin Publishing is now maintained it as a distinct textbook division of that company.
depending on the individual company concerned. The role of publisher is central to any publishing organization. It is this figure who oversees all aspects of producing a book, reviewing or approving manuscripts, enlisting capital for the production of titles, contracting designers, freelance editors and printers; and directing the distribution of published books.¹ Douglas & McIntyre has three publishers, each responsible for these tasks in his/her own Adult, Children's and Greystone division. It is the president, however, who tends to the overall administration of the company, its staff and premises, explores marketing options, and directs the editorial and financial planning that permits the publishers to execute their functions. Often the two roles have been combined; currently McIntyre fills both positions, as he did from 1982 to 1987. The two positions, and their functions, however, are clearly separate.

The majority of the departmental records Coles' model identifies as having "archival value" do correspond to records found at Douglas & McIntyre records, but these are not necessarily grouped by the organizational units that may have created them. Records of the type listed under the Office of the Publisher department can be found in the company's Office of the President series, but also in Current Titles/Author Files, Finance & Business, Financial Assistance, House

Administration, and Professional Associations series. Those included for an Editorial Department are found in the Editorial Projects, Manuscript Files, Manuscript Rejections, Current Titles/Author Files, and Professional Association series. Production Department records correspond to those in the company's Production series; those of a Marketing and Promotion Department to the company's Marketing and Catalogues series; and those of Sales & Order Fulfilment Department to records found in Douglas & McIntyre's Finance & Business and Fulfilment & Customer Services series.

Carre's model does not include any consideration of company organization. In the small private presses it describes, with an owner / proprietor and perhaps a handful of staff performing all publishing operations, structure would be minimal. The model focuses instead on the functions of a publishing company. Functions are all the activities, the actions, aimed toward the accomplishment of one purpose. As such, they are usually expressed by gerunds, verbal nouns that denote action. Translating Douglas & McIntyre's identified Editorial, Design and Production, Marketing, Fulfilment & Customer Service and Administration functions into this form, the company's functions can be expressed as: evaluating and editing books; organizing book production; marketing; warehousing, distributing and processing orders; and managing the company. Coles' model suggests all of the same functions, but Carre's model includes only three of them.
The differences can best be discussed by first summarizing Carre's, Coles' and Douglas & McIntyre's identified functions in table form:

<table>
<thead>
<tr>
<th>CARRE'S MODEL</th>
<th>COLES' MODEL</th>
<th>DOUGLAS &amp; McIntyre</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acquiring prospective manuscripts</td>
<td>Acquiring &amp; editing manuscripts</td>
<td>Evaluating &amp; editing books</td>
</tr>
<tr>
<td>Producing a finished work</td>
<td>Producing a published work</td>
<td>Organizing book production</td>
</tr>
<tr>
<td>Editing</td>
<td>Designing</td>
<td>Designing</td>
</tr>
<tr>
<td>Designing</td>
<td>Printing</td>
<td>Printing</td>
</tr>
<tr>
<td>Marketing a published work</td>
<td>Marketing &amp; promoting a published work</td>
<td>Marketing</td>
</tr>
<tr>
<td>Fulfilling sales orders</td>
<td>Warehousing, distributing &amp; processing orders</td>
<td></td>
</tr>
<tr>
<td>Administering company</td>
<td></td>
<td>Managing company</td>
</tr>
</tbody>
</table>

There is evident agreement in the functions of selecting manuscripts for publication, marketing, and in the design and printing activities of the function of producing a finished work. Coles' model and Douglas & McIntyre, however, consider editing and producing a finished work as separate functions, while Carre's model includes editing as an activity of the producing function. As equal components of the single process of transforming a selected manuscript into a published book, editing, designing and printing often do, as Carre observed,
However, editing involves the selection and preparation of the content of a book, while designing and printing involve the selection and manufacturing of the packaging for that content. Each function generates records that are distinctly different in purpose and form. Nor are both the editing and producing functions always performed for every possible or actually printed book. Some manuscripts can be extensively edited in preparation for publication, but never reach the printing stage. Coles mentions the "manuscript that was virtually rewritten in the editorial stage and revised through the proofing process," but was never published. Special editions of published titles, such as boxed or specially bound volumes, are sometimes produced that entail design and printing activities, but do not necessarily require any additional editing. A title originally published in a hard cover edition is often subsequently issued as a paperback, and a separate, edition. While this may involve further designing and does entail an additional printing run, it does not require any editing.

Although it includes "order cards" as one of the record types created in the function of marketing a published work, Carre's model does not include the function of processing or fulfilling sales orders identified by both Coles and Douglas & McIntyre. Orders are crucial to the survival of every publishing

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1 Carre, p. 39.

2 Coles, p. 29.
company, regardless of its size or type of publication. Even small private presses have some mechanism for processing orders, delivering the finished work, invoicing for payment, recording sales, and controlling inventory. Indeed, the inventories of the three presses held in the University of British Columbia Special Collections include the invoices of Barbarian Press; invoices, orders, and purchase orders of Cobblestone Press; and invoices and order forms of Klanak Press. Their mention clearly indicates that all three presses executed an order fulfilling function.¹

With the inclusion of such records as editorial policies, contract, royalty and advance documents, Carre does consider some aspects of the function of managing a company. However, these records relate only to the administrative tasks associated with producing books. Missing are those records, common to any organization, created while administering the company itself, the records of the facilitative functions that are necessary for the support of the publishing operations.

Although Carre's model includes only three of the company's five functions,

the records it identifies as generated in the acquisition of manuscripts correspond to records found in Douglas & McIntyre's Editorial Projects, Current Titles/Author Files, and Finance and Business series. Those included as created in producing a finished work can be found in the company's Production and Printers series; and the identified marketing function records correspond to Douglas & McIntyre's Manuscript Files, Marketing, and Catalogues series.

Other records found in the Douglas & McIntyre office do not appear in Carre's model. Missing are any records of the type found in the company's Financial Assistance or Professional Association series. This may be accounted for by the eligibility requirements that may have precluded the submission of any grant applications; or the small and specialized nature of private presses as opposed to more general publishing companies.\(^1\) Absent, too, are any records corresponding to the rejected manuscript submissions that comprise Douglas & McIntyre's Manuscript Rejections series, although Carre describes the function of soliciting manuscripts as both "informing prospective writers that a publishing organization is seeking material for publication" and the "review of unsolicited manuscripts."\(^2\) Both of these would certainly garner material ultimately considered as unsuitable

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\(^1\)The grant eligibility of a publishing organization is generally determined by the number of titles it has published within a certain period of time, and the amount of sales that have been generated by those titles.

\(^2\)Carre, pp. 42-3.
for a company's publishing projects, and require the creation of rejection replies. The Klanak Press inventory's mention of correspondence "regarding manuscripts submitted to or published" also suggests that small presses do reject received manuscripts.¹

Beyond only mentioning a file in the records of Cobblestone Press containing correspondence with other publishers regarding possible joint ventures, Carre's model does not include any records of the type found in Douglas & McIntyre's Agencies, Publishing Houses, Marketing and Booksellers series generated by the company's sales representation, book distribution, and copublication arrangements.² Coles' model includes only contracts for literary agents, included under the Office of the Publisher. Described by Jane Fredeman as a "dizzying complexity,"³ such arrangements can be complicated and are frequently

¹Carre, p. 81.

²Carre, p. 72.

renegotiated. However, almost every publisher depends upon other companies for the distribution of its titles throughout Canada and in international markets, and on sales representatives to promote its publications beyond the immediate geographic area. Many companies also rely on agreements to distribute the titles of other companies, foreign and domestic, as a way to realize additional revenue with a minimum capital outlay; and to take advantage of the cost-sharing features of co-publication. Records of these arrangements provide evidence not only of an individual company's activities, but also of the context of the entire publishing industry in which it operates.

Carre's model includes no records of personal activities of publishing company personnel. Coles includes only the professional association and conference activities of the Publisher; and the professional association correspondence of the Editorial Department. Douglas & McIntyre's Office of the President series includes records, among them diaries, generated by McIntyre's personal activities; and the House Administration series contains records created by the activities of various staff members, particularly their involvement with A.C.P. and A.B.P.B.C..

While the records of activities that fall beyond the scope of official company whose network of representatives promote its titles, as well as those of Douglas & McIntyre, throughout Canada.
business have not generally been regarded as records to be preserved as part of, or a complement to, a company's records, an increasing number of writers are recognizing their value and arguing for their permanent preservation. Tying preservation to "historical purposes," Anna Ulfsparr included activities outside the actual sphere of company activities, such as representation on national and international organizations, as part of a lengthy list of information that should be permanently retained; Leonard McDonald included non-company records such as private or family papers in his discussion of business records to be preserved; Edie Hedlin has stated that information on civic involvement and biographical data of major personalities in the company should be preserved in business archives; and Ralph Hidy has made a "plea for keeping memos and correspondence on outside activities of the executives," that can increase understanding of businessmen not merely in the economy but in society.¹ Couture has noted that "it is not unusual for industrial and commercial archives to contain the private papers of executives

who have been among the company's key players."\(^1\) The practice, however, is not limited to corporate repositories. The papers of William McConnell, founder of Klanak Press, are held in U.B.C. Special Collections; and a substantial collection of the papers of McClelland & Stewart president Jack McClelland are held, along with the company's records, in McMaster University.

Grant Mitchell's list of additional types of business records retained by archival repositories he surveyed in his thesis included personal records such as correspondence, diaries and speeches, and articles. Mitchell concluded that "personal records of businessmen and their families are of value as they complement the records of the enterprises with which they are involved," and adds that these "may shed light on the personalities behind the business activities documented by business records, and on the motives for particular actions undertaken by businessmen."\(^2\) This would be particularly true in the case of publishing companies, which are often single-person, family, or partnership organizations. The figures of president and publisher represent the essential forces that have shaped a company, controlled its development, and engineered its success or failure.


\(^2\)Mitchell, p. 64.
Book publishing is often regarded primarily as a "cultural industry" producing an "instrument of mass communication" that conveys ideas, attitudes and values; expresses artistic creativity; provides information about and analysis of past and present issues and events; educates, stimulates, and entertains.¹ In the foreword to Coles' booklet, Jean-Pierre Wallot confirms this perception with the statement that publishers "are part of today's 'cultural industries'"² In his article on the British Publisher's Archive at Reading University, J. A. Edwards stresses that while the archive has "value to students of publishing method or book design," it does not "neglect the literary scholar's traditional interest in specific writers." The records of the ten businesses held there, he adds, "embrace an extraordinary range of activities and an emphasis on the entire life-cycle of literature, from author through illustrator, publisher, and printer to reader. . . ."³ This emphasis on publishing records as sources for literary scholarship, is further underscored by the finding, in the informal survey of publishers' records mentioned in Chapter 1, that although the records of thirty-three active and defunct companies are located in


²Coles, p. vii.

³Edwards, p. 27.
Canadian repositories, the records of twenty-nine of these are held in university archives or libraries.

Both models include records created in the production of such an "instrument of mass communication." Carre's model lists manuscripts, edited manuscripts, galleys, proofs, layouts, and printer contracts. In her model, Coles includes original and edited manuscripts, altered galleys and proofs, significant and final design/layout information, production contracts, and rejected book submissions. At Douglas & McIntyre, production materials are of continuing use to the company's operations. Printer's quotes for the original publication provide a valuable basis for considering a new edition of the same title; graphics, especially inside artwork, are often used to illustrate other publications; and camera-readies, employed in the actual printing process, may be used again for later reprints. However, as with most publishers, edited manuscripts, drafts, and page proofs are not used beyond the actual publication of the book. Revised editions are produced by editing a photocopy of the printed work.

Retaining manuscripts, proof pages, and rejections results in a substantial volume of records. Some published titles go through several editing drafts and a number of proof sets before they are finally sent to the printer. Each proof set is corrected by the author, and sometimes authors, the editor, and occasionally an outside reviewer. A three hundred-page manuscript, multiplied by two or more
proof sets, multiplied by several individuals making corrections produces an enormous volume of paper. Douglas & McIntyre's Manuscript Files series alone constitutes about one-third of all its retained records. Beyond the short-term necessity of verifying a reply, most manuscript rejections represent little more than unusable bulk. Of the eight cubic feet of such records accumulated by the company between 1977 and 1989, only a handful of files contained any reader's reports or correspondence from agents or other publisher recommending a particular manuscript for consideration. Most contained no more than the submitters' letters and copies of the company's form-letter responses.

Carre's model offers no consideration of how many of these records should be retained. In her supplementary discussion of publishing records of value, Coles does offer some guidelines to control volume. In regard to proofs, she explains that once the author returns his/her corrections, "the editor will probably incorporate all changes on one master version . . . destroying all superseded copies as soon as possible to ensure that, only one copy of the galleys and page proofs ends up in storage." An ideal solution, but one that is rarely achievable given the time constraints of meeting production deadlines. Yet Coles also suggests retaining both the author's galleys and the master version if these have "different corrections and comments written on them." As for design/layout records, retention depends "upon the complexity of the book, the novelty of the design, and perhaps the
success or failure of the layout.”¹ No guidelines are offered, however, as to the amount of records documenting the rejection of book submissions, including proposals, reader's reports, additional correspondence and rejection letters, that should be retained.

As the informal survey of publishing records found, many companies return manuscript and design materials to the creator, or discard them, along with any other records that are no longer of use to its current operations. Jenkinson’s dictum that a company should retain only those records that meet its business needs certainly supports such action, as does his admonition that a records creator “refrain from thinking of itself as a body producing historical evidence.”² Few archivists, however, would agree with such stringent limitations on preservation, or advocate the destruction of manuscripts which, although no longer useful to the company, do provide evidence of the editing function and do have the secondary value to others argued by Schellenberg. In an effort to reduce volume and preserve only records with continuing value, Douglas & McIntyre's editors now retain only drafts, galleys and proofs with substantial content changes. One can argue that systematic sampling of the company's submission and rejection letters received and created at the same time each year, and selective sampling of files

¹Coles, pp. 26-7, 30.
²Jenkinson, Manual, pp. 149-50.
containing additional agent and reader correspondence would provide the same
evidence of the function of evaluating a manuscript without the accompanying
accumulation of bulk. One must question why both models then indicate the
retention of most of these records.

In discussing the appraisal of literary manuscripts, Philip Cronenwett wrote
that “in some cases, only the first draft, and perhaps, one middle draft as well as the
final draft are necessary to a collection. In other cases, the retention of the original
copy of all drafts may be of importance to researchers.”1 From her lengthy
discussion of the possible uses of publishing records for a variety of research topics,
her suggesting the preservation of the files of “notables,” and her statement that
“if an editorial controversy results in many galley changes, the galleys may contain
historically interesting and valuable information,”2 it seems apparent that Coles also
advocates the preservation of such records primarily on the basis of their potential
secondary use for scholarly purposes. Carre’s inclusion of the same records,
without limitations, seems to indicate a similar intention to preserve the products
of the cultural industry of publishing for future researchers.

Publishing is also a business, as concerned with the financing and marketing
of its manufactured product as it is about the refining of its cultural content.

1Cronenwett, p. 108.

2Coles, pp. 6-8, 26.
McIntyre defines it as a capital-intensive "manufacturing business in which the 'product' is not created from scratch but accepted on the basis of subjective judgment. And it is a business that puts its heart and soul into creating and marketing 'products'."¹ In a paper delivered to a seminar on book publishing, Karl Siegler, president of Talonbooks, also stressed the business aspect of publishing:

"Only half of the publishing process involves a search by editors for material . . . the alteration of such materials by the editors in both form and content, the design, the typesetting and layout of such material, and the physical process which duplicates that material in its final shape. The second half of the process then becomes the distribution and dissemination of the work to the public, and involves the publisher in interactions with various organizations and institutions through which that end is accomplished (advertising, media, wholesalers, retailers, libraries and educational institutions). Neither half of the publishing process is of any value whatever without the tie to the other."²

The most significant differences between Carre's and Coles' model and the reality of Douglas & McIntyre occur in the administrative records, those records generated by the facilitative operations of a business: its administration, personnel, building and properties, equipment and supplies, and especially finance.

¹Scott McIntyre, pp 1-2.

Blouin has written that “business records have always posed particular problems for archivists . . . Business collections are usually large and often appear to be incomprehensible. Although the prose portion, consisting of minutes, correspondence, and reports, can be read and understood easily, the major portion - the financial records - is less easily grasped.”¹ In many ways, financial records represent an unexplored area of archival science. Few archivists possess a thorough understanding of them, and the professional literature has given little attention to their appraisal. Dennis Meissner reported that of the sixty articles and books relating to business records printed since the 1940's, “fewer than one-fourth offered any practical appraisal guidelines, and only one-third of that fraction were concerned to any extent with accounting records.” Of the few business guidelines suggested, most have concentrated on the “narrative format business records such as the sundry levels of corporate correspondence and memoranda; the various series of minutes, annual reports, corporate periodicals, and other publications; publicity releases and news clippings; and other largely textual records,” and have avoided discussing the financial records.² Indeed, some writers have mentioned only general categories of financial records without indicating which specific


²Meissner, p. 75.
documents should be preserved. Writing on corporate archives, Douglas Bakken mentioned only "summary financial records," while James Barrett's discussion of acquisition in industrial archives referred only to "accounting and finance" records. Offering some general remarks about business records, Ralph Hidy noted that "annual reports are not legally required, but most companies keep them as though they were," and that the "retention of statistical data is absolutely imperative. From them the historian presumably can reconstruct a chronological record of achievement in costs, sales, and finance."\(^1\)

Nor, Meissner noted, do archivists who do discuss specific financial records agree on which of them should be preserved. Writing on the collection and cataloguing of business manuscripts, Arthur Cole indicated that ledgers and trial balances should be retained; while Edward Kemp's discussion of literary manuscript solicitation asserted that ledgers and journals should be preserved. Discussing the appraisal of business records, Robert Lovett specified ledgers, journals, and treasurer's reports as permanently valuable; while Grant Mitchell indicated that ledgers, journals, voucher registers and balance sheets are among the financial records generally considered by archivists as worthy of preservation. Sue Garland's report on the Kent Business Archives survey identified ledgers, journals, voucher registers and balance sheets.

audits, and balance sheets; and Gerald White referred to “central accounting records” as sources of value to the business historian, but added that “among the most important are balance sheets and profit and loss statements.”

Financial records are created to accomplish one of two distinct purposes: to preserve information necessary for the company to manage its current and future financial transactions, or to report the results of these activities to outside parties who have an interest in the company’s financial affairs. Although accounting practices vary from company to company, the most common records created to satisfy the internal management needs include journals, ledgers, trial balances, and budgets. A journal consists of a chronological recording of every financial transaction as it occurs in the company’s day-to-day business. Journal entries are subsequently transferred to a ledger that records the same transactions under separate accounts. Accounts may be general categories, such as office supplies, which would include all transactions relating to that topic; or specific individuals or firms with whom the company has transacted business. Periodically, the

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balances of all ledger accounts are totalled, creating a trial balance. One management use of the information preserved in financial records is the preparation of a budget. Based on the recorded results of transactions, this record constitutes an outline of future financial activity and transactions, and consists of a summary of probable income and expenditures for a given period and a plan for making adjustments between them.

An intermediary document that is not generally retained, the trial balance forms the basis for the preparation of the financial statements that fulfill the second purpose of financial records: conveying information about the company’s financial activities to external parties. These may include owners who have a direct interest in the company’s financial affairs, creditors who rely on the information to decide whether to extend credit to a company, and shareholders who have an interest in their invested funds. Reporting documents can be created in a variety of formats that lack uniformity in their form, title or content. However, the major financial standards for reporting documents have been set in a “conceptual framework” published by the Accounting Standards Committee of the Canadian Institute of Chartered Accountants for them. Although this framework has legal authority,
statements created by contemporary companies are the balance sheet and the income statement. The balance sheet, or statement of assets and liabilities, is a monthly consolidation of a company's total assets, liabilities, and net worth. The income statement, often referred to as the statement of profit and loss, or simply "P & L," and often attached to the balance sheet, provides an accounting of total income for goods and services, their costs, other expenses, and the net profit or loss realized by the company in the month. It may also provide a comparison of current figures to those of a previous month or months.\(^1\)

Intended for the public, the annual report, or annual financial report, or annual financial statement, is a comprehensive summary document containing introductory information; financial statements, including the balance sheet, income statement, and auditor's report; schedules; and supplementary statistical data on such topics as debts and taxation. An accompanying directors' report frequently explains matters of interest not included or made clear in the balance sheet or income statement. Notes to the financial statements contain additional information such as explanations of accounting policies; details of research and development.

\(^1\)Meissner, p. 95.
expenditures, interest and taxation payments; schedules and exhibits such as the financial statements of subsidiary organizations; and explanations of items in the balance sheet and income statement. The auditor's report, created internally or externally by an independent agent, provides summary data and serves to verify financial statements produced by the company, or indicate any irregularities within them.

Meissner's guide to which financial records should be preserved includes both internal management documents: the journal that provides the only complete chronological record of transactions, and the ledger that provides evidence of financial transactions by type; and external reporting documents: the balance sheet that constitutes a "precis of corporate finances" and "the accounting record most frequently consulted by management personnel," and the profit and loss (income) statement providing additional information not found in the balance sheet, audits, and annual reports.¹ He also recommends the retention of audits and annual reports as valuable summary data.

Although Carre quotes Grannis' statement that publishing is a "whole intellectual and business procedure," his model ignores the business aspect of a publishing organization and includes no company administrative records. Yet the Cobblestone Press inventory mentions a lease and records relating to legal

¹Meissner, 77-95.
sundries, shop business and organization, wage laws, and work orders; and the Barbarian Press inventory includes records of the founding operations and press purchases. While Carre defines private presses by the characteristic of “limited financial resources” that “affects every aspect of the work or private presses, including the nature and volume of products produced,” and lists financial records as one of the four main sub-groups of the Barbarian Press fonds inventory replicated in the Appendix to his thesis, his model includes no financial records in its description of publishing organization records.

Coles’ model does include administrative records. While those relating to equipment and supplies are listed only under the Sales and Order Fulfilment Department; administrative, personnel, building and properties, and financial records are listed under Office of the Publisher. Included are: annual reports, contracts, and member lists, minutes and memoranda of a board of directors; job descriptions and employee files; mortgage/rent contracts and renovations records; and audit statements, budget statements, financial reports, and tax returns. However, no mention is made of documents of the origins of a company, and the financial records listed do not provide comprehensive evidence of the financial

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1 Barbarian Press prints nearly all of its publications from hand-set type using nineteenth-century hand presses.

2 Carre, pp. 39, 6.
activities of any company. Budgets, however useful as indications of a company's planning, are not generated by financial transactions; and audit statements and financial reports provide only summary data. Coles' model does not include journals or ledgers that preserve the information essential for the company to manage its current and future financial activities, nor does it specify the balance sheets and income statements that fulfill the reporting purpose.

In contrast, Douglas & McIntyre's Office of the President, J. J. Douglas, and Finance and Business series, include the memorandum of agreement establishing the company, Board of Directors' minutes, annual reports, and contracts. The House Administration series includes records relating to company personnel, and equipment and supplies. Building and properties records, including leases, insurance, and renovation proposals, are found in House Administration and J. J. Douglas series. Journals, ledgers, balance sheets, income statements, and audits are among the financial records included in the Office of the President, J. J. Douglas, and comprise most of the Finance & Business series.

Carre's thesis argues that functional analysis provides a useful context for appraisal. His analysis of private presses includes three functions of a publishing organization, but omits two other functions derived from Coles' model and identified by Douglas & McIntyre. While basing the identification of records generated by the functions of acquiring prospective manuscripts, producing a
finished work, and marketing a published work on records found in the inventories of Barbarian Press, Klanak Press and Cobblestone Press, Carre omits any consideration of other included records that are the by-products of the functions of fulfilling sales orders and managing the company. The sales records, orders and particularly the financial records that are created or received in the execution of these functions are necessary for any publishing organization to plan and conduct its business. No matter how small the company or its staff, or how limited the editions it publishes, the transformation of a manuscript into a marketable and marketed product is a business operation. Focussing primarily on the records created or received by the editing, designing, printing, and marketing of a book, Carre's analysis concentrates on the production of a cultural product rather than its producer. Considering only some of the functions of publishing, the analysis is ineffectual. Drawn from that analysis, Carre's model is incomplete and therefore only partially viable for the appraisal of the records of a publishing organization.

Coles' model is a direct presentation of a schedule for the management of publishing records, from creation to final destruction or archival preservation. All of the functions that can be derived from it are equal to those identified by Douglas & McIntyre. Most of the records included in the schedule also correspond to those of the company. Tied to a structural approach, however, the model can not and does not reflect the various internal changes, such as reorganizations and the
expansion into different kinds of publishing, or external situations like acquisitions, associations, and sales of assets that affect a company's organization and, ultimately, the creation and type of its records. With its discussion of the information available in publishers records for research on a variety of topics, and references to possible historical value, Coles' model emphasizes the secondary use by others of the records of a cultural industry. This tendency is apparent, too, in the treatment of a company's administrative records. While the model does include records generated by all of the functions of administering a company, it is inadequate in its consideration of financial records. It includes only summary data records, but does not include those records that are of greatest use to the company in the internal management of its financial affairs and the reporting of its financial activities to others. Substantially better than Carre's model in its consideration of the functions, activities, and records of publishing, its failure to provide comprehensive evidence of the business of publishing renders it only partially viable as a model for the appraisal of publishing records.
Models offer the potential for establishing the standards sought by archivists to assist them in the difficult task of appraisal for selection. Schedules derived from the study of particular companies present practical guidelines for determining which records of a like business should be permanently preserved. The comparison of Carre's and Coles' models to the reality of Douglas & McIntyre found that neither model represents a viable appraisal standard. Records listed in each model correspond to those found in the company's offices, although not necessarily grouped in the same way; and both models comprise a core of material that provides evidence of the functions and activities of publishing books. However, neither model identifies a representative body of evidence of the full range of operations of a publishing business.
Which records, then, should be preserved to provide an adequate representation of the full range of activities of a publishing company like Douglas & McIntyre? This can perhaps best be decided by identifying the records that are created or received in the performance of the functions described by the company itself as comprising its operations: evaluating and editing books; organizing book production; marketing; warehousing, distributing and processing orders; and managing the company. A “model” of which Douglas & McIntyre records should be preserved as evidence of these functions can then be illustrated as follows:

**EVALUATING AND EDITING BOOKS**
- Author correspondence
- Agent correspondence
- Legal issues of specific projects
- Co-publication projects and agreements
- Proposals
- Sample manuscripts
- Reader's reports
- Manuscript register
- Manuscript rejections
- Original manuscripts
- Original edited manuscripts
- Edited drafts
- Style sheets
- Galleys, proofs with significant content changes
- Editor's files

**ORGANIZING BOOK PRODUCTION:**
- Textual records:
  - Freelancer correspondence
  - Printer correspondence
  - Printer quotes, invoices
  - Designer invoices
- Graphics:
  - Photographs, illustrations, maps, cover art

Designing and Printing
MARKETING

- Plans
- Meeting minutes
- Sales forecasts and reports
- Sales representative, agency, consultant files
- Commission reports
- Fair, trade, sales conference files
- Author biographies and correspondence
- Tour records
- Advertisements
- Price lists
- Reviews
- Awards
- Bookseller correspondence
- Catalogue production files
- Catalogues

WAREHOUSING, DISTRIBUTING AND PROCESSING ORDERS

- In-house sales records
- Inventories
- Correspondence

MANAGING THE COMPANY

Administrative records:
- Memorandum of agreement
- Certificate of amalgamation
- General correspondence
- Board of Director meeting minutes
- Annual meeting minutes
- Shareholder files
- Correspondence with funding agents and institutions
- Completed grant applications
- Legal agreements and correspondence
- Contracts
- Advance records
- Royalty records
- Rights
- Permissions

Building and premises records:
- Leases
- Insurance policies and correspondence
- Renovation plans

Financial records:
- Journals
- Ledgers
- Balance sheet
- Income statement
- Financial statement
- Bank reports and correspondence
- Sales records

Personnel records:
- Staff kit / manual
- Job descriptions
Included in this are the Western Producer Prairie Books records that have been incorporated into Douglas & McIntyre’s records. Most acquired records are either completely integrated by a company into its active files, or kept as received without change. The company has treated the Western Producer records both ways. Contracts and other needed documents have been integrated as the basis for the launching of the Greystone imprint, and will be preserved as part of the records of the company's functions. However, the bulk of the material remains as received, unchanged and not consulted for reference purposes. Although the records do provide evidence of an acquisition that has contributed to the development of Douglas & McIntyre, their chief value is the evidence they provide of the publishing functions of Western Producer Prairie Books. As such, they have been regarded as an inherited group of records, and will be deposited as such with Simon Fraser.

Any “model” of Douglas & McIntyre’s records should also include the records generated by the staff in their extra-company activities, and the records of the Educational company and division. While not a function of the company, involvement in professional associations and other organizations reflects the place of the company within the publishing industry and the national community. The personal correspondence, activity files, and diaries created during their outside
activities provide evidence of the context in which the company has conducted its publishing operations. Constituting an administrative sub-group rather than a functional series, the Educational records provide evidence of many of this publishing unit's activities. Although not a comprehensive body of material, the educational records remaining with Douglas & McIntyre will, in all probability, comprise the only evidence that will be preserved of this aspect of the company's publishing program.¹

However, the records identified in the illustrated "model," the records of staff activities, and the Educational records can only be considered as a representative body of evidence of Douglas & McIntyre’s Vancouver-based publishing operations. Records generated by the marketing and Children’s Division publishing activities performed in the Toronto office were not accessible and have not been included. While it may be assumed that many of these records would be of the same type as those created and received by the Vancouver office in the execution of the evaluating and editing books, organizing book production, and marketing functions, no definitive "model" of records that provide evidence of the full range of Douglas & McIntyre’s operations can be formulated until these

¹Nelson Canada, which purchased the Educational Division, does not retain the majority of its records. See page 18, note 1.
records can also be examined.

Even if a perfect model of the records of a publishing company could be developed, it remains a question how to ensure that the records it identified would be permanently preserved. Both Carre's and Coles' models concentrated on the preservation of records generated by the selecting, editing, designing, printing and marketing of books. This reflects an assumption held by the general archival community that records created and received by a company in the accomplishment of its particular programs are of greater value than other records it creates and uses. Indeed, in his survey of corporate collections held by Canadian repositories, Mitchell found a similar tendency to concentrate on preserving records of the operational aspects of business. Hedlin's discussion of business archives included the assertion that records that "reflect routine functions" are less valuable; and Arthur Johnson's guidelines to business records preservation emphasized focusing on records that provide evidence of a company's distinctiveness because the "basic documents relating to the development and administration of a firm can be identified easily." This assumes that records generated by the managing of a company, presumably the "routine functions" referred to by Hedlin, are so easily recognized that they do not merit any special consideration to ensure their preservation. Yet Mitchell found that the archival records of most business
collections were incomplete and that important administrative and financial records were not included in even "supposedly comprehensive" collections. Meissner's effort to establish practical guidelines for the preservation of financial records was prompted by the professional literature's lack of attention to the evaluation and preservation of these business documents.²

Both Carre's and Coles' models also exhibited an obvious tendency towards the preservation of records for secondary use. This reflects an outlook of ultimate purpose that can be found in numerous discussions of appraisal that have appeared in the professional literature. Robert Lovett, for example, in considering the appraisal of business records, referred to the many types of material that would be useful for the writing of company histories and concluded that "It is not possible to anticipate every use of the records, yet the broad interests of the users should be kept in mind by those making the selection." Addressing the collecting of business records, Jack King wrote that "From the standpoint of the scholar, you should seek every existing record of every kind of business. . . ."; and Blouin's call for studies to document the role of business in society contained a concern for ensuring

"appraisal decisions mindful of history in the long run, rather than legal and administrative concerns in the short run."

The responsibility for the preservation of records providing evidence of the full range of a company's functions and activities rests with both the business that creates records and the institution it entrusts with the deposit of its inactive records. Concern about the inadequate preservation of publishing records prompted the production of Coles' booklet urging publishers to establish records management programs to ensure the identification and retention of records with continuing value. Although it has retained most of the records created or received throughout the course of its operations, Douglas & McIntyre has never developed such a program or the scheduling that sets suitable retention periods. Nonetheless, it has adopted the standard of seven years as a general guide to retention, and has accepted the suggestion for a full review by the President of all records before transfer to ensure that these are no longer needed in any capacity for the conduct of the active business. Such a review will especially consider administrative records and, in consultation with the Managing Editor, production materials which have

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long-term usefulness to the company. The division of its records between two distant locations, however, raises other considerations. To ensure that it deposits with Simon Fraser a representative body of evidence of all its functions, the marketing records created in Toronto must be transferred to Vancouver, and the records of its own Children's Division will have to be separated from those of the independent Groundwood Books. The company has yet to address the resolution of either of these additional concerns.

The goal of appraisal for selection is the distillation of an entire collection into a core of material providing comprehensible evidence of the full range of functions and activities of a creator. To accomplish this task, acquiring institutions must abandon prevailing assumptions and endeavour to preserve records created and received in the performance of both the routine and operational functions of a business by including administrative records. Returning to Eastwood's reconsideration of the basis for appraisal, "use by someone for some purpose" is what is ultimately taken into account in evaluating records for permanent preservation. Not just use by researchers, but also use by a creator to accomplish some purpose. Institutions accepting company records must then incorporate not only those records of potential value to future generations, but also those that were of use to the business that created them. These clearly must include the financial
records generated in the accomplishment of a company's internal management and external reporting purposes.

Although the models considered in this thesis have been found not to be viable for the appraisal of publishing records, the appearance of such studies is an encouraging indication of a reversal of the archival community's general lack of interest in business records. The small, incomplete collections and insufficient discussions in the professional literature reported by Mitchell and Meissner, have hardly provided adequate experience with the documents created and used by the business sector. As more models are formulated, discussed and compared to the reality of company records, archivists can begin to develop the base of knowledge that will enable them to make informed selections of business records for permanent preservation.
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Appendix
Institutional Holdings of Publishers' Records

Active Companies:

Barbarian Press
Brick Books
Cormorant Books (in Gary Geddes Papers)
Coteau Books
ECW Press
Goose Lane Editions (partial)
Harbour Publishing
Harry Cuff Publishers
House of Anansi Press (partial)
Macmillan Canada
McClelland & Stewart
McGill-Queen's University Press
NeWest Publishers
Oolichan Books (Ron Smith Papers & Oolichan Books Archive)
Playwrights Canada Press (partial)
Porcupine's Quill (partial)
Pottersfield Press
Quarry Press
Talon Books
Thistletown Press
Turnstone Press
University of Toronto Press
University of Calgary Press
University of Manitoba Press
University of British Columbia
University of Western Ontario
National Library of Canada
University of Regina
University of Calgary
University of New Brunswick
University of British Columbia
Memorial University
National Library of Canada
McMaster University
McMaster University
McGill University
University of Manitoba
National Library of Canada
University of Guelph
University of Guelph
Dalhousie University
McGill University
Simon Fraser University
University of Manitoba
University of Manitoba
University of Toronto
University of Calgary
University of Alberta
Defunct companies:

Clarke, Irwin & Company Limited
Cobblestone Press
Gray's Publishing
Intermedia Press
Kanchenjunga Press
Klanak Presss
Lighthouse Press
November Press
Western Producer Prairie Books

McMaster University
University of British Columbia
University of Victoria
University of British Columbia
University of British Columbia
University of British Columbia
British Columbia Archives
University of British Columbia
University of Regina