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THE COLLEGE ARCHIVE: A STUDY
IN ADMINISTRATION

DISSERTATION
Presented in Partial Fulfillment of the Requirements for
the Degree Doctor of Philosophy in the Graduate
School of the Ohio State University

By
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* * * * * *

The Ohio State University
1968

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INTRODUCTION

"Archives," judged by the growing body of literature on the subject, are today of concern to a greater number of American colleges and universities than ever before in history. At the same time, there is evidence of considerable confusion about the meaning of the word, "archives," particularly between professional archivists and laymen.

That college and university administrators are expressing concern appears to result from the rapidly increasing volumes of older institutional records accumulating on individual campuses, the sustained promotional activities of the Society of American Archivists, and the trend among colleges and universities to develop rationalized— or, bureaucratic— forms of government. The cause of confusion over terminology, however, is more obscure; indeed, semantic difficulties may camouflage more deeply-rooted problems.

The Thesis

Modern organizations, including colleges, find it necessary to establish control over records in order: (1) to accumulate funds of knowledge useful for administrative purposes; (2) to protect the privacy and safety of certain categories of records; (3) to promote efficiency and economy in the handling of records; and (4) to select and preserve a limited number of records valued for their historical
significance. The internal structure of the modern college, as it has evolved to the present, includes institutionalized arrangements for controlling "active" records, in order to achieve the first three of these goals. Procedures for selecting and preserving historical documents originating within the college, however, have not been institutionalized.

The thesis of this dissertation is that the administrative structure of the modern college should be modified to provide for the systematic disposition of its non-current records, and the most promising means to this end are offered by archival technology.

This proposition is not original, nor is it subject to incontrovertible proof. The American archival profession struggles for recognition and support on the claim that archival technology provides both the rationale and the expertise necessary to systematize the disposition of non-current records. College administrators, for their part, appear increasingly receptive to the notion that old records ought to be brought under control, but many of their responses indicate the rejection, or misunderstanding, of professional archival claims. The situation generates a polemic literature in which archivists talk among themselves, but little communication occurs between archivists and college administrators. The proposition is important enough to be examined at length and from a new perspective.
The Purpose and Organization of the Study

The purpose of the study is to answer three questions: (1) What is the nature of archival technology? (2) How does the modern college dispose of its non-current records? And (3) in what specific ways is archival technology relevant to records disposition problems in the modern college?

The thesis is supported by two separate studies, approximately equal in length but considerably different in scope and methodology. The first is abstract and attempts to generalize the doctrine underlying professional archival practice; the generality of the abstract treatment is limited only so far as is necessary to incorporate environmental aspects peculiar to the college as a social institution. The second is concrete, descriptive, and limited to the investigation of a single institution.

Part I (Chapters 1-7) attempts to clarify the nature of archival technology by developing a model for a functional archival system, based upon the opinions of recognized archival authorities. Factors that inhibit the institutionalization of records disposition practices within colleges are considered; the professional concepts of archival practice are defined; and, the role of the parent organization in establishing and maintaining an archival system is examined.

Part II is a case study of a typical small, independent, privately supported undergraduate college. Policies and practices relating to the disposition of non-current records are identified and described, by analyzing the structure of the college and by observing
the activities in a sampling of offices (Chapters 8-10). The status quo is summarized in light of a series of new problems associated with the recent acquisition of a large collection of scholarly research material (Chapter 11).

Summaries of these studies, and conclusions in support of the thesis, are presented in Chapter 12.

**Origin of the Study**

The study was formulated in response to a specific problem situation in which the general administrative officers of a college, the members of the library staff, and a few faculty members found themselves debating controls for certain records, including the "college archives." The discussion centered around a job description for a "special collections" librarian. The college had accepted recently the gift of a valuable collection of personal papers, too large to assign to the "college archives," which is a section of the library, without augmenting the size of the staff. A proposal had been made, therefore, to employ a "special collections" librarian.

Collaborative efforts to describe the desired position, however, disclosed confusion concerning the purposes to be served by such a position, the relative importance of different purposes, and the means necessary to accomplish various purposes. Uncertainty as to the nature of the problem was increased by semantic difficulties. The terms, "archives," "special library materials," "old records," and "historical documents," were used frequently, and often interchangeably.
The lack of a common terminology frustrated attempts to state the issues in a form amenable to their resolution.

The issues in the local situation have not been resolved, nor does this study attempt to resolve them. This investigator was encouraged to explore the issues independently and to formulate his own opinions. The perspective that developed was shaped in part by the following considerations.

First, caring for the large gift collection was assumed to be an "archival" matter, and this investigator - an experienced professional librarian - was delegated by the Dean of the Faculty, upon the recommendation of an historian and with the approval of the Director of the Library, to attend a conference on university archives, to further local knowledge of archival practices.¹

Secondly, experience gained in the company of professional archivists led to the conviction that archival technology is fundamentally different from library technology.

Thirdly, a search through the literature failed to yield any relatively concise guidelines by which the general college administrator might evaluate the relevance of archival technology to the records-control requirements of his own institution.

And, finally, the review of the archival literature indicated that the local situation is not unique, nor are the issues involved

¹For a report of the conference, see Rolland E. Stevens (ed.), University Archives: Papers Presented at an Institute Conducted by the University of Illinois Graduate School of Library Science, Nov. 1-4, 1964, (Champaign, Illinois: Distributed by the Illini Union Bookstore, 1965.)
purely technical. The problem, in the narrowest sense, is one of determining what is, and what is not, an archive; in the broadest sense, it is one of incorporating specialized administrative competence into the general administrative structure of the college.

**Basic Assumptions**

The following assumptions, drawn from a systematic review of the literature pertaining to American higher education and to archival theory and practice, serve as a point of departure:

1. All organizations in our society, during the normal course of operations, inevitably create, receive, and accumulate a variety of records.

2. Concomitant with the accumulation of records, each organization develops modes for controlling them, either by formal decision or by informal adjustment of the existing administrative structure.

3. The values attributed to any given record or group of records may be multiple and variable.

4. No organization retains indefinitely all of the records that it accumulates; therefore, someone makes judgments concerning the worth of older records on behalf of the organization.

5. The American archival profession developed in response to the inevitable accumulation and disposition of records.

6. There is a system design implicit in American archival doctrine.

7. A functional archival system is essentially a complex
pattern of behavior for bringing considered judgment to bear upon the disposition of non-current, organized records.

8. The college chosen for study is typical of a relatively large, though undetermined, number of institutions that constitute a distinct class of organizations.

Scope and Methodology

The two studies undertaken to support the thesis differ in scope and methodology. The first probes the bounds of archival technology to delineate the features that establish its uniqueness and its integrity. The second study examines records retention patterns in a typical small college.

Study I: Criteria for a Functional Archival System

An archive, for purposes of this study, is regarded simply as the tangible end product of a particular kind of system operating in a particular fashion with relation to its immediate environment. This system will be called a functional archival system, and its essential elements and relationships are derived from the opinions of authoritative spokesmen for the American archival profession. A model of a functional archival system is drawn by:

1. Presenting a scheme for classifying the elements in a technical system, developed originally by military research workers, for designing weapon systems;

2. Adapting the weapon systems scheme into a generalized scheme for classifying the elements in a functional archival system,
by utilizing the order of priorities developed through practical experience by government archivists;

3. Evaluating, briefly, the literature of American archival theory and practice, from the point of view of the non-specialist, to identify those works that most authoritatively present the tenets of archival doctrine in the briefest compass;

4. Analyzing this literature within the conceptual framework provided by the classification scheme for archival system elements;

5. Organizing the essential elements and relationships necessary to a functional archival system in summary form (a model.)

The model, then, outlines a functional archival system in the narrowest technical sense; it provides a set of authoritative guidelines for determining, in any given situation, whether or not a functional archival system can be said to exist. The guidelines concern: (1) system goals; (2) the interdependent parts of the system; (3) the steady state between system and environment; (4) standard modes of operation for achieving an acceptable steady state between system and environment; (5) the steady state among the parts of the system; (6) standard modes of operation for achieving an acceptable steady state among the parts of the system; and (7) feedback from the environment.

The model has its limitations. At best, it is imprecise, particularly with respect to the internal workings of an archival system. At the worst, it is a conceptual framework of sufficient strength to sustain a dialogue between the specialist and the non-
specialist. The model will be used in the second study as a standard for evaluating the records-control policies and practice in a typical small college.

Study II: Records Retention in a Typical College

It will be argued that Antioch College, the institution chosen for study, is typical of a class of organizations and that whatever valid conclusions can be drawn concerning the relevance of archival technology to its records-control requirements may apply, generally, to the class it represents. Material to support this view is presented in Chapter VIII.

Preliminary examination disclosed that (1) many offices of the College retain some quantities of records no longer pertinent to their current activities, (2) two or three offices are responsible for retaining old records originally created or accumulated elsewhere in the organization, and (3) the College has no comprehensive written policy governing the control of records. Those offices acknowledged to be responsible for retaining older official records on behalf of the College as a whole will be called "records retention agencies." The term is not intended to include offices that compile records of general utility on a continuing basis, i.e., the Registrar's Office, or the Master File.

Retention is the terminal aspect of the records-control process, therefore, the strategy for analyzing and describing how records-control is perceived and managed in the College focused, first, upon the records retention agencies. The nature and the scope
of their functions were not obvious, nor were their relationships to other offices readily apparent. Information was gathered by direct observation, reference to pertinent publications and documents, and interviews. The following questions were posed:

1. Which agencies of the College are responsible for retaining non-current official records originally created or accumulated elsewhere in the organization?

2. How did each records retention agency originate?

3. What are the present composition and structure of each records retention agency?

4. What functions do they currently serve?

Secondly, the interplay between the records retention agencies and other offices was surveyed to determine what relationships exist and how these relationships are perceived from various perspectives.

The survey followed this general pattern:

1. A table of organization was prepared to clarify the general distribution of administrative responsibility and authority.

2. Offices were selected to include: (a) those in the top echelon of the administrative structure; (b) those clearly identifiable as records retention agencies; and (c) those representative of the subordinate offices of the College.

3. A list was compiled of persons who, because of long association with the College or experience in positions of administrative responsibility, might possess relevant information; the list included persons from each of the above categories of offices.
4. A ten-point questionnaire (Appendix A) was prepared for use, as appropriate, in structuring interviews with office personnel.

5. Each interview was held in the office of the person being interviewed. The files, generally, were examined by the person being interviewed in response to the questions of the interviewer; the investigator, however, was able to explore the Antiochiana Collection and the Central File at his own convenience and without assistance.

6. The interviewer's notes were reviewed and validated, in each instance, by the person interviewed.

Minor revisions in the survey schedule were made as work progressed, because not everyone selected for interview was available and some information was supplied by unexpected sources.

Data gathered in this second study are organized and evaluated within the conceptual framework of the system model developed in the first study.

Importance of the Study

The importance of this dual study is predicated upon three points: (1) the ubiquity of records-control problems, including those directly related to non-current materials; (2) the probability that these problems will become of greater concern to colleges as the overall structure of higher education becomes increasingly complex; and (3) the present lack of guidelines to assist the general collegiate administrator in making responsible judgments where the control of older official records is at issue.
In general, matters of administration and organization will command closer attention as the modern college and its supporting environment become more complex. Administration includes the development of policy, on the one hand, and the ways and devices by which policies are moved to a point of realization, on the other. Organization is the vehicle for administration; its purpose, "for a collegiate institution as well as for a private profit corporation, is to assure efficiency and economy of operation."²

It has been said that a sense of economy gives vigor and precision to any art. This statement becomes axiomatic in the art of administration. Without a sense of economy, decisions become sloppy and an organization loses tone and style. Habit and sentiment take the place of responsible judgment of alternatives. The balance of return against investment of resources becomes lost in a fog of easy opportunism and wishful thinking.

... In the administration of a soap factory, the absence of a sense of economy soon results in bankruptcy. Profits and losses are obvious to any investor. In the administration of a college or university, the absence of a sense of economy can be camouflaged for years by low salaries, poor instruction, and wasted effort. Because some good is done, there is, perhaps, a mild sense of satisfaction, but there is no appreciation of the neglected obligation to do far more or far better things with the resources available.³

Clearly, the administration of non-current records is a matter of secondary importance, engaging the attention of the general administrator only at infrequent intervals and then, certainly, at the


level of policy, rather than implementation. If responsible judgments are to be made in this area, the general administrator must have some knowledge of the alternatives open to him; he requires understanding of the skills and resources necessary to implement policy decisions; and, having made a choice, he requires indicators whereby he may evaluate achievement. At present, guidelines of this nature for archival technology are not readily available.

This attempt by a non-specialist to provide guidelines - to state what reasonably may be expected of an archival system, and hence, of an archivist - may be viewed by professional archivists as a presumptuous undertaking. Similar attempts, however, are made whenever an organization is moved to seek professional advice or service. The general administrator is under no compulsion to define his records-control problems in archival terms; indeed, he can do so only if he has formulated some prior conceptions of the capabilities of the profession and its relevance to his own problems. This study is intended to be a contribution to the objective evaluation of archival technology as one possible alternative for administering college records.
PART I. CRITERIA FOR A FUNCTIONAL ARCHIVAL SYSTEM

... Administration is peculiarly concerned with wholes - and the bringing together of parts into effective wholes.¹

... We have been accustomed to think of things as existing apart from what they do - as a motor car remains a motor car, whether in the garage or on the road. It seems that this is a bad habit. An atom can only be described in terms of activity; and this is equally true of an organism or an organization. Asking about any such thing, "What is it?" we must divide the question into two to get a useful answer. We must ask, "How does it hold together?" and "How does it interact with its environment?"²


CHAPTER I

A SYSTEMS APPROACH TO ARCHIVES

The Problem of Terminology

What is an "archive?" The term, in common speech, ambiguously refers to "a place in which public records or historical documents are preserved," on the one hand, and to "the public records, documents, etc., kept in such a place," on the other.1 Perhaps for some purposes this definition is sufficient; but, for the general administrator considering the establishment of an archive, or evaluating the archival effectiveness of existing records handling practices, it is operationally useless. Furthermore, definitions provided by professional archivists are of equally slight utility. "Archivists of various countries . . . have defined the term 'archives' differently. Each of them has defined it in such a way that it is applicable to the materials with which he deals."2 American archivists, while lagging more than half a century behind their European counterparts, have reached substantial agreement among themselves upon a meaning applic-

1Webster's New World Dictionary of the American Language. (College ed.; Cleveland: World Publishing Co., 1960.)


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able to indigenous problems; but this meaning, and its implications, are not readily apparent to the uninitiated, as can be demonstrated.

According to Lester K. Born, Head of the Manuscripts Section of the Descriptive Cataloging Division of the Library of Congress, an archive is

... the organized body of records produced or received by a public, semipublic, institutional, business or private entity in the transaction of its affairs and preserved by it, its successors or authorized repository through extension of its original meaning as the repository of such materials. . . .

Schellenberg, in one text, defined an archive as

... those records of any public or private institution which are adjudged worthy of permanent preservation for reference and research purposes and which have been deposited or have, been selected for deposit in an archival institution. . . .

And, Ernst Posner more recently defined the term as

... Records of a government agency or other organization or institution having enduring values because of the information they contain. The term is also applied to the records of families and individuals, especially if consciously organized for preservation.5

Despite minor variations, these definitions appear to agree upon the essential elements of archives: they are the organized records of an organization (broadly conceived) that have been preserved because they possess some value other than that for which they

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4 Schellenberg, op. cit., p. 16.

were originally created. But for practical purposes, considerable elaboration is required. For example, what is, and what is not, a record? Which records do, and which do not, belong to an organization? What time limits are implied by "preservation?" What values inhere in records? And, who assigns values to records? Questions of this kind suggest, rather than exhaust, the range of amplification necessary if "non-professionals" - the laymen - are to understand what professional archivists are talking about.

Furthermore, apparent agreement among professionals tends to obscure real differences of opinion among them upon details. The key word "records" is a case in point. It is instructive to note that both Schellenberg and Posner in defining "records" formally acknowledge their indebtedness to a single source - the Record Disposal Act of the United States Government, July 7, 1943, as amended; this reads:

... the word "records" includes all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word "records"...

---

As remodelled by Schellenberg, this definition reads:

All books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any government agency or private institution or organization in pursuance of its legal obligations or in connection with the transaction of its business and preserved or appropriate for preservation by that agency, institution, or organization, or its legitimate successor as evidence of its functions, policies, decisions, procedures, operations, or other activities or because of the informational value of the data contained therein.7

And Posner modified the official definition of the United States Government to read:

. . . The papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any government agency or private institution or organization in pursuance of its legal obligations or in connection with the transaction of its business and preserved or appropriate for preservation by that agency, institution, or organization, or its legitimate successor as evidence of its organization, functions, policies, decisions, procedures, operations, or other activities or because of the informational value of the data contained therein.8

"Records," as defined in the Record Disposal Act of 1943, is more precise than the term, "archives;" limits have been placed upon what legitimately may be included, and some general criteria for judging values are specified. The modifications effected by Schellenberg and Posner, however, do not alter the substance of the term as given in the United States Code; they simply extend its meaning to embrace similar materials created, received, and accumulated by other social entities.

Clearly, any definition legislated by one sovereign body has no binding effect upon other autonomous organizations. When the legisla-

7Schellenberg, op. cit., p. 16.

8Posner, op. cit., p. 370.
ted meaning is extended beyond the purview of the legislating agency, it remains the prescription of the particular set of values judged acceptable by the agency that spelled out its meaning. Definitions so formulated are not descriptions of objective phenomena; and, they may, or may not, be acceptable to other independent agencies. As a consequence, persons who equally claim status as professional archivists - as evidenced by what they do - may disagree among themselves as to what is, and what is not, a record.

An Operational Approach

Clearly, concise definitions of "archives" and "records" have only limited practical value to the general administrator. His need is for guidelines sufficiently abstract to apply to a number of organizations, including his own, yet specific enough in detail to distinguish "archives" from other bodies of documents. Such guidelines can be established, if attention is directed to the operations by which archives are formed. The number and nature of these operations have been identified by Posner in his definition of an archival agency:

... an agency charged with identifying, appraising, assembling, preserving, arranging, describing, and providing reference service on archives and with authorizing the destruction of records of transitory value.9

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9Posner, op. cit., p. 368.
Each operation in this series has been fully delineated in the literature, but the complete set seldom has been treated as a whole. Ideally, a coherent, functional set of relationships exists among these operations; and, collectively, they may be described as a system, or part of a system. An "archive," then, may be regarded as an end product of such a system.

Recognized archival authorities have reached substantial consensus upon what an archival system should accomplish, how it should be held together, and how it should interact with its immediate environment - the parent organization which it serves. Given this level of professional consensus, and a suitable conceptual framework, it is possible to outline the technical dimensions of a functional archival system and to indicate the necessary relationships between the system and its environment. What is believed to be a suitable conceptual framework for this purpose is developed in the sections immediately following.

The General Elements of a Technical System

The word, system, is used by different persons to communicate different ideas. At a minimum, it implies connectivity of parts into some kind of whole.

... Anything that consists of parts connected together will be called a system. For instance, a game of snookers is a system, whereas a single snooker ball is not. A car, a pair of scissors, an economy, a language, an ear, and a quadratic equation: all these things are systems. They can be pointed out as aggregates of bits and pieces; but they begin to be understood only when
the connections between the bits and pieces, the dynamic interactions of the whole organism, are made the object of study.\textsuperscript{10}

In this study, a system is defined as

\ldots a bounded collection of interdependent parts, devoted to the accomplishment of some goal or goals, with the parts maintained in a steady state in relation to each other and the environment by means of (1) standard modes of operation, and (2) feedback from the environment about the consequences of system actions.\textsuperscript{11}

Since those technical operations typical of professional archival activity have been identified as the dominant elements for consideration, the system may be designated a technical system. The phrase, "technical system," implies control; and "the idea of control consists essentially of the notion that the results of a given action must be consistent with some given set of values."\textsuperscript{12} The description of an archival system, then, must include explicit recognition of the values that direct and give meaning to the techniques underlying archival operations.

In some sectors of modern society, the creation of technical systems has become an urgent, but commonplace, activity. The mili-


tary, for example, engages continuously in the design and development of large-scale technical systems of bewildering complexity. This involves coordinating the efforts of planners, contractors, subcontractors, and suppliers handling separate phases and segments of each project, usually under the pressure of stringent time schedules.

In recent years the military services have been faced with order of magnitude increases in the severity of the operational requirements imposed by their missions and in the complexity of the equipment and operations needed to meet these requirements. . . . Neither the time nor the funds have been available to achieve operational adequacy or to correct errors of omission by "cut and try" methods. The need for an approach that considers as an integrated whole the men, mechanisms, facilities, and operations that enter into the performance of a mission has been recognized. This approach to development, production, and operation is identified as the systems approach, and the integrated entities with which it is concerned are identified as weapon systems.13

In response to the need for visualizing the full dimensions of technical systems so that the required components may be fashioned and articulated, Shapero and Bates designed a model for analyzing, synthesizing, evaluating, planning, and controlling weapon systems. This model is referred to as the System Analysis and Integration Model, or, SAIM, for short.14

SAIM "is a descriptive model that classifies the elements of a system into those determining the nature of the system, those compris-


14 Ibid., p. 2.
ing the parts of the system, and those integrating the parts of the system.\textsuperscript{15} It was devised as a tool for analyzing complex problems of system design initiated by orders or contracts from agencies of the United States Government to contractors and suppliers. The approach to analysis and synthesis, therefore, begins with a general statement of purpose from which all other aspects of the system must be derived. The value orientation, that is, is given. From this perspective, SAIM is built upon the following propositions:

Every system is a subsystem of some larger system and is itself made up of a hierarchy of subsystems, sub-subsystems, sub-sub-subsystems, etc., etc., each of which is a system in its own right. . . .

. . . Any system and any of its subsystems have the same kinds of conceptual elements . . .

. . . The scheme for classifying these elements is applicable to any system on any level.\textsuperscript{16}

The SAIM classification scheme (see Appendix B) is divided into three general categories: system determinants, system components, and system integrators. Definitions of these terms, and their principal supporting terms, are given below.

General system determinants

All elements "outside" the operating system proper that act to determine the nature, the form, and the limits of the operating system are considered system determinants. Included among these

\textsuperscript{15} Ibid., p. 5.
\textsuperscript{16} Ibid., p. 6.
elements are the system's mission, its performance requirements, the
inputs, and the constraints bearing upon the system.\textsuperscript{17}

The mission.--The system mission is a statement specifying in
general terms what is expected of the system. As defined by Shapero
and Bates, "mission denotes the general purpose of the system as a
whole. At the subsystem or component level within the system, the
term \textit{function} is used to denote the subsystem mission."\textsuperscript{18}

Performance requirements.--Performance requirements are
statements that detail the system's mission into sets of goals,
objectives, and standards. These are categorized as (1) operational,
and (2) support.

... Operational requirements are defined as those applicable
to operations and equipment directly concerned with active
performance of the mission. ... Support requirements are
considered to be those applicable to events and equipment
concerned with preparing and maintaining the operating capability
of the system elements that actively perform the mission.\textsuperscript{19}

Inputs.--Inputs are "the signals, mechanical displacements,
or other forms of energy that enter or are imposed upon the system
from outside its defined boundaries."\textsuperscript{20}

Constraints.--Constraints are the limits "imposed upon the
system by the state of the art, by nature, and by the agencies that
have cognizance over the system. The constraints imposed by nature or

\textsuperscript{17}\textit{Ibid.}, p. 8.
\textsuperscript{18}\textit{Ibid.}, p. 9.
\textsuperscript{19}\textit{Ibid.}, p. 10.
\textsuperscript{20}\textit{Ibid.}, p. 12.
society relate to the . . . environment and/or human and material resources. The constraints imposed by the cognizant agencies include those that relate to funds and time.  

General system components

System components are those elements comprising the system's "moving parts." These include the subsystems, which are made up of the mechanisms, men, and facilities, that are internal and integral to the system proper. Theoretically, the number of levels into which any given technical system can be divided is unlimited, each level being describable in terms of its determinants, components, and integrators. In practice, however, analysis need not - or, perhaps, cannot - be carried out indefinitely. At some point, a level is reached at which the components must be accepted as given; this point appears to be determined by the stringency of the technical requirements placed upon the system.

General system integrators

System integrators are those elements that act to tie the "moving parts" of the system into a coordinated whole. These include: operational sequences, communications, organization, and the decision structure. 

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21 Ibid., p. 12.
22 Ibid., p. 8.
23 Ibid., p. 8.
Establishing Guidelines for an Archival System

For the purpose of this study, the SAIM classification scheme has been drastically simplified and rearranged to accommodate the special technical requirements and priorities of an archival system. (See Figure 1, following.)

The task of establishing a concise set of authoritative guidelines entails the analysis of each major system category - the determinants, the components, and the integrators - and the synthesis of the disparate findings into a coherent pattern. The outline given in Figure 1 serves to maintain an overall perspective upon the system during this analysis and synthesis.

Archival system determinants

The determinants of an archival system have been divided into two general categories: (A) the external constraints imposed by nature and by the agencies that have cognizance over the system; and (B) the technical constraints imposed upon the system by professional knowledge and judgment. The latter category is treated generally, in Chapter IV, as applicable to all archival systems. Treatment of the first category, however, is restricted by the special purpose of the study, a point that will be elaborated after other elements subject to general treatment have been noted.
A functional archival system consists of:

I. System determinants
   A. External constraints
      1. Environment
      2. Resources
      3. Schedules
      4. Costs
   B. Technical constraints
      1. Inputs
         (a) Materials
      2. Mission
         (a) Operational requirements
      3. Performance requirements
      4. Schedules

II. System components
   A. Providing reference service
   B. Controlling the disposition of official records
   C. Preserving the archive
   D. Preparing the archive for service
   E. Other

III. System integrators
   A. Operational sequences
      1. Operation delineation
      2. Duration
   B. Communications
   C. Organizational structure (authority)
   D. Decision structure

Fig. 1.—A Classification of Archival System Elements
Archival system components

For the sake of simplicity, the components of an archival system are treated as operations. Each operation - identifying, appraising, assembling, destroying, preserving, arranging, describing, and providing reference service upon records - is described in detail, but, no effort is made to delineate the kinds of subsystems necessary to carry them out. The description of these characteristic archival operations is the substance of Chapter V.

Archival system integrators

Archival system operations are integrated into a functional whole by operational sequences, communications, organization, and the decision structure. An analysis of these system integrators, as reflected in authoritative archival literature, is presented in Chapter VI.

The Guidelines

The technical constraints, the components, and the integrators characteristic of archival systems, identified and described in Chapters IV through VI, are synthesized into a descriptive model in Chapter VII. This model identifies the essential elements and relationships necessary to an archival system; any arrangement short of this minimum is not, in a technical sense, a functional archival system.
Two additional matters, however, must be introduced prior to the development of the model; these are (1) the restricted treatment given to the external constraints bearing upon archival systems, and (2) the identification of authorities who are judged most representative of current archival thinking. Accordingly, Chapter II, is an analysis of the administrative structure of the modern college, viewed as the environment for an archival system. Conjointly, consideration is given to the availability of professional archival knowledge and skills as resources for the college administrator in dealing with records handling problems. Professional knowledge and skills, of course, are available to all administrators on much the same terms, regardless of the kinds of organizations they represent; the interaction between the American archival profession and collegiate institutions, however, has a unique history which, for convenience, is treated in conjunction with the discussion of the nature of the modern college. In addition, Chapter III identifies those persons who, in their written works, authoritatively represent the American archival profession, and whose opinions give substance to the model.
CHAPTER II

EXTERNAL CONSTRAINTS UPON COLLEGIATE ARCHIVAL SYSTEMS

The accumulating and winnowing of older institutional records is a seemingly inevitable process for all colleges, yet it has not been standardized in the manner that library, financial accounting, student registration, and similar services have been systematized and brought to rather high levels of uniformity. A definitive explanation of why this is so is beyond the scope of the present study, but a partial answer may be found in the analysis of two major factors: (1) the administrative structure of the modern college as the environment for controlling non-current institutional records, and (2) the resources in special knowledge and skills that are available.

The Environment: the Administrative Structure of the College

The modern college is a formal organization, or, "ensemble of individuals who perform distinct but interrelated and coordinated functions in order that one or more tasks can be completed." Its

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administrative structure is caught in the tensions created by pressures for increasing formalization, on the one hand, and the demands of specialized constituents for professional autonomy, on the other.

... It is an essential requirement of an effective formal organization which is devoted to the coordination of a variety of activities necessary for the realization of some specialized goal that the executive maintain adequate control over all those persons in the organization responsible for carrying out subsidiary activities. Whereas professions find the pattern of "colleague control" most suitable, the required pattern of authority for formal organization is "superordinate control." The former consists of control by peers, the latter of control by superiors. As a result of these different required types of authority, it is inevitable that there be a certain amount of strain where professional roles confront organizational necessities.2

Tensions of this kind are accentuated in the academic community by the lack of clearly defined goals, the intangibility of the service produced, and decentralization of the decision-making process. Coordination between subsidiary services and primary institutional goals is dependent upon consensus between general administrators and those administrators responsible for specialized activities as to which goals are most desirable and as to the most suitable means for achieving them.

The broader patterns of behavior associated with financial accounting, admissions, registration, and library services in the modern college have been shaped, in large measure, by factors beyond the immediate and direct influence of currently active participants. These behavioral patterns are social in origin and embody value

judgments widely accepted and supported within, and beyond, the limits of the individual campus. Bursars, accountants, registrars, admissions officers, and librarians today command greater technical competence based upon higher levels of generalized and systematized knowledge than was available to their amateur forerunners. Their services are essential to all institutions of higher education, hence they have been institutionalized to varying degrees. The nature of the problems encountered in these areas, and the appropriate methods for dealing with them, generally are understood by both the specialist and the non-specialist on the administrative staff.

Institutionalized patterns relating to these special services facilitate communications, cooperation, and competition among colleges; they lend internal stability to the structure of the individual institution; they promote economy and efficiency of operations; and they increase the predictability of organizational development. Equally important, they provide the general administrator with tested guidelines for making decisions relating to these services. The established patterns embody measures of understanding and consensus upon the relative requirements of professional autonomy and organizational necessities.

Procedures for controlling non-current institutional records, however, have not been institutionalized to a similar extent. The general administrator when forced to deal with problems in this area does so largely without benefit of reliable guidelines.
Old records - an internal problem

The value to a college of some older records for the purpose of documenting its past is widely recognized and accepted as a matter of course; this is particularly true of very old documents pertaining to events or personalities beyond the personal memories of present staff members. But old records of the immediate past are another matter, and their uncontrolled accumulation (or disposition) has been perceived only recently as a serious organizational problem.

It is strange in one sense that noncurrent records have not been a subject of consideration; yet, from another point of view, it is very understandable. It is peculiar because old records are always with us, even in an educational institution with only a few years of age to its credit. But why talk about them? Bundle them up and store them in some side room or basement or buy more filing equipment and ask for more office space. If the files are bulging, get one of the office staff to go through and weed them of material that such an individual may decide is of no lasting value, and let it be destroyed or at least stored in some inaccessible nook or corner. This spot has often been a vault, especially where old business records, the deeds of property, or a precious looking citation received by the president of the institution is involved. But less imposing looking items - old class lists, interoffice communications, or routine letters asking for information, particularly after a change of president or dean or some other official, simply become dust-laden bundles in out-of-the-way storerooms.\(^3\)

Institutions of higher education are not alone in belatedly attempting to define and resolve this internal difficulty. Within the Twentieth Century, the control (or, lack of control) over older institutional records has become a pervasive administrative problem in American society. In the context of the independent, privately

supported college, however, the problem has an unusually insidious quality, because responsibility for records is divided among a number of special administrators and few outside factors influence the organization's handling of the matter.

The diffusion of responsibility.—Normally, responsibility for college records is diffused throughout the administrative structure, with specific responsibility for particular groups of records centered in the work of the registrar, the business officer, the director of admissions, the librarian, and other officials. Typically, no single administrator maintains a comprehensive view over the records keeping activities of the institution. Problems relating to records are defined and resolved, generally as they arise, within the specialized context of one or another of these specific administrative areas. Problems falling between or across the established lines of responsibility - as does the uncontrolled accumulation or disposition of non-current records - may remain undefined, and, hence, unyielding to rational action; or, they may be narrowly defined and resolved for the moment, only to reappear at a later time. The mere fact that several administrators within the same organization may struggle simultaneously with the accumulation or disposition of old records is not sufficient, generally, to define the problem as a matter for general concern.

Insulation of the problem.—The action taken by a college with respect to its official records is singularly insulated from external influences. The disposal of the institution's own records is of
limited concern to influential outsiders, particularly if the college is privately supported and accountable in a comprehensive way only to its own board of trustees. Specific records may be subject to some regulation by government or accrediting agencies, but this imposes no obligation upon a college to treat records uniformly. A recent survey concerned primarily with records relating to students, shows that 29 states have "no laws governing the retention of records in collegiate institutions;" that in some states where laws do govern the disposition of collegiate records, the wording is vague; and, that the regional accrediting associations express their concern in terms that are permissive.\(^4\) Under these circumstances, a college has few "objective" guidelines; its records-control system, whatever its form, is shaped almost exclusively by values generated and sustained within the college itself.

Resources: professional knowledge and skills

The handling of non-current institutional records is not uniquely a problem of academic institutions. Business and government, in response to similar problems, developed technologies for handling records, systematically and en masse. Two forces promoted this development: the scholar's need for authentic documentation of the

past, and the administrator's need to dispose of useless papers that otherwise interfere with the conduct of current affairs. One of these technologies, archives administration, has been urged as relevant to the needs of academic institutions by the Society of American Archivists.

A number of colleges and universities, following the lead of Harvard University, made formal provisions for the care of their older official records during the 1930's and 1940's. Recognizing a growing trend, the Society of American Archivists, in February 1949, established a Committee on College and University Archives to facilitate "working relationships among college archivists. . . . The Chairman submitted to his Committee the following list of suggestions for action:

1. The establishment of standards for the proper handling and care of college and university archives.

2. Securing the appointment of competent archivists in colleges.

3. Establishing a clearing house for the peculiar problems of such archivists.

4. Developing in administrators a greater consciousness of archives as an integral part of college and university administration.

5. Discovering the nature and extent of all college and university archives now extant, as a basis for further study.

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The committee responded immediately by undertaking to gather information, but it found that "discovering the nature and extent of all college and university archives" was a little on the ambitious side. As a beginning, however, a spot survey of both little-known and well-known colleges was conducted.\(^7\) Other surveys followed.

The S.A.A. surveys

The Committee on College and University Archives, to date, has conducted three surveys to determine the extent of archival awareness among institutions of higher education in the United States and Canada. The first, in 1949, embraced approximately 200 institutions;\(^8\) the second, in 1962, was addressed to 350;\(^9\) and the last, in 1964, covered 320 institutions.\(^10\) The data from these surveys, though suggesting that "the stream of interest and concern continues to rise,"\(^11\) have been outdated by the appearance of a directory compiled by the Committee and based upon information concerning 1,236 organiza-

\(^7\)Ibid.


\(^10\)Herbert Finch, "College and University Archives: a Report of the 1964 Survey," an "unofficial" report, as yet unpublished, made "at the suggestion of . . . Chairman of the Committee on College and University Archives . . ." (Copy in my file.)

\(^11\)Ibid., p. 2.
An analysis of data from this source provides the following information:

- 568 U.S. colleges and universities reported having agencies with some, or many, of the characteristics of formal archives.
- 27 Canadian colleges and universities reported having agencies with some, or many, of the characteristics of formal archives.
- 299 U.S. colleges and universities reported having no formal archives.
- 18 Canadian colleges and universities reported having no formal archives.
- 323 U.S. colleges and universities, listed by name, did not respond to the request for information.
- 1 Canadian college or university, listed by name, did not respond to the request for information.\(^{12}\)

The questionnaires employed for these surveys were not (and, perhaps, could not be) designed to elicit rigorously comparable data; the need for brevity foreclosed the careful definition of terms,\(^{13}\) and statistical conclusions drawn from the reports, therefore, are of questionable value. A substantial amount of information about the

\(^{12}\)Society of American Archivists, College and University Archives in the United States and Canada (Ann Arbor, Michigan: 1966.)

\(^{13}\)Ibid. The tabulating was done by this investigator; any errors found are his responsibility.

\(^{14}\)The questionnaire used in the 1962 survey is reproduced in Mason, op. cit., p. 162; accompanying remarks state that it "follows the format of the 1949 questionnaire." The 1964 questionnaire, a copy of which was supplied to this investigator upon request to the Committee on College and University Archives, is similar in form. The questionnaire upon which the directory is based appears in that publication, p. viii.
relationships existing between the archival profession and collegiate institutions was provided, however, by the editors of the separate surveys in their interpretations of the comments and correspondence generated by their efforts. Considering the time span involved, the consistency of their comments is remarkable.

In 1950:

The survey reveals some strange conceptions of what a college or university archives should be. Too many of the schools reporting apparently have not yet comprehended the modern objectives of archival agencies. For this reason, their archives are usually given one or two rooms in the library with the expectation that nothing will be preserved but old programs, a few very ancient trustee and faculty minutes, and some college publications. As yet only a limited number of colleges and universities recognize all the values that should be considered in appraising records - administrative, legal, and research. Where administrators are interested in and appreciate the value of archives, the faculty or the board of trustees may be indifferent to or even hostile toward the establishment of an archival program.

There is one other negative fact of importance to note. On the basis of what qualifications do some administrators appoint archivists? Many newly-fledged archivists confessed to the Committee that they were beyond their depth and do not know where to start or where to go after they start.

A surprisingly large number of college and university presidents have written to the Committee asking where literature on archives can be secured, and requesting suggestions on the establishment of archival programs.\footnote{Wilson, "Archives in Colleges and Universities," op. cit., pp. 343-346.}

In 1962:

As was the case in the 1949 survey, the replies to the questionnaire revealed some startling misconceptions about the nature of archives. Some college officials obviously do not
recognize the inherent differences between archives and historical manuscripts... In many institutions, the development of sound archival programs has suffered because the emphasis is placed on the acquisition of historical manuscripts.

The survey indicated also that widespread confusion exists as to the scope of a modern institutional archives.

The survey revealed that librarians have often been appointed archivists of their institutions. It will not surprise any informed person that such appointments have not always resulted in sound archival programs. As a matter of fact, irreparable damage has been done by those librarians who believe that archival material can be handled and administered according to standard library procedures.

Many of the administrators failed to appreciate that there are several values to be considered when appraising records.

There is a growing concern on the part of college and university officials about the problem of preserving records of enduring value. There is, moreover, an increasing awareness of the need to establish formal archival programs.

Many university and college officials countered with their own questions about how an archives should be established and administered.

One of the questions most often asked was, "How can we obtain a trained archivist for our institution?"16

In 1961:

The stream of interest and concern continues to rise, but has not reached a flood tide which will carry administrative inertia on its crest or inundate entrenched opposition... Custody of the records was invested in a wide range of positions from the president to the public relations director. The individuals holding these positions were frequently responsible for the records by default or because they were "interested in history" or were "historians by nature" rather than because of an informed decision by the institution. The

16Mason, op. cit., pp. 161-165. (Italics in the original.)
materials preserved and the care given to them varied as widely as the individuals involved.

The survey reaffirms that the most retarding influence upon the establishment and functioning of archival programs continues to be the lack of a fundamental conception of the nature and purpose of an archives. "What shall we save?" "Who shall use it?" "How shall it be organized?" These questions extrude from the responses of new and old institutions alike. . . . Some of our concepts are not clearly defined and many are not widely practiced among ourselves.17

And, in 1966, the editors of the directory commented:

. . . In some cases it is likely that the respondents included manuscript and printed materials not pertaining to the history and operation of their institution, but to church, local, or regional collections of which they are a part. At times it has proved difficult to determine from the responses if there was an active archival establishment existing at all. The directory no doubt includes a number of entries for colleges that have only the faintest trace of an archival establishment. . . . Perhaps the one serious distortion that the directory may convey is the impression that a large number of colleges and universities have active and professionally run archives. However, those examining the directory more than superficially will readily see that there are very few professional archivists devoting full time to college archives and that for most institutions the archives are an added, incidental function of the college library.18

Professional archivists, apparently, conceive an archive to be something special; but this conception is not generally shared or understood by college administrators. Furthermore, not all persons who may be called archivists understand this specialized conception. The absence of agreement upon the meaning of so central a term as "archives" raises questions about validity of professional claims. Who, or what, is a professional archivist?

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17 Finch, op. cit., pp. 2-5 (Italics supplied.)

18 Society of American Archivists, op. cit., p. iii.
Current state of the profession

The American archival profession is what Barber terms an "emerging or marginal" profession, one "which is not so clearly high or so clearly low on both of the first two attributes of professionalism - generalized knowledge and community orientation - that its status is clearly defined by itself and others." ¹⁹

... It is typical of the structure of the occupational group that is emerging as a profession that its members are not homogeneous with respect to the amount of knowledge and community orientation they possess. In occupations like social work or library work, probably two thirds or more of the members are clearly only marginally professional. But the elite of these occupations, such as the director of a university library or the dean of a major university school of social work, are clearly professional. ²⁰

The paucity of generalized knowledge common to the membership is a matter of concern to elite members of the American archival profession. Dr. Oliver W. Holmes, Executive Director of the National Historical Publications Commission, has asserted:

There is no textbook, indeed there is no one general book in English, or even in other languages, that can be recommended as surveying the subject of archival theory and practice systematically and including good bibliographical references for further reading. Why? Because there is no universal experience.

Writings even of general character tend to be based on the experiences of the authors with collections with which they are familiar, in specific institutions, and in specific countries. These generalizations are often misleading to, or misunderstood by, archivists in other countries, and their illustrations and examples are often outside the experiences

¹⁹Barber, op. cit., p. 22.
²⁰Ibid., pp. 22-23.
even of colleagues in their own countries. When one
describes techniques and procedures relating to books, one
is concerned with identical units that colleagues can know
and handle. But archival bodies are unique, and only a
colleague who has lived with the body used as an illustra-
tion, can readily understand what is being said or done
about it. Strangers are soon lost in meaningless detail. 21

Educational programs and facilities for the preparation of
professional archivists also are severely limited. Regular courses
are offered in four widely-scattered institutions - the American
University, the University of Denver, Meridith College, and Wayne
State University. And short term intensive institutes are offered
during the summer months by a few universities. 22 A marked charac-
teristic of these programs is their lack of uniformity.

. . . There is as yet in this country no academic curriculum
leading to a degree in archives administration comparable to
a Master's degree in library science. Some courses in
archives administration and records management have been
introduced into the curricula of a few universities as part
of academic programs in history or public administration,
but these programs do not confer upon their graduates degrees
that identify them as professional archivists. Qualifica-
tion for professional service is certified by a professional
degree, and so long as there are no programs leading to the
degree of Master of Arts or Master of Science in Archives
Administration, the prospects of building up a corps of
professionally qualified archivists remain dim. 23

The profession, it appears, is caught in a vicious cycle. The
compiler of the 1962 survey concluded that institutions could be

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21 Oliver W. Holmes, "History and Theory of Archival Practice,"
in University Archives, ed. by Rolland E. Stevens (Champaign, Ill.:

22 Society of American Archivists, "Careers in Archives Admin-

encouraged "until doomsday" to seek professional advice and to adopt archival programs, but

... unless trained archivists are available to fill the positions nothing will be accomplished, or, as has happened too frequently in the past, unqualified persons will be appointed - and the damage they have done and can do makes many wonder if it isn't better to defer the initiation of a program until a trained archivist becomes available.  

The hallmark of a profession is its community orientation, its unselfish service for the welfare of others. The position of the archival profession with relation to this point is unclear.

The existence of the National Archives is a central fact in the professionalization of American archival activity. Its establishment was the goal that crystallized and directed the scattered and embryonic impulses - shared by historians, statesmen, scholars, librarians, patriotic organizations, and other groups - to assure the preservation of authentic documentation of the American past. The National Archives, as the largest and most influential agency of its kind, is the model for the professional conception of what a formal archival agency ought to be. Within its context, the principles and techniques upon which American archivists lay claim to professional recognition were developed.

In campaigning for a National Archives, the historians and their allies spoke ostensibly on behalf of the American people as a whole. The right of the general public to possess an accurate and unbiased record of governmental activity provided the historians with

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24 Mason, op. cit., pp. 164-165.
leverage to move the Congress of the United States to authorize and to fund a National Archives. The same move served the special interests of historians and other scholars. Thus, on the national level, the profession claims a dual community orientation: to the general public, on the one hand, and to scholarship, on the other. Identical claims can be made on the level of State government. But the community orientation of the profession is not so clear when it urges advice and service upon autonomous organizations of lesser stature, including colleges and universities.

From the professional point of view, the care of college and university archives is a peculiar problem.

... It is the problem of the preservation of the record of academic education and university-conducted research in a system of unparalleled decentralization and diversification...

First, given their independent status, it is apparent that the documentation pertaining to the establishment and administration of colleges and universities originates exclusively with the institutions themselves and that the story of their development cannot be told except from their own records. ... Secondly, the individual college or university is the sole arbiter of what should be done to guarantee the adequate preservation and administration of its records, there being no central authority that may force or otherwise induce academic institutions to accept certain standards in matters archival. Thirdly, the great discrepancies in size, structure, and status among the many academic institutions militate quite effectively against even the development of such standards.  

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Summary

The principal constraints upon the development of collegiate archival systems are the environment and the limited availability of technical resources. First, the pattern of organization that has evolved in the modern college does not provide, normally, for general oversight of record making and record keeping activities; responsibility is diffused throughout the administrative structure, with specialists responsible for specific groups of "active" records, but no one responsible for non-current materials. Being largely free of outside influences, so far as its own records are concerned, the individual college must devise its own standards and procedures for controlling the disposition of non-current records. Secondly, the availability of professional knowledge and skills as resources for solving records-control problems is limited by the current state of the profession. Professional practice is not yet disciplined by a fund of shared, generalized knowledge and a clearly defined community orientation.

Professional claims to specialized knowledge and skills relevant to records-control needs in colleges have aroused interest among some college administrators, but the profession has not yet specified exactly what it has to offer, nor the terms under which its offerings can be effectively utilized. It is the purpose of the present study to supply these specifications, based upon an analysis of the literature identified in the following chapter.
CHAPTER III

ARCHIVAL AUTHORITIES

In light of the inchoate nature of the American archival profession, it is proper to ask, "Who represents archival doctrine with commanding authority? Whose knowledge and judgments can be used to construct authoritative technical guidelines for a functional archival system?"

Monographs in English

In English there are six monographs on archival theory and practice that may be considered major works, in the sense that each covers a substantially broad part of the subject and has been readily enough available to influence American practice. In order of their publication, they are:


Works in other languages, although available, do not reflect practices pertinent to the problems typical of American records, and they have not had marked influence in this country. Each of the English language monographs is important in its own right; but none of them alone treats all aspects of archival theory and practice in general terms.

Jenkinson's work, published originally in 1922, influenced American archival practice, because for many years it was the "only general treatise on the subject in English." Its usefulness has declined, however, with the appearance of other, more up-to-date works that speak more directly to indigenous American problems.

The manual by Muller, published originally in Dutch in 1898, under the title, Handleiding voor het Ordenen en Beschrijven van Archieven, by direction of the Netherlands Association of Archivists, has been recognized as probably "the most important manual written on archives administration." Its contribution to archival thought and practice has been world-wide. It was translated into German in 1905;

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1These include: Eugenio Casanova, Archivistica (2nd ed.; Siena, Stab. Arti Grafiche Lazzeri, 1928); and, Adolf Brenneke, Archivkunde: ein Beitrag zur Theorie und Geschichte des europäischen Archiwwessens (Leipzig, Koehler & Amelang, 1953.)


into Italian in 1908; and into French in 1910. It did not appear in English until 1940, when Arthur H. Leavitt of the United States National Archives staff translated the second edition (published in 1920), but it had been known in this country and had been recommended as the model for a proposed manual on American archival economy at the First Annual Conference of Archivists held in New York City, December 30, 1909. Its meticulous definitions have been incorporated into the fabric of American archival thought and are reflected in the wording of the legislation that defines the scope and functions of the United States National Archives. By providing theoretical justification for the principle of provenance, the cardinal principle underlying archival work, it laid the foundation for the development of the modern archival profession. This strength, however, is also its chief weakness, for its narrow attention to the techniques of arrangement and description of records contributes little to an understanding of the overall dimensions of archival systems.

Schellenberg's, Appraisal of Modern Public Records, a slender volume dealing with a matter of central importance, reflects the experience cumulated by the staff of the United States National Archives over a period of 21 years. The considerations that enter

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into appraisal of older records govern other key operations and
techniques characteristic of archival practice; this pamphlet reflects
the central value orientation of the profession.

The most comprehensive work on American archival problems and
practice is Schellenberg's, Modern Archives, a comparative treatment
of English, French, and United States records keeping activities at
the national level. It considers all the elements of an archival
system and draws distinctions between the archival profession and
other groups engaged in records-control activities. The disadvantage
of this book, from the viewpoint of the non-specialist, is that
principles and techniques appropriate for the largest units of govern­
ment must be translated into terms applicable to organizations of
considerably less scope and influence.

Schellenberg's latest work, The Management of Archives, is
designed to meet the special requirements of students preparing to
become archivists; it bears a resemblance to the Dutch manual, in
that it focuses entirely upon the internal activities of archival
agencies. Little attention is given to the organizational structure
necessary to support the application of the principles and techniques
that are discussed.

American State Archives, by Posner, is the final report of a
carefully designed and executed survey of all State archival agencies
and programs in the United States. Although this work, too, presents
the problem of extrapolating principles from the context of very
large organizations, the task is expedited by the inclusion of a
relatively brief set of "standards," and specific attention is given
to general factors that set the parameters of archival systems, whatever their size.

The Professional Journal

The only other single source of information concerned in a comprehensive way with American archival theory and practice is the American Archivist, the quarterly professional journal of the Society of American Archivists. Since its beginning in 1938, it has served as the chief forum for the exchange of opinion, factual data, and discussion among American archivists, and between them and their foreign counterparts.

The contributors to the journal represent all professional specialties concerned with record making and record keeping - records managers, librarians, historians, general scholars, government administrators, and others - in addition to archivists. The journal is open to all shades of opinion upon any aspect of records-control.

Regular features of the journal include: an annual bibliography, "Writings on Archives, Current Records, and Historical Manuscripts," notable for its comprehensive coverage; a section of abstracts of articles from foreign periodicals; critical book reviews; notes on technical advancements in the field; and "News Notes," reporting events pertinent to the interests of its readers.

While it is indispensable to records specialists, the American Archivist is of limited usefulness to the non-specialist in delimiting the special knowledge, skills, and capabilities of the archival profession. The diversity of interests represented confuse, rather
than clarify, the distinctions among records specialists. The layman risks being misled, for "the terminology of the archival profession in English is still unstable among those who consider themselves professionals, and of course, there is even more confusion in the layman's mind - and all working in this area must be constantly aware of this confusion."\(^6\) And, finally, owing to limited printings of the earliest issues, complete sets of the journal are not readily available.\(^7\)

**Schellenberg and Posner**

Collectively, the monographs described above, supported by critical comment and elaboration in the *American Archivist*, constitute the corpus of American archival thought. Prior to the publication of Schellenberg's, *Management of Archives*, Dr. Oliver W. Holmes, Executive Director of the National Publications Commission, identified four books as essential to understanding archival theory and practice: Jenkinson; Muller; Schellenberg's, *Modern Archives*; and Posner's, *American State Archives*. He did not mention *The Appraisal of Modern Public Records*, presumably because its content has been incorporated into Schellenberg's larger works, but of the other four he said, "Every archivist should analyze and compare them and know what they


\(^7\) The Society of American Archivists and the Johnson Reprint Corporation recently reached agreement upon arrangements for reprinting the journal. *American Archivist*, XXIX (January, 1966), pp. 119-120.
have of value and what they lack. Between them, they will contain most of the theory that one needs." But, he warned, "One will not understand all of it without some practice on his own account." To these must be added Schellenberg's most recent book, *The Management of Archives*.

The present study, in light of the foregoing evaluation of sources, draws upon the works of Drs. Schellenberg and Posner as the basis for designing a system model. Taken together, their written works cover all aspects of archival systems, synthesizing and reflecting the core of generalized knowledge that distinguishes the archival profession from other vocational endeavors. The professional stature of these men and the authority of their judgments within the profession are discussed below.

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**T. R. Schellenberg**

T. R. Schellenberg, Ph.D. in history from the University of Pennsylvania (1934), carved his professional career on the national level during a period of rapid development and change in the structure and functions of the National Archives, and in the growth of the profession. Beginning as an assistant in the National Park Service in 1935, he served in increasingly responsible and sensitive positions.

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8 Holmes, op. cit., p. 20.

until, in 1957, he was appointed Assistant Archivist of the United States, the position from which he retired in 1963.

His professional responsibilities brought him into close association with numerous scholarly and professional groups concerned with the use and preservation of historical records, and fostered his profound interest in archival methodology and training. He pioneered in offering formal instruction in archival theory and techniques on the university level. A Founding Member of the Society of American Archivists, he was elected a Fellow of the Society in 1958, and was awarded its Waldo Gifford Leland Prize in 1959. In 1952-1953, he served as Vice President of the Society, and later as Chairman of its Committee on Education and Training.

His experience and scholarly abilities were given signal recognition in 1954, when he was selected as a Fulbright Lecturer to visit Australia and New Zealand to discuss with government officials, and other interested groups, various aspects of managing public records. *Modern Archives*, his most comprehensive book, emerged from this lectureship. Although he did not officially represent the United States National Archives or the Society of American Archivists in this undertaking, he served as their authoritative spokesman in the sense that he drew upon his experience with these groups, upon a number of publications he had prepared in his official capacity with the National Archives, and upon the advice and counsel of his professional colleagues. In so doing, he synthesized and generalized much of the accumulated knowledge that had come to be accepted as reliable
doctrine by leaders in the profession. Upon its publication, the book was immediately recognized as a "landmark."

Fullest measure of the book's significance, perhaps, is the attention given to it by Waldo Gifford Leland, "dean of American archivists," who at the First Annual Conference of Archivists in 1909, had proposed the preparation of an American archival manual to be patterned after the Dutch manual by Muller. No manual of any significance materialized during the course of his long career and,


[12] The desirability of a manual on American archival theory and practice is a recurring theme in the literature, though at present the practicality of producing such a work appears to be questionable. In the years immediately following the First Annual Conference of Archivists, sustained efforts to outline and to write a general manual were made by a number of persons. A review of these early efforts is given by Victor Hugo Pultsits, "Pioneering for a Science of Archives in the United States," in *Public Documents*, ed. by J. K. Wilcox, with *Archives and Libraries*, ed. by A. F. Kuhlman (Chicago: American Library Association, 1937), pp. 233-239.

[13] Dr. Leland died on October 19, 1966. His distinguished career in the field of history began with a survey of the Federal Government records in the Washington, D. C., area and included several years' experience in the archives of Paris, both under the auspices of the Carnegie Institution. He claimed not to be a professional archivist, but he played a major role in fostering the establishment of the National Archives and the formation of the Society of American Archivists, of which he was a Founding Member, the second President, and a Fellow. He helped to organize the American Council of Learned Societies, drafted its Constitution, and served for 20 years as one of its directors. A sensitive sketch of his career, by Lester J. Cappon, appears in the *American Archivist*, XXX (January, 1967), pp. 325-327.
upon the appearance of Schellenberg's, Modern Archives, he declared:

... This compact and well written book ... is the most significant and useful statement yet produced on the administration of modern records and archives. ... It marks the advanced stage reached by the rapidly maturing profession of archivist in the United States.\textsuperscript{14}

Schellenberg's meticulous analysis of technical details is further demonstrated in his, The Appraisal of Modern Public Records, and, The Management of Archives. These three works are accepted as reliable authority for describing the technical aspects of a functional archival system in this study.

\textbf{Ernst Posner}\textsuperscript{15}

Ernst Posner, Ph.D. in history from the University of Berlin (1920), occupies a unique place in the American archival profession. From 1921 until 1935, he served as a state archivist of the Prussian Privy State Archives in his native Berlin; then, driven by political tyranny, he immigrated to the United States where, in 1939, he joined the faculty of the American University in Washington, D. C., as a lecturer in history. He retired from the same institution in 1961, from his position as Professor of History and Archives Administration, having served along the way as Adjunct Professor of Archives Administration, Dean of the Graduate Division, and Director of the School

\textsuperscript{14}American Archivist, XIX (October, 1956), pp. 325-327.

of Social Sciences and Public Affairs. From his position in the geographical center of American archival development, he was absorbed into the intellectual center of the profession, readily establishing himself as consultant to practicing archivists both in government and private institutions.

In recognition of his outstanding abilities, Dr. Posner, upon his retirement in 1961, was chosen to direct the first thoroughgoing survey of State archival agencies and programs in the United States. Dr. Philip M. Hamer, then President of the Society of American Archivists, initiated the project in September 1961, by presenting a proposal to the Council on Library Resources for a survey designed to describe the archival situation in each of the States "in plain but authoritative language" and to provide the groundwork for specific recommendations for improvement. Three months later, the Council granted to the Society $42,000 for this purpose, later increasing the amount to a total of $45,697.16 "As was pointed out when the Council's grant for this project was made, it was intended to result in no mere academic study but rather to have very practical effects in setting standards of archival management in the States and of stimulating compliance with them."17


17 Ibid., p. 11.
The specific aims of the survey, as outlined in the application, were:

1. To determine concretely the status of archival arrangement in every one of the fifty states of the Federal Union and its territories;

2. To measure their attainments against a set of realistic standards;

3. To embody the results in a document that will reveal the weaknesses of individual states as regards the care and preservation of archives and convince responsible government officials and others concerned of the necessity of taking appropriate action;

4. To contribute to the standardization of archival work and procedure throughout the Nation and to the maturation of the archival profession.18

The important feature of the final report, American State Archives, from the viewpoint of the present study, is the "set of realistic standards" presented in Chapter Four, though of no less importance is the procedure by which these standards were established.

The statement of standards was formulated by Dr. Posner in consultation with an advisory committee of five distinguished archivists19 and with the Committee on Professional Standards of the Society of American Archivists:

... A preliminary statement of standards had been reviewed by the Advisory Committee at its July, 1962, meeting. A first


19 Ibid., pp. 2-3. They were: Morris L. Radoff, Archivist and Records Administrator of the State of Maryland; Christopher Crittenden, Director of the North Carolina Department of Archives and History; David C. Duniway, Archivist of the Archives Division of the Oregon State Library; Olney W. Hill, Director of Public Records of the State of Vermont; and Oliver W. Holmes, Executive Director of the National Historical Publications Commission.
draft of the final statement was sent to committee members in June, 1963; and a new draft was reviewed and amended at the committee's meeting on August 12, 1963. Revised in accordance with the committee's suggestions, the statement was reviewed and approved by the Committee on Professional Standards of the Society of American Archivists on September 20, 1963.20

In addition:

... The Director of the Study was given an opportunity to acquaint the Society's membership with the purpose and progress of the work through notices in the April and October, 1962, issues of the American Archivist and through a progress report in its July, 1963, issue. He also reported orally at the Society's meetings in 1962 and 1963.21

The standards cover the following matters:

1. Organization for archival service, including: legal authority; status of the agency within the parent organization; budgetary requirements; internal organization; personnel; and facilities.

2. The functions of state archival agencies, including: the administration of permanently valuable records; responsibility for records management; historical activities; the collecting of non-official records and private papers; and, responsibility for printed government documents.

3. The archives function, proper: the control over the disposition of public records; assembling, preserving, arranging, and describing records; reference service; photographic reproduction of records; publication; exhibits; the care and preservation of local archives. And,

4. The relations of archival agencies and records management.

20Ibid., p. 5.  
21Ibid., p. 6.
The statement of standards is an effective discussion of the mission, the performance requirements, the inputs, and the constraints that determine the nature, the form, and the limits of archival systems. It considers the operational sequences, the communications, the authority structure, and the decision structure necessary to integrate archival operations into a functional whole. And, the procedure used to set these standards assured the involvement of the profession, making this the most authoritative statement yet produced concerning the nature of archival systems.

Summary

Within a profession marked by rapid change and developing technology, perfect agreement upon details is unattainable. The statures of Drs. Schellenberg and Posner in the archival profession endow their judgments with authority unobtainable elsewhere. Therefore, the major written works of these men have been selected as most reliably reflecting American archival thought concerning the elements and relationships necessary in an archival system.
CHAPTER IV

TECHNICAL CONSTRAINTS UPON
ARCHIVAL SYSTEMS

According to recognized authorities, the processes required to create an archive constitute a distinct technology; it consists of a specific set of techniques for manipulating a single category of records in support of a particular set of values, plus whatever broader knowledge and skills are required to apply these techniques effectively and efficiently.

Archival technology overlaps and is frequently confused with the related technologies of librarianship and records management. Useful distinctions among them cannot be drawn on the basis of any single factor; a consideration of the unique combination of values, techniques, materials, and broader knowledge and skills is necessary. To draw useful distinctions is the purpose of this chapter and the two following.

The most highly visible features of a technology are the characteristic techniques - or some of the techniques - employed by its practitioners. Persons uninitiated in the specialized activity can observe experienced practitioners and "see what they do." Not all of the techniques, however, are equally visible to the layman, nor is the context most appropriate to the exercise of the techniques
always apparent to the uninitiated. As a consequence, the "system" underlying the technology and understood by experienced practitioners may not be perceptible to inexperienced observers.

Archival technology includes a set of characteristic techniques which, for effective application, must be organized into a series of logically-related operations to assure the observance of certain procedural and substantive measures. A consideration of these techniques, however, is best deferred, pending the analysis of the general constraints placed upon archival systems by professional knowledge and judgment concerning the inputs, the mission, the performance requirements, and the schedules appropriate to such systems.

Inputs

The inputs appropriate for an archival system are of two kinds: materials originating in the parent organization that can be manipulated effectively and efficiently by archival techniques; and, requests for specified kinds of information and documents.

The appropriate material inputs are those records of the parent organization

... made or received in pursuance of its legal obligations or in connection with the transaction of its proper business and preserved or appropriate for preservation ... as evidence of its organization, functions, policies, decisions, procedures, or other activities or because of the informational value of the data contained therein.¹

Such records may include copies of printed material published under the auspices of the parent organization, but not materials published by other agencies and assembled by the parent organization solely for reference use.

Requests for information or for documents appropriate to the archival system are those concerning the structure, the functions, the policies, the decisions, the procedures, the operations, or other activities of the parent organization. Other kinds of requests may be considered appropriate if, owing to the character of the parent organization, the records contain data useful for historical or other types of research.

Mission

The mission of archival systems, in general, is to provide access to documentary evidence of the past, a function shared by other social institutions, including libraries and museums. But the scope of this mission for the archival system - unlike that of libraries and museums - is narrowed and defined by the kinds of inputs deemed appropriate to such a system.

The mission of any particular archival system is further limited by the character of its parent organization, whose purposes and activities determine the quantity and the quality of the records available for incorporation into the system.

\[^{2}Ibid.\]
Performance Requirements: Operational and Support

Performance requirements are of two kinds: (a) operational, and (b) support. These are statements detailing the mission into sets of goals, objectives, and standards, specifying what the system is intended to accomplish, and how.

Goals are relatively stable, long-range ends in view. Objectives are intermediate, or short-range, ends that contribute to the achievement of the goals. Goals may remain relatively fixed over long periods of time, while objectives may be altered, or replaced, in order to achieve the same goals under changing circumstances. Standards are specifications of time, quantity, or quality applied to goals and objectives.

Operational requirements

Performance requirements applicable to operations and equipment directly concerned with active performance of the mission are termed the operational requirements. An archival system is required to function in such a manner that reference service to a useful body of documentary evidence can be provided.\(^3\)

\(^3\)The primacy of service would appear to be self-evident, if it were not obvious that, in many organizations, older records accumulate without coordination or design, and that activities undertaken with relation to such records are in reaction to their accumulation. Service, under such circumstances, is a secondary consideration. The purpose of a functional archival system, as stated here, it to control the accumulation of older records in support of the service needs of the parent organization.
Operational goals.--The operational goals of an archival system are: to improve the administrative efficiency of the parent organization; to conserve historically valuable documents; to protect the privacy and safety of certain categories of records; and, to provide the parent organization with funds of useful administrative knowledge, including evidence of financial and legal obligations.™

Operational objectives.--The operational objectives of an archival system are to respond successfully to requests for information about the structure, the functions, the policies, the decisions, the procedures, the operations, or other activities of the parent organization; to respond successfully to requests from members of the parent organization for additional kinds of information, if the records preserved contain such information; and, to honor requests from private persons engaged in research, whenever this is judged to be appropriate and not in conflict with the interests of the organization.£

Operational standards.--The operational standards appropriate to an archival system relate to the quality of the information and the documentation provided, and to the efficiency with which this service is given. Information must be valid and the documents must be authentic and pertinent. Service must be given with "reasonable"

speed and without damaging costs to the parent organization.\textsuperscript{6} Priority of service must be given to the needs of the parent organization over those of private persons engaged in research.\textsuperscript{7}

Support requirements

The requirements applicable to events and equipment concerned with preparing and maintaining the operating capability of system elements that actively perform the mission are termed support requirements. Those for an archival system may be grouped as: (1) to control the disposition of official records; (2) to preserve the archive; (3) to prepare records for the retrieval of information and documents; and (4) to carry out some desirable, but secondary, activities.\textsuperscript{8}

Control over the disposition of records.—Controlling the disposition of older official records has two goals: to provide documentary evidence that reasonably may be anticipated to have utility at sometime in the future; and, to eliminate all records judged not to possess immediate, or future, values.

The objectives for achieving these goals are: to identify all official records of the parent organization that, while no longer of current use, are potentially valuable for some future purpose; to

\textsuperscript{6}These qualities are implied, rather than stated explicitly, in the literature.

\textsuperscript{7}Posner, op. cit., p. 360.

\textsuperscript{8}Ibid., pp. 358-364. The above order is an adaptation of the order given by Posner under the heading, "The Archives Function."
appraise the value of such records; to assemble together all those judged to be of enduring value; and, to dispose of useless records.

The standards to be applied relate to the techniques involved in identifying, appraising, and assembling records of enduring value, and to the techniques for identifying, appraising, and disposing of useless materials. These qualities are considered in detail in the following chapter on archival operations.

Preservation of the archive.—The preservation of the archive has as its goal the assurance that all records judged to be of enduring value will survive in usable form, indefinitely.

The objectives for achieving this goal are: to prevent their destruction by providing proper physical facilities for storage; and, to prevent their deterioration from natural causes; to guard against catastrophe by selectively duplicating records on microfilm and by dispersing the copies; and, to prevent the loss of records, by controlling their use.

The standards relating to preservation apply to time and to physical conditions. It is presumed that records of "enduring value" will be preserved permanently. The future physical condition of the records should be as good or better than when the records were removed from the offices of origin. And, of cardinal importance, the physical arrangement of such records should clearly reflect their place of

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10Ibid., p. 359.
11Ibid., p. 361.
12Ibid., p. 360.
origin in the administrative structure of the parent organization.

Preparation for retrieval.—The preparation of records has as its goal the establishment of control over accumulated records so that documents and information can be recovered as needed, and documents, after being used, can be returned to the proper places in the system.

The objectives for achieving this goal are: to arrange the records in a stable order; to segment the materials into manageable physical units; to identify these units by the use of symbols; to describe these units in a variety of finding aids; and, to shelve the units in accordance with the set of symbols by which they have been identified.

The standards to be applied to the preparation of records for retrieval relate to both quality and to time. In general, the operations of arrangement and description must be carried out at a level of quality commensurate with the level of reference service to be required of the system; and, the amount of time allotted to these operations in relation to any given unit must be balanced against the total amount of time available for handling similar units. Of great importance, arrangement and description must be sufficiently standardized to obviate the need for "reworking" materials; arrangement and descriptive practices should be cumulative. And, access to stored materials should not be dependent solely upon the memory of the curator. Proper management, however, may indicate the desirability of refining the arrangement and description of certain parts of any given unit, since the work load seldom can be so evenly distributed
that all records can be arranged and described in final form as they come into the system.

**Schedules**

Schedules are statements of time concerning projected operations and/or recurring events. Some schedules are predetermined for an archival system by the nature of the material inputs and by the operational goals of the system. The material inputs, being those records accumulated by the parent organization, are unique; once destroyed, they cannot be recovered or duplicated in their original form. The operational goals and objectives of an archival system have no specifiable terminal date; therefore, they must be presumed valid for the life span of the parent organization. These factors impose upon the system two major scheduling requirements: first, the need for unbroken continuity in the operation of the system; and, second, the need for cyclical performance of the full sequence of operations. Other scheduling requirements occur elsewhere in the system, but these two are of fundamental importance to the technical performance of the system.

**Summary**

The technical constraints imposed upon archival systems by professional knowledge and judgment limit the kinds of inputs deemed appropriate to the system, determine the mission, the performance requirements, and the schedules of the system. The nature of these constraints are elaborated further in the following chapter.
CHAPTER V

ARCHIVAL OPERATIONS

Given the general performance requirements developed in the preceding chapter, attention now may be directed to the detailed technical aspects of an archival system. To summarize, performance requirements fall into five groups: (A) providing reference service; (B) controlling the disposition of official records, which involves the specific operations and techniques for identifying, appraising, assembling, and destroying records; (C) preserving the archive; (D) preparing the archive for service, which involves the specific operations and techniques for arranging and describing records; and (E) other activities. Each of these elements will be described as briefly as possible, consistent with reasonable accuracy.

Reference Service

Reference service involves the actual supplying of information and documents in response to requests. It is both the primary operating requirement of the system and a specific operation. If service is extended both to members of the parent organization and to persons from "outside" engaged in private research, the needs of the parent organization must be given precedence. Some basic qualitative
features to be attained are reflected in the "Standards for State Archival Agencies:"

"... For reference service on the premises, a properly equipped research room within easy reach of the stacks is necessary. Searchers, of course, should not be permitted to enter the stacks. ...

... There should be a definite policy governing the extent of research that may be done for persons at a distance ...

... Users should be provided with photographic copies and other reproductions of documents at a reasonable cost, if the staff time required to locate such documents is not excessive. ...

The specifics of reference service for any given archival system, however, will vary with the requirements of its parent organization. In any case, the capacity of a system to provide reference service depends upon the supporting operations discussed below.

**Control over the Disposition of Records**

The disposition of non-current records may include any of several actions: "destruction, transfer to a records center for temporary storage, reproduction on microfilm and subsequent destruction, and transfer to an archival agency for permanent preservation." Disposition involves the operations of: identifying the official records of the parent organization; appraising their values; assembling those judged to be of enduring value; and, eventually, destroying those judged to be worthless.

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1Posner, American State Archives, pp. 360-361.
2Ibid., p. 368.
Identification

The identification of official records is the process of determining which records, among the diverse groups accumulated by an organization, may be considered products of the activities of the organization itself. Identification presumes a thorough knowledge of the structure, the functions, the procedures, and (perhaps) the personnel of the organization. The technique for identifying official records is to inventory the entire accumulation of older records within the organization, wherever such records may be found, and to record this information methodically. Standardized forms outlining the information to be gathered facilitate the process and yield data in uniform style for later use.

Appraisal

Appraisal is the "process of determining the retention value of records, based upon a study of their content, the arrangement, and their relationships to other records." It is generally considered the most difficult problem facing the archivist dealing with modern records, because the materials are of recent origin and may be voluminous. "Appraisal judgments, it is clear, will be competent to the degree that the appraiser is well trained, has studied the organization, the functions, and the procedures of the agency whose records he is evaluating, and is familiar with the total research resources.

\[^{3}\text{Ibid.}, \text{p. 366.}\]
and needs of the field in which he is working.\textsuperscript{4} Appraisal also is dependent upon some preconceived notions of the kinds of values that may be found in organizational records.

Professional archivists divide records values into two general groups: "primary values for the originating agency itself and secondary values for other agencies and private users."\textsuperscript{5} Within the context of the privately controlled college, the term "agency" applies to the Office of the President, the Registrar's Office, the academic departments, etc.,

... Records are created to accomplish the purposes for which the agency has been created - administrative, fiscal, legal, and operating. These uses are of course of first importance. But ... records are preserved in an archival institution because they have values that will exist long after they cease to be of current use, and because their values will be for others than the current user ... \textsuperscript{6}

The "primary" values of records, then relate to administrative, fiscal, legal, and operating activities; the "secondary" values relate to historical and other kinds of activities that may be subsumed under the general heading, research. Obviously, these values overlap.

Non-current records (those no longer of administrative, fiscal, legal, or operating importance) are further divided into two types based on the nature of their secondary values: (1) those valued


\textsuperscript{5}Ibid., p. 6.

\textsuperscript{6}Ibid.
as evidence of the structure and functioning of the parent organiza-
tion; and (2) those valued for the information about persons, events,
corporate bodies, problems, and conditions with which the parent
organization dealt. Again, these types of values are not mutually
exclusive.\(^7\) "A record may be useful for various reasons. The value
that attaches to it because of its evidence of . . . [organizational
structure] and functioning may occasionally be the same as the value
that is derived from its information on persons, things, and
phenomena."\(^8\) But the assumption that such distinctions can be made
gives the archivist a point of departure for appraisal.

\[\ldots\] It involves an objective approach that the modern archi-
ivist is especially trained to take; for his training in
historical methodology has taught him to look into the origin,
development, and the working of human institutions and to use
records for the purpose. The test is not easy, but it is
definite. It will bring to view first the records on which
judgments of value can be made with some degree of assurance,
the degree depending upon the thoroughness with which the
records have been analyzed.\(^9\)

Information obtained by the archivist in seeking to trace the
structure and functioning of the organization may also serve to
evaluate the significance of records from other points of view.

\[\ldots\] The archivist must know how records came into being if
he is to judge their value for any purpose. . . . Records of
any organic body are the product of activity, and much of
their meaning is dependent on their relation to the activity.
If their source in an administrative unit . . . or in a
particular activity is obscured, their identity and meaning

\(^7\) Ibid.

\(^8\) Ibid., p. 7.

\(^9\) Ibid., p. 8.
are likely also to be obscured. In this respect they are unlike private manuscripts, which often have a meaning of their own without relation to their source or reference to other manuscripts in a collection.¹⁰

The values that guide the deliberations of the archivist are essentially historical, though the precise line between "historical" and "administrative" is difficult to draw. The basic assumption on which the archivist proceeds is that

. . . the minimum record to be kept is the record of organization and functioning and that beyond this minimum values become more debatable. By a judicious selection of various groups and series an archivist can capture in a relatively small body of records all significant facts on an agency's existence - its patterns of action, its policies in dealing with all classes of matters, its procedures, its gross achievements.¹¹

Schellenberg offers a number of generalizations concerning the appraisal operation. First, the considerations that enter into appraisal judgments cannot be reduced to exact standards, nor can they be made precise; it follows, therefore, that they need not be followed with absolute consistency. Criteria appropriate for one organization may be inappropriate for another, and criteria applicable in certain situations may be unsuitable in others. Second, given the nature of appraisal standards, they need to be applied with moderation and common sense. "An archivist should keep neither too much nor too little."¹² However,

. . . appraisals of records should not be based on intuition or arbitrary suppositions of value; they should be based instead on thorough analyses of the documentation bearing on

¹⁰Ibid., pp. 8-9.
¹¹Ibid., p. 8.
¹²Ibid., p. 44.
the matter to which the records pertain. Analysis is the essence of archival appraisal. While appraising \ldots \text{ records} the archivist must take into account the entire documentation of the agency that produced them. He should not make his evaluations on a piecemeal basis. \ldots \text{13}

In addition, the archivist should recognize his personal limitations; if his analysis does not yield sufficient information for him to exercise reasonable judgment, he should seek the counsel of others who are competent to evaluate materials in the subject area under consideration. He should, however,

\ldots do the basic analytical work that is preliminary to the appraisal of records. He should first accumulate the data about the records in question that are essential in determining the uniqueness and form of the information available in them. He should describe the various series to be appraised, indicating their form and volume, the types of information available in them, their relation to other groups and series that contain similar information, their relation to published sources, and the like \ldots \text{14}

And lastly, when records appear to possess multiple values, and assistance from other persons is warranted, the archivist should play the role of moderator. "He must call attention to the fact that \ldots \text{[an organization] has only a limited amount of funds for the preservation of its documentary resources and that these funds must be applied judiciously for the preservation of the most important of these resources.}"\text{15}

**Assembling**

Assembling records of enduring value - a process that continues so long as the parent organization flourishes and supports

\text{13}\text{Ibid., p. 45.} \quad \text{14}\text{Ibid.} \quad \text{15}\text{Ibid.}
an archival system - can be routinized by the preparation and use of retention and disposal schedules. A retention and disposal schedule is

... a document ... that, for a series of repetitive records of ... an organization, states the periods of time for which they must be retained in agency space; the periods of time for which they must be retained in a records center; and the periods of time or the events after which they shall be destroyed or, if of permanent value, microfilmed as a means of reducing their bulk or transferred to an archival agency.16

The aim is twofold: to relieve other offices periodically of space-consuming materials for which they have no current use; and, to establish an orderly and steady flow of records into the archival system.

Ideally, accessions should reach the archival agency in a steady flow through the operation of approved retention and disposal schedules. Where schedules are not yet in effect, records should be accessioned in blocks of a size likely to facilitate the process of integrating them with existing holdings. PIECEMEAL TRANSFER OF RECORDS FROM agency to archival custody should be discouraged.17

Accessioning is a pivotal step in the process of assembling records of enduring value. The archivist should maintain an accessions register, a ... an administrative record designed to provide information on the receipt of all documentary material. Its primary purpose is to provide an immediate, brief, and permanent record of how material came into the repository."18 For each unit of records

17 Ibid., p. 359.
18 Ibid.
received, the register should contain the following information:
"... the symbol (number) assigned to the accession; its date; the
source from which it was obtained; the terms under which it may be
used; the name of the agency, ... or person that produced it; the
place and date at which it was produced; and its quantity."19 In
addition to providing a permanent record of all incoming materials,
the accession register serves as a finding aid until more detailed
guides can be prepared.

As part of the assembling process, the archivist should make
a "concerted" effort to acquire records that have been retained in
the offices of origin beyond their period of current usefulness; he
should take similar steps if valuable records appear to be in
danger of deterioration in the offices of origin.20

Destruction

The destruction of non-current records is a characteristic
archival operation under two conditions, both following the appraisal
operation: when specific records have been judged worthless for any
further use; and, when retention in less bulky or in more durable
form warrants their reduction to microfilm.

"Decisions to destroy records should be final and irrevoca-
ble."21 Schellenberg notes the unnecessary costs incurred when an

organization fails to implement its disposal decisions. In some instances, the act of destruction must be delayed in order to meet legal obligations; a record center, utilizing low-cost storage space, should be provided for such storage. But well-planned appraisal should prevent timidity in other cases, and a well-kept file of completed disposal forms, showing which records have been destroyed, can eliminate the discomfort of uncertainty.

Preservation of the Archive

Preserving records is both a major support requirement of an archival system and a number of specific operations. Preservation, like reference service, is central to the notion of an archival system.

Of the standards proposed for physical facilities suitable for State archival agencies, the following are of general applicability:

... The archival agency must be housed in a fire-resistive building, which should comply with the standards of the National Fire Protection Association. The premises it occupies must be safe from floods, steam and water pipes, and other possible hazards to the holdings, and they must be structurally adequate to support the required weight loads.

The building should be planned and equipped to meet all demands of archival preservation and service. Its temperature and humidity should be controlled in all areas where records are stored and used. Protecting records from physical deterioration is accomplished in a number of ways: by fumigating and cleaning neglected and soiled

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[22] Ibid., pp. 106-110.
materials before incorporating them into the archive; by the process of deacidification of individual documents; by laminating highly important pieces in plastic, after they have been rendered acid-free; and, in some cases, by committing groups of records to microfilm.24

The proper control over records during use for reference purposes contributes directly to their preservation:

Access to the research room should be controlled, and precautionary measures must be adopted to prevent searchers from damaging, disarranging, or removing documents from the files. Rules for the use of records in a research room should be clearly stated and posted or published, and a staff member should be present at all times to assist and supervise. . . .25

Preparation of Records for Service

The retrieval of information and documents from an archive is dependent upon the manner in which the records have been arranged and described. The terms, "arrangement" and "description," have specialized archival meanings. Their nearest equivalents are the basic library operations of "classification" and "cataloging," which practical experience has demonstrated cannot be applied efficiently to organizational records. "When applied to documentary material, the term 'arrangement' pertains to all activities that must be performed to place records in order in the stacks of a repository."26 Description is a term covering "the preparation of finding aids in an

24Ibid., p. 359.
25Ibid., p. 360.
26Schellenberg, Management of Archives, p. 80.
archival agency. 27 The cardinal principles of provenance and original order underlying archival work find their clearest expression in these two operations.

Arrangement

"Arrangement . . . is largely a process of grouping individual documents into meaningful units and of grouping such units in a meaningful relation to one another." 28 Archival and library techniques differ in this matter, because records accumulated by an organization lack the attributes commonly found in published materials and are too voluminous to permit the efficient handling of each piece of paper as a separate entity; as a consequence, the archival profession has developed distinctive techniques for arranging and describing aggregations of records. Schellenberg recognizes the following record units:

1. Archival groups and subgroups . . . which are established by a consideration of their organizational, as distinct from their functional, origins. An archival group is the largest physical unit established in an archival institution. It is comprised of records created by an . . . agency that has separate or distinct functional responsibilities and that can, for this reason, be dealt with separately. An archival subgroup is comprised of records created by an organizational subdivision of the . . . agency that created an archival group.

2 [Series and subseries are physical units, within archival groups . . . that are established by a consideration of their functional, as distinct from their organizational, origins . . . ]

28 Schellenberg, op. cit., p. 81.
[3] Items are the smallest physical units that are found in a series. An item may be either (1) a single document or (2) many documents that were brought together, usually in the course of their current use, into volumes, binders, folders, or other containers.

[4] Piece is a single sheet of paper.29

This hierarchy of physical units is derived from the principle of provenance, which means "that records should be arranged so as to show their source in an organic body or an organic activity."30 The identification of records groups, subgroups, series and subseries begins with the initial inventory of an organization's records and is refined and stabilized when, in the archival agency, the records are packaged, labelled, and shelved. "According to the principle of provenance, an archivist should not disperse records from a particular group or subgroup among subject or other kinds of classes."31

The second major archival principle, that of original order, applies to the treatment of series and smaller units. According to this principle, "an archivist should keep items within a series in the order given them originally whenever this reflects organic activity. The original order may show the sequence of actions; or may reveal administrative processes; ... or may reflect other organic connections."32

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29Ibid., p. xvi. As given above, the listing of physical units omits Schellenberg's definitions for manuscript collection, manuscript group, and related terms; as a consequence the items have been renumbered. (Italics in the original.)

30Ibid., pp. 41-42. 31Ibid., p. 95. 32Ibid., p. 100.
Description

Observance of the principles of provenance and original order dictates the terms in which archival record units can be described. Since the records are arranged as aggregates established by a consideration of their organizational source or their origin in a particular function, the identifying characteristics employed to describe them are governed by the same considerations. The archivist, unlike his librarian counterpart, must act independently of his professional colleagues in defining these physical units, for each group is unique. The accuracy of the archivist's descriptions can be measured only against the units themselves.

Description is a general term for the processes involved in developing finding aids, "the descriptive media prepared by an archival agency for the dual purpose of controlling its holdings and facilitating the finding of records or information in the records." These include guides, inventories, shelf-lists, catalogs, and calendars; each serves somewhat different purposes.

A guide is "a finding aid describing all or part of the holdings of an archival agency." An inventory is "a descriptive list, usually by series, of the records, or part of the records, of an agency, . . . or organization." A shelf-list is "a listing of records, normally series by series, in the order in which they are kept on the shelves." A catalog is "a finding aid, usually in the

33Posner, op. cit., p. 369.
form of cards, describing library and archival items in alphabetical or some other predetermined order." A calendar is "a finding aid consisting of abstracts of individual documents chronologically arranged. Calendars may be so detailed that reference to the originals is unnecessary."  

No archival agency, the United States National Archives not excepted, can afford to describe all of its record units uniformly. Some records need only the briefest description, while others are important enough to warrant minute treatment. The archivist must be competent, not only to prepare each type of finding aid, but equally competent to judge which is most appropriate to particular record units and which, under prevailing circumstances, must be given priority over others.

Other Operations

The operational requirements detailed above are the primary concern of an archival agency. In addition, the system may assume responsibilities for a number of related, but secondary, matters. These may include: the collection and preservation of historical records originating outside the official activities of the parent organization; the publication of information, both scholarly and popular, for the purpose of stimulating interest in the use of archival materials; the exhibition of archival documents of general interest; and the collection of secondary source materials - printed.

Ibid., pp. 368-371
books, pamphlets, etc. - useful as background information in exploiting the archival records.35

Summary

The analysis, thus far, has delineated the technical dimensions of an archival system by examining the inputs, the mission, the performance requirements, and the schedules deemed appropriate by recognized authorities; the operations necessary to identify, appraise, assemble, arrange, describe, preserve, and provide reference service to the permanently valuable records of an organization; and the operations necessary to identify and destroy those records of transitory value. The following chapter considers the general elements required to integrate these specific elements into a coordinated and functional whole.

CHAPTER VI

SYSTEM INTEGRATORS

A functional archival system is more than the sum of its operational components, physical facilities, and holdings. These elements, to be effective, must be integrated into a coordinated whole; and, to be functional, they must be articulated with other interests and concerns of the parent organization. Coordination and articulation are achieved through four additional system elements: operational sequences, communications, an organizational structure, and a decision structure.

Operational Sequences

Archival operations must be executed in logical sequence. The series begins with a preliminary inventory of the records that the parent organization has accumulated; it proceeds through identification, appraisal, assembling, arrangement, and description; and, it terminates in the preservation of valuable records and the providing of reference service. Concomitantly, useless records are identified and destroyed, or scheduled for destruction.

Once established, system operations become a continuing cyclical process, and the simple linear pattern becomes obscured as
several operations are carried on simultaneously on different groups of records. The series of operations is maintained in balance by delineating each operation in terms of specific goals, objectives, and standards, so that the duration of each can be predicted with a reasonable degree of accuracy, scheduled with relation to other activities, and completed effectively.

**Communications**

Communications are any transactions between the archival system proper and persons "outside" the system. The term includes both the transfer of materials, and the passage of oral and written messages, into and out of the system.

The achievement of system goals requires a network of communications between the system and other subdivisions of the parent organization. The system must, at least, possess the potential for establishing effective liaison with every other agency that accumulates records on behalf of the organization.

**Prerequisites for effective communications**

Effective communications are established and carried on against a background of assumptions concerning (1) the conditions necessary for the incorporation of archival procedures into the structure of the parent organization, and (2) the kinds of broader knowledge and values that discipline professional archival practice.
Organizational attitude toward records.—Archival techniques and operations were formulated originally within the framework of highly bureaucratic organizations, and certain bureaucratic characteristics must be present, if these techniques and operations are to be functional. First, ownership of official records, regardless of their point of accumulation within the organization, should be centralized; ownership should not be delegated to individual subdivisions of the organization. Secondly, the organization should attempt to account for its records. And, thirdly, the responsibility for preserving and disposing of official records should be centralized, rather than distributed among the individual operating agencies of the organization.

Two additional assumptions are made concerning the proper treatment of records during current use: (1) that some usable order is imposed upon them during the course of their accumulation in the offices of origin; and (2) that each office, or agency, can devise some method for distinguishing between its current and its non-current records, without obliterating this order.

Generally speaking, archival matters bear more directly upon the welfare of some organizations than of others. The agencies of civil government, being ultimately responsible to the public, have been responsive to demands that accurate documentation of their structures, functions, decisions, policies, and activities be preserved.

... Recent decades have seen increasing awareness of the importance of sound archival arrangements for the protection of those records that are a reservoir of previous governmental
experience, and that are indispensable for historical and other research, and that safeguard the rights and privileges of the citizen and enable him to trace the history of his family, a wholly legitimate desire.¹

Private corporations, on the other hand, need make few concessions to historical or other scholarly interests in using, or disposing of, their official records. Arrangements for records-control may be derived solely from considerations for efficiency and economy of internal operations. A functional archival system, however, is technically unfeasible unless the parent organization is predisposed to accept ownership of its older records, to be accountable for them, and to be responsible for their disposition.

**Professional discipline.**—The effectiveness of communications is conditioned also by the expectations of the parent organization concerning the contributions to be made by the archival system. Does the organization need, or want, what professional archival service can provide?

The archival profession has its roots in the concern of historians for the preservation of reliable documentary evidence of the past. Reliability is associated with "objectivity," or "impartiality," the absence of subjective bias. Archives, though only one kind of documentary evidence, are held to more nearly objective than other kinds of documents, because of the circumstances attending their creation. They are residues of purposeful activity of which they were an integral part; historical values that inhere in them are incidental.

and, therefore, provide a relatively unprejudiced view of whatever occurred. Such evidence, though never complete, is to be found both in the substance of records and in the arrangement imposed upon them during current use. Evidence of this nature cannot be assembled casually, nor can it be restored when once destroyed.

Archives are not collected. . . . They are not there . . . because someone brought them together with the idea that they should be useful to students of the future, or prove a point or illustrate a theory. They came together, and reached their final arrangement, by a natural process: are a growth; almost, as you might say, as much an organism as a tree or an animal. They have consequently a structure, an articulation and a natural relationship between parts, which are essential to their significance; a single document out of a group of archives is no more to be taken as expressing in and of itself all it has to tell us than would a single bone separated from the skeleton of an extinct and unknown animal.²

The professional archivist, it is presumed, shares the historian's respect for objectivity of evidence and takes as his special province the protection of the integrity of archives entrusted to his care. The practicing historian - whether teaching, writing, or interpreting the past in some other way - seeks evidence wherever it may be found; but the primary responsibility of the archivist limits the range of his legitimate interest in records.

. . . An archivist is an historian in a very special sense. The reason for his existence is not the advancement of human knowledge, but the performance of a useful service for the institution which employs him. The institution does not pay

him to preserve records because of their historical value to miscellaneous posterity, but because the records will be useful to the institution itself in the future.  

The historical value of an archive "depends upon the character and importance of the matter evidenced, i.e. the origin and the substantive programs of the agency that produced them."  

Archival operations and techniques can be employed to identify and to protect valuable records; but such activities do not, in themselves, contribute values.

The content of communications

An archival system "... whether government or private, is established for the purpose of preserving materials produced by the body it serves. ... It normally has only one source, namely the government, the institution, or the person it serves."  

Effective communications between the archival system and its parent organization deal, primarily, with the handling of records in the offices of origin, with the transfer of non-current records to archival custody, and the retrieval of information and documents from the archive. "The problem of records from the time they are created down to and including the time of their transfer to the archival agency is considered

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4 Schellenberg, The Appraisal of Modern Public Records, p. 239.

5 Schellenberg, Modern Archives, p. 19.
essentially one problem that calls for an integrated approach. As a direct corollary, the person responsible for the archival system has a legitimate concern for the manner in which records are maintained during current use.

An archival system cannot function effectively, if its role is passive. The techniques for identification, appraisal, assembling, and arranging are predicated upon the orderly accumulation of records in the offices of origin; therefore, the archivist must act constructively to encourage the development of appropriate records handling procedures throughout the organization.

Organizational Structure

An archival system must be established "in such a fashion that it can fulfill its mission and does not remain an archives in name only. Experience has shown that it cannot function effectively if it comes into being by dint of purely informal arrangement." The system should rest upon statutory provisions that clearly specify the functions it is to perform.

The establishment of an archival system by formal action has

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9 Posner, American State Archives, p. 351.
significant implications of long-range importance. First, it removes responsibility for older records from a personal to an institutional level, thereby increasing the probability that the system will endure. Secondly, the formal specification of functions, beforehand, provides the general administrators with reference points by which to evaluate the effectiveness and efficiency of the system.

The status and location of the archival system within the administrative structure of the parent organization should be clearly defined and established at a level that will facilitate the implementation of organization-wide service. Preferably, the system should have an identity independent of other agencies; if, however, it must function within the framework of another agency - the library or, perhaps, a unit charged with the records management function - it should have coequal status.\(^{10}\)

Inasmuch as an archival system serves all agencies of the organization, the person responsible for its operation should have authority to concentrate in his custody all of the institution's older records of lasting value. Official records should not be destroyed or scheduled for destruction without the approval of the archivist.\(^{11}\) The granting of such authority is, in effect, the declaration that: ownership of records rests with the organization as a whole; the organization wishes to account for its records; and, the organization is willing to assume responsibility for disposing of its records.

\(^{10}\text{Ibid., pp. 352-353.}\) \(^{11}\text{Ibid., p. 358.}\)
Since an archival system deals with matters of organization-wide concern, some of which may conflict at times with one another, general oversight of the system may be vested in a committee or board representing various interests. The archivist should be a member, but decisions upon the scope and functions of the system are not solely his prerogative. Whether to collect and preserve non-official records, private papers, and other historically valuable documents originating outside the institution may become a thorny problem; while these activities are not incompatible with "the basic mandate of the archival agency, they should be undertaken only if discharging them does not interfere with the agency's primary archival responsibility." The scope of the system's activities should be defined either in the original legislation creating the system, or by negotiation among the archivist, the archival committee, and the administration as the system develops. Support for the system, of course, should be commensurate with its projected program.

Decisions upon the disposal or retention of older records are of fundamental importance. Disposal authority may be considered the prerogative of the archivist or of the archival committee; "where it rests with a committee or board, the archivist should be a member, and his affirmative vote should be required for disposal approval." 

Decisions concerning the internal operation of the archival

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12 Ibid., p. 357.  
13 Ibid., p. 358.
system should rest with the archivist; it is his responsibility to
develop a workable program, balancing the resources at his disposal
against the demands made upon the system. He should be capable of
justifying his program, or be prepared to recommend alternatives for
making adjustments between services and resources.

Policy is frequently made or modified by budgetary considera-
tions, therefore, the archival system should have a separate budget,
and the archivist should be permitted to defend his requests before
the budget-approving authority of the organization.\textsuperscript{14}

Summary

The operational components, physical facilities, and holdings
of an archival system are integrated into a coordinated whole through
four general system elements: operational sequences, communications,
the organizational structure, and the decision structure.

A functional archival system is a blend of technical competence and locally-established values. Its structure is relatively
complex; it is given form by a set of ideas, rather than by "hardware;" it is employed to manipulate physical units that are unique;
and it requires a particular kind of commitment on the part of the
archivist. These characteristics militate against the probability
that archival systems can evolve naturally, or fortuitously, from the
more firmly-established records-centered activities.

\textsuperscript{14}Ibid., p. 353.
A functional archival system can be established and maintained only through decisions made at the top administrative level of the organization. The informed participation of a general administrator is crucial, not only in selecting and appointing an archivist, but also in developing lines of communication, in fitting the specialized system into the existing administrative structure, and in creating a decision structure that fosters the articulation of archival activities with other concerns of the organization.
CHAPTER VII

GUIDELINES FOR A FUNCTIONAL ARCHIVAL SYSTEM

Archival technology is one of three records-control technologies currently available. The social factors that encouraged and supported its development also fostered the development of records management as a separate field of activity, and modified the older one of librarianship.

Archives administration, records management, and manuscript librarianship provide three distinct perspectives from which value judgments upon older institutional records may be made; these perspectives rest upon different sets of assumptions which, though not mutually exclusive, lead to different courses of action. An academic institution has occasion to view its records from all three perspectives, a crippling situation, unless deliberate action is taken to reconcile conflicting interests. The unique characteristics of archives administration can be highlighted by considering how spokesmen for records management and manuscript librarianship perceive their own specialized roles.

Records Management

Records management has come to be recognized as embracing an organized drive for fewer and better records. Although the programs
for achieving these goals vary considerably, "the purpose of records
management can be stated in simple terms: fewer and better records,"¹
by establishing

. . . systematic control over the creation, use, maintenance, retention, protection, and preservation of all types of records for the purpose of reducing costs, increasing efficiency, and servicing management through records handling operations.²

Both the records manager and the archivist are concerned with the same kinds of materials, but "the records manager is more concerned with administrative problems than with history and research."³ His emphasis upon economy and efficiency leads him into some aspects of organizational practice that normally are considered beyond the sphere of the archivist. The potential range of the records manager's interests are outlined by Emmett J. Leahy, a pioneer in the development of records management:

A. Production Controls Affecting Quantity and Quality of Records

1. Improvement of office organization and procedures
2. Paper-work simplification through:
   a. Correspondence improvement
   b. Reports control
   c. Forms control
   d. Control of internal office instructions and directives
   e. Better machine utilization in duplicating, storing, retrieving data


³Leahy, op. cit., p. 220.
B. Files Organization and Maintenance

3. Design of filing systems
4. Training in filing methods and techniques
5. Equipment control: establishment of standards for procurement of filing equipment and supplies, and control of standard items for better utilization
6. Operation of office files: indexing, filing, and providing reference service

C. Disposition of Records

7. Development of schedules for the retirement and disposal of records
8. Designing and servicing low-cost housing centers for retired records
9. Retiring semiactive records and destroying dead records in keeping with retention schedules
10. Determining the feasibility of microfilming records of long-retention value
11. Identifying and preserving papers of historical value
12. Protecting vital records against the hazards of enemy, fire, and water

Conceived in these terms, records management is more comprehensive than archives administration and includes the archival function.

To those who view an academic background in history and in the methodology of research as essential to archival management, the suggestion that a records manager lacking these qualifications is an archivist may seem presumptuous. In the scholarly view, a professional archivist is an intermediary between records managers and historians - one to whom records of enduring value are entrusted for preservation and research. But nowadays, with business archives in the custody of records managers and with these business archives (inactive-records centers) housing many records of enduring value, the distinction between the two fields of endeavor may be one more of degree than of kind.4

4Ibid., pp. 18-19.
5Ibid., p. 220.
However, "in the most conservative program concept, responsibility can be assigned to a records manager for the staff activities described briefly by items 3 through 5 and 7 through 10." Thus, in a narrowly conceived records management program, the essentially archival functions - providing reference service, identifying and preserving papers of historical value, and protecting vital records against loss or damage - may be omitted entirely.

The technique commonly used in records management for the evaluation of older records employs four general categories (vital, important, useful, and nonessential), based upon the relation of records to the survival capacity of the organization following an hypothetical disaster. These categories are defined by the National Fire Protection Association as:

Class 1 (Vital) records. This class includes records which are irreplaceable; records a reproduction of which does not have the same value as an original; records needed to promptly recover monies with which to replace buildings and equipment, raw materials, finished goods and work in process; and records needed to avoid delay in restoration of production, sales, and service.

Class 2 (Important) records. This class includes records, a reproduction of which could be obtained at considerable expense and labor, or only after considerable delay.

Class 3 (Useful) records. This class includes those records whose loss might occasion much inconvenience but which could quite readily be replaced and which would not in the meantime present an insurmountable obstacle to the prompt restoration of the business.

6Leahy, op. cit., p. 220.

7Griffin, op. cit., p. 188.
Class 4 (Nonessential) records. This class includes principally the material which upon examination in accordance with prearranged plans is deemed eligible for destruction. Their disposal should be accomplished as promptly as possible so as to reduce the fire hazard of unnecessary record accumulations. Until disposed of, they should be segregated from more important records.  

Obviously, specific criteria for each of these general categories will vary widely from organization to organization, depending upon the philosophy, the policies, and the objectives of the organization itself, and must be determined locally. The significant point to be emphasized is that records management evaluations of older records are based upon the perceived relationship between institutional records and the survival capacity of the organization.

**Manuscript Librarianship**

Librarians, because of the custodial nature of their work, frequently have been assigned responsibility for the preservation of archival materials. Refinements in archival technology, however, have served to clarify the distinctions between archives and other kinds of historical documents, and has led to the recognition that some so-called "archival repositories" are, in fact, "manuscript libraries" or "manuscript collections" within libraries. Although the types of materials dealt with and some techniques employed are common to both,

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9Griffin, op. cit.
manuscript libraries can be distinguished from archival agencies on the basis of mission and operational requirements.

"The primary function of the manuscript library is to serve scholarship."\(^\text{10}\) How this function is interpreted operationally for any given library depends upon many variables. Some such institutions are independent organizations, founded and managed especially to support particular scholarly interests and given their initial orientation by the circumstances of their founding. Examples of this type are the Henry E. Huntington Library of San Marino, California, and the William C. Clements Library of Ann Arbor, Michigan. Other manuscript libraries function as subdivisions of general public or academic libraries, or of historical societies. Direction to their programs may be given by accident, careful planning, or some combination of both. Ideally, the processes of collecting, arranging, and servicing materials should be supportive of a central theme, or a number of related themes, and lead to the growth of a coherent body of documentation relating to a subject, or subjects, worthy of serious scholarly attention.\(^\text{11}\)

Unlike an archival agency, a manuscript library is unfettered with respect to the source of its holdings. Its scope

\[\ldots\] may be drastically limited geographically, chronologically, or in some other way, but it will rarely consist


\(^{11}\)Ibid., pp. 25-38
of the papers of a single institution. 12

... True a manuscript library can contain archives. Usually they will be of a non-ongoing body or placed there on deposit (rather than given) by some organization which does not have facilities for taking care of them itself. But these archival records are housed in a manuscript library only incidentally. They will form only a part of its total holdings. 13

Because a manuscript library exists to serve scholars and students, it can devise its techniques to serve their purposes exclusively. 14 As Schellenberg has demonstrated, the archival techniques for arranging and describing records frequently can be applied successfully to manuscript materials, 15 but the manuscript library need not become involved in the full range of archival operations in order to fulfill its scholarly mission.

Archives Administration

An archive has been identified as the tangible end product accruing when archival technology is applied to an appropriate body of records. An archive is an accretion, rather than a "collection," of older records built up during the course of an organization's daily activities; and, its content is determined by a process of elimination in which materials judged of transitory value are

12 Ibid., p. 7.
13 Ibid., p. 6.
14 Ibid., p. 7.
15 Schellenberg, The Management of Archives.
destroyed and those of enduring value are preserved. Archives administration consists of managing this process.

The primary value of an archive lies in the evidence it provides about the structure, functioning, and activities of its parent organization, over a period of time; its secondary value, if any, rests upon the information it contains about persons, problems, conditions, and events with which the organization dealt. The immediate orientation of an archival system is administrative, but the nature of the materials with which it deals gives it also a strong historical orientation.

Evidence which an archival system attempts to secure is contained in the official records of its parent organization; other sources of material are secondary and may be ignored completely without violating the integrity of the system. Desirable evidence is reflected partly in the substance of records, and partly in the arrangement imposed upon them during their accumulation in the offices of origin. Archives administration, therefore, requires an interest and an understanding of the administrative processes that create records.

Archives administration overlaps both records management and manuscript librarianship at certain points, yet it has a central thrust of its own. In preceding chapters, authoritative professional opinions were analyzed to identify and to describe the elements and the basic relationships necessary in a functional archival system. These now may be summarized and stated as guidelines indicating the technical dimensions of a complete system.
Essential Elements and Relationships: a Model

Earlier in this study, a system was defined as

... a bounded collection of interdependent parts, devoted to the accomplishment of some goal or goals, with the parts maintained in a steady state in relation to each other and the environment by means of (1) standard modes of operation, and (2) feedback from the environment about the consequences of system actions.¹⁶

This definition provides seven reference points for the construction of an archival system model.

1. Parts of the system

An archival system is a bounded collection of interdependent parts that must include:

1. The non-current official records of an organization.

2. A specific set of functionally-related operations, based upon specialized techniques, for: (1) providing reference service; (2) controlling the disposition of official non-current records; (3) preserving records of permanent value; and (4) preparing such records for service.

3. Knowledge and skills to carry out these operations effectively. And,

4. Physical facilities to implement the execution of the required operations.

2. Goals of the system

The mission of any archival system is to provide access to documentary evidence of the past. In pursuit of this general mission,

¹⁶Supra, p. 21.
each archival system aims to achieve a combinations of the following four goals:

1. The provision of information useful to members of the parent organization for administrative purposes.

2. The preservation of those official non-current records that are of historical significance to the organization or to a wider scholarly community.

3. The protection of the privacy, and the rights and privileges, of the organization and of persons associated with it, to the extent these matters are reflected in the non-current official records.

4. The promotion of efficiency and economy in handling of organizational records.

3. Steady state among parts of the system

An acceptable steady state among the parts of the system may be considered to exist only when:

1. Clear distinctions are kept between "official" and "non-official" records.

2. Clear distinctions are kept between "current" and "non-current" records.

3. Archival operations are performed in logical sequence.

4. The full set of operations is repeated in logical sequence as additional materials accumulate in the parent organization.

5. The continuity of the system is not threatened or disrupted. And,

6. Arrangement and description practices cumulate in finding aids of ever-increasing utility.
4. Standard modes for achieving internal steady state

The parts of an archival system are maintained in an acceptable steady state by:

1. Detailing the mission of the system into specific operational and support requirements.
2. Delineating both operational and support requirements in terms of specific goals, objectives, and standards.
3. Applying appropriate knowledge and technical skills to the achievement of goals, objectives, and standards.

And,

4. Scheduling operations with relation to one another.

5. Steady state between system and environment

An archival system may be considered to be in an acceptable steady state with relation to its environment only when:

1. The functions to be fulfilled by the archival system are understood and accepted by members of the parent organization.
2. Priority is given to archival functions proper, over other related activities (i.e. collecting, preserving, and servicing secondary sources materials and non-official records and private papers.)
3. Priority is given to the needs of the parent organization over the interests of private individuals engaged in research. And,
4. Sufficient resources are allocated to permit the continued operation of the system.
6. Standard modes for achieving system-environment steady state

Standard modes for achieving an acceptable steady state between an archival system and its environment include:

1. Acceptance by the parent organization of: (1) ownership of records accumulated on its behalf; (2) responsibility for the disposition or preservation of its records; and (3) accountability for its records.

2. An authoritative statement from the central administration clearly defining the functions of the archival system and the scope of its activities.

3. A defined status for the system within the structure of the organization.

4. The allocation of sufficient authority to the archivist to enable him to maintain the system in operating order. And,

5. Mechanisms for adjusting the archival system to its environment as circumstances change, without disrupting the system. These may include: (1) a policy-making body representing the varied interests of the organization in its older records; (2) a separate budget for the system; and (3) provisions for defense of the system budget before the responsible budgeting authorities.

7. Feedback from the environment

Feedback of information from the environment about the consequences of system actions is provided:

1. At the point of reference service.

2. By way of the archival committee or board.

3. Through direct personal contacts between the archivist and other members of the organization. And,

4. Through the process of preparing and defending the budget for the archival system.
Summary

The model presented above defines a functional archival system in the narrowest technical sense. As given, it is unpopulated and stripped of all subtleties; the same configuration of elements and relationships is necessary to the existence of a functional archival system, regardless of the size of its staff or its holdings. It is also a concise summary of the preceding analysis of authoritative archival opinion. The conclusions that can be drawn from this model concerning the nature of archival technology are presented in Chapter XII, in conjunction with conclusions drawn from Study II, which follows.
PART II. RECORDS RETENTION IN A TYPICAL COLLEGE

It seems that institutions have no memory analogous to the memory of individuals. Thus, not only is their potential for change severely limited but also they are difficult subjects for research.¹

The only historical remains in the United States are the newspapers; but if a number be wanting, the chain of time is broken, and the present is severed from the past. No one cares for what occurred before his time. No methodical system is pursued; no archives are formed; and no documents are brought together when it would be very easy to do so. Where they do exist, little store is set upon them.²


CHAPTER VIII

ANTIOCH COLLEGE: A PROFILE

The nature of archival technology was analyzed in the preceding study to determine what special contribution it offers to the solution of records handling problems. The present case study of a typical small college seeks to determine whether such an institution does experience the types of records handling problems to which archival technology is relevant.

A case study, while of limited value in drawing valid generalizations, can serve as a useful device for exploring the status of a doubtful situation. In this instance, it is employed to evaluate the claim of the archival profession that archival technology is relevant to the needs of the small college. To the extent that the institution selected for investigation is typical, the study may indicate what types and volumes of older records accumulate in small colleges, why records accumulate, and the nature of the institutional response to their accumulation. This chapter assesses the typicality of Antioch College.

In one sense, there is no "typical" small undergraduate college, for each institution is the unique product of some combination of circumstances and opportunities that governs its goals, objectives, and standards. On the other hand, observable uniformities validate
the notion that such institutions do constitute a distinct class. One comparative study of sixty "privately supported liberal arts institutions," for example, supports the contention that "approximately 50 per cent of the operations of any college are routine, and thus subject to direct comparison without regard to academic individuality."¹ The nature of an organization's records handling problems are determined by its primary mission, its legal form and administrative structure, its size, its resources, its history, and its relationships with other institutions. Along these dimensions, Antioch College may be considered typical of a relatively large, though undetermined, number of other small, independent, privately supported, liberal arts colleges.

General Characteristics of the
Typical Small College

The general characteristics of the typical small college have been sketched by Brown and Mayhew. Privately controlled and operated by an independent board of trustees under a charter issued by the state in which it is located, the liberal arts college enrolls between 100 and 2,000 undergraduate students on a residential campus, usually in a town or small city. It seeks to achieve a limited number of

goals, chief of which is to provide a broad liberal education based on the study of the arts and sciences, requiring depth of comprehension in one academic field, and culminating in the award of a bachelor's degree. Other goals may include the education of certified teachers, preprofessional study, and preparation for graduate study in the arts and sciences. The college may be, or once may have been, directly related to a religious denomination, and its small size is regarded an asset, permitting intimate confrontations between students and faculty. Supported chiefly by tuition fees, private benefactions, endowment earnings, and the income from residence and dining halls, the institution struggles to devise a program that will attract adequate financial support, a competent faculty, and a talented group of students.\(^2\)

Structurally, the small college is organized to include three administrative echelons: the board of trustees; the president and four or five major officers who report directly to him; and a staff of subordinate officials. Each major officer (usually titled, "dean," or "vice-president") is responsible for a broad organizational function; areas of responsibility may be defined differently from campus to campus, but four are commonly recognized: academic affairs,
student affairs, business, and institutional development. The subordinate staff may include officers directly responsible for registration, the library, housing, athletics, student loans, the student union, fellowships and/or scholarships, counseling and advising, extension service, and institutional research. Since many colleges are unable to staff each function separately, two or more functions may be assigned to a single administrator. The faculty, under the chief officer for academic affairs, is usually divided into departments along academic lines, rather than into "schools - the structure characteristic of the universities."

Antioch College: General Characteristics

The general characteristics of Antioch College closely follow the pattern of the typical liberal arts college outlined in the preceding section. Antioch College is an independent, nonsectarian, coeducational college of the arts and sciences, governed by a board of trustees. It enrolls approximately 1,800 undergraduate students,


4 Ibid., pp. 84-91.


and a small number of graduate students in college-conducted National Science Foundation summer institutes and the Antioch-Putney Graduate School of Education. The faculty consists of approximately 115 members, more than half of whom hold doctoral degrees, and programs leading to the B.S. or B.A. degree are offered in 19 academic departments.

The college is not among the substantially endowed colleges of this country, and relies heavily upon tuition fees to support its program. It has only 9,000 living alumni.

The campus, located in Yellow Springs, Ohio, a town of fewer than 5,000 persons, covers one hundred acres and contains 35 buildings. Glen Helen, a one thousand acre nature preserve adjacent to the campus, is owned by the College and used for instructional and recreational purposes. Two major research organizations, the Fels Research Institute and the Charles F. Kettering Laboratory, are situated near the campus, and members of the research staffs are accorded faculty status by the College and teach occasional courses.

7Antioch College Bulletin, Catalog for 1966-67, p. 50. "The Antioch-Putney Graduate School of Education . . . is conducted at Antioch in Ohio, and at the Putney Center . . . in southeastern Vermont;" the enrollment, in 1966, was 36 graduate students. The National Science Foundation summer institute program is limited to about 70 graduate students each summer.

8The total book value of the physical plant in 1965, was $7,070,000; total current income for 1962-63, was $1,186,936, and the total book value of its endowment assets was $5,165,871.

Purpose and style

Antioch's general statement of purpose is typical: "[The College] has as its primary mission the education of talented undergraduates, and as corollary missions the advancement of knowledge and public service." More specifically, its purpose "is to cultivate the intellectual, appreciate the beautiful, and manage the emotional so that individuals learn patterns of behavior that will reward them by personal fulfillment and that will further a society of justice and moral order." 11

In pursuit of these goals, the College employs many methods common to its class. These include: a well-balanced curriculum in the sciences and humanities; a stress upon fundamentals rather than narrow specialization; the encouragement of early independence in academic enterprise; the undertaking of selected public service activities; and, the fostering of research in the sciences. 12 At the same time, it employs other approaches that contribute to the definition of its unique institutional personality: a work-study program required of all students during every year of their undergraduate careers, and which lengthens the program to five years; continual and systematic revision of the curriculum, improvement of teaching-learning

10Ibid., p. 5.


methods, and encouragement of innovation in education; participation in the Great Lakes Colleges Association and other cooperative undertakings; and a number of special programs designed to enrich the undergraduate experience.\textsuperscript{13}

Internal structure

In its outline, the formal administrative structure of Antioch follows the pattern typical of small liberal arts colleges. The College is incorporated under a charter issued by the State of Ohio which reads: "All of the rights and powers of the corporation and the entire control and management of its College, property and affairs shall be vested in and exercised by a Board of Trustees composed of twenty-eight (28) persons."\textsuperscript{14} "The charge and general management of the said College," in turn, are delegated to a President, "the chief executive officer of such corporation and of the College."\textsuperscript{15} The charter specifies two additional features of the internal structure of the College, the first of which is not typical:

There shall be an Administrative Council of Antioch College which shall be composed of not more than eight members of the faculty and student body in addition to the President and the Dean of the Faculty, both of whom shall be ex-officio voting members. . . .\textsuperscript{16}

\textsuperscript{13} Ibid.

\textsuperscript{14} "Amended Articles of Incorporation of Antioch College, Yellow Springs, Ohio. Effective: June 18, 1965," Article III, a.

\textsuperscript{15} Ibid., Article V, a.

\textsuperscript{16} Ibid., Article VII.
The second provision, however, is typical:

The Board of Trustees may appoint such other officers for the management of the affairs of the Corporation, and for conducting and governing the said College as they shall consider necessary or expedient; and may prescribe the duties of all such officers. They shall hold office at the pleasure of the Board.17

And in implementing this mandate, the Board has followed a pattern commonly found among American colleges. Three major officers, reporting directly to the President, are responsible for the internal administration of the College - the Vice-President for Finance, Management and Planning; the Dean of the Faculty; and the Dean of Students - each of whom is assisted by a number of subordinate officers. Two additional officers of major rank, the Academic Vice-President and the Director of Public Relations and Development, are responsible primarily for external relations of the institution. The formal administrative structure of Antioch is illustrated in Figure 2, following.18

Historical background

Perhaps in no other particular is Antioch College more typical of the small American liberal arts college than in the broader aspects of its history. The natural tendency to recall and to perpetuate the

17Ibid., Article V, e.

18The diagram presented in Figure 2, was prepared expressly for this study and incorporates one feature that would not be given prominence under other circumstances; this is the inclusion of the box labelled, "Morgan Papers," which does not represent an "office" in the same sense that other boxes in the figure do.
Fig. 2.—Antioch College: Table of Organization
memory of unique events and strong personalities obscures the fact that Antioch's history is essentially a record of religious controversy, financial difficulties, and the search for purpose in a rapidly changing society, themes common in the histories of many similar institutions.

Chartered May 14, 1852, under the sponsorship of the Christian Connexion with the moral and financial support of individuals influential in the Unitarian movement, Antioch is one of 155 "permanent" colleges founded in the United States by religious denominations prior to the Civil War. The most auspicious aspect of its founding, perhaps, was the acceptance of the presidency by Horace Mann, internationally-known educator and statesman from the State of Massachusetts.

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19 The written history of Antioch College is fragmentary, and the more comprehensive attempts to tell the story of its past remain unpublished. A number of essays written by Robert L. Straker (Class of 1925), and later collected and edited by Professor Louis Filler under the title, Horace Mann and Others; Chapters from the History of Antioch College (Yellow Springs, Ohio: The Antioch Press, 1963), is the most authoritative and most readily available treatment. Two more comprehensive histories of lesser quality are: Harvard Forrest Vallance, "A History of Antioch College" (unpublished doctoral dissertation, The Ohio State University, 1936) and Stephen F. Weston, "History of Antioch College," (unpublished manuscript, undated); Mr. Weston died in March, 1935.

20 Articles of Incorporation of Antioch College, Located at Yellow Springs, in the County of Greene, and State of Ohio (May 14, 1852). Mimeographed copy in my files.

21 Donald G. Tewksbury, The Founding of American Colleges and Universities Before the Civil War, with Particular Reference to the Religious Influences Bearing Upon the College Movement (Teachers College, Columbia University, Contributions to Education, no. 513; New York: Teachers College, Columbia University, 1932), p. 90.
It is strange that Mann should have even considered accepting the Antioch offer. His fame as an educator was world-wide, and his published works were known in most European countries. For his rehabilitation of the common schools of Massachusetts he had received the honorary degree of Doctor of Laws from Harvard (1849) and from Brown, his alma mater. That the Antioch Committee on the Faculty felt enough assurance to offer the presidency to the leading American educator showed supreme confidence in dreams and a total lack of apprehension of what was to follow.\textsuperscript{22}

Mann served only six years - until his death on August 2, 1859 - but he charted a course that influenced the development of the institution for more than half a century.

The founders of the college had declared for coeducation, and it was tacitly agreed that the new institution should also be nonsectarian. In addition, Mann insisted that the moral tone should be the highest, declaring that knowledge should never be wedded to iniquity, and refusing to grant a diploma to anyone on whose character there was the slightest smirch. He opposed emulation and the awarding of prizes, urging that competition should take the form of self-improvement and that education in itself should be worthy as the highest goal. He favored the admission of Negroes and stood firm when the president of the Board of Trustees, Judge Aaron Harlan, resigned in protest at the admission of the first Negro. He believed that the health of the body was equal in importance with mental and moral health and sought to stamp out bad habits. He planned the curriculum after that of Harvard and maintained a high academic standard.\textsuperscript{23}

The financial position of the College was precarious from the start, but only gradually did the full seriousness of the situation become evident. By 1858, the institution was bankrupt, and "on April 19, 1859, the property was bought at public auction in Cincinnati for Francis A. Palmer of New York City, long a friend of the

\textsuperscript{22}Robert Lincoln Straker, Horace Mann and Others; Chapters from the History of Antioch College (Yellow Springs, Ohio: The Antioch Press, 1963), p. 36.

\textsuperscript{23}\textit{Ibid.}, p. 37.
The subsequent rechartering altered the government of the institution by giving both the Christians and the Unitarians a legal share in its management, thereby laying the groundwork for a denominational struggle that continued into the Twentieth Century.

Antioch compiled a record of respectable academic achievement, but its administrative history from 1859 until about 1919 is a story of struggles to avert financial disaster and of contention between Christians and Unitarians. Upon the death of Horace Mann, the Reverend Thomas Hill, pastor of the Unitarian Church of Waltham, Massachusetts, was elected to the presidency and served until his resignation in 1863, to become the President of Harvard College. The succession of presidents that followed Dr. Hill included some leaders of major stature, including Edward Orton, later the first president of the Ohio State University, and S. C. Derby, later a professor, dean, and librarian at the Ohio State University. The going was extremely difficult, however; Antioch closed its doors in 1864-65, when the student body was depleted by enlistments for service in the Civil War, and again in 1881-82, for lack of sufficient funds.

24 Ibid., p. 41.


27 The survival of Antioch into the Twentieth Century seems truly remarkable; the mortality rate for such institutions was 80 per cent for the country as a whole, and 60 per cent for the State of Ohio. (Tewksbury, op. cit., p. 28.)
From 1906 to 1917, the College enjoyed moderate growth and relative prosperity, unhampered by religious contention, under the leadership of President Simeon D. Fess; but with his resignation in 1917, and the direct involvement of the United States in the European War, the College faced a major crisis. The enrollment declined precipitously from 2,460 to 97 students, and by 1919 it appeared that the capacity of the institution to survive had been exhausted. New vitality, however, was introduced by an unexpected series of events which, because they bear directly upon the records handling problems currently facing the College, require extended discussion.

On July 6, 1920, Arthur E. Morgan, an engineer and a recently-appointed member of the Board of Trustees, was elected unanimously President of Antioch. Mr. Morgan had not associated himself with the institution to rescue it from oblivion; he had been appointed to the Board by Unitarian interests, the previous year, to protect their property claims in the event the College were sold in bankruptcy. Mr. Morgan, who for a number of years had been formulating plans to found a college of his own and who had won recognition and practical experience by successfully establishing a private school in Dayton, Ohio, possibly knew very little about Antioch's past. Lacking previous ties with the institution, he had no basis for loyalty to it; but, neither was he content to serve his time and await its

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29 Interview with Arthur E. Morgan, February 16, 1962.
demise. Rather, he responded to his appointment by offering plans for the rehabilitation of Antioch which, being acceptable to the Board, led to his election as President.30

Between July 1920 and September 1921, President Morgan elaborated his conception of a college, mounted a nation-wide promotional campaign, recruited both a faculty and a carefully selected group of 203 students, renovated the physical plant, and master-minded the reorganization of the Board of Trustees.31

In a real sense, Arthur Morgan did not "revive" Antioch College; he built a "New Antioch" on the site and from the remnants of the old. Its immediate past, apparently, had little to contribute to its future. Mr. Morgan has no recollection of receiving any significant number of official records from his immediate predecessor, Mr. William M. Dawson; but he does recall going into the attic of the Administration Building upon one occasion and finding, heaped in the center of the floor, a huge and disorderly pile of records that included both documents and books. What eventually became of these materials is not entirely clear.32 As the new program developed, however, links with the past were re-established and refurbished.

30Lucy Griscom Morgan, Finding His World; the Story of Arthur E. Morgan (2d ed.; Yellow Springs, Ohio: Kahoe & Co., 1928), pp. 94-100. Mrs. Morgan quotes Arthur Morgan as saying, upon seeing the College for the first time: "I believe it is near enough dead to start over in the form I dream of."


32Interview with Arthur E. Morgan, December 19, 1966.
Summary

Antioch College is typical of a relatively large, though undetermined, number of small, privately supported liberal arts colleges, along those dimensions that have a significant bearing upon records handling problems. These dimensions include: its primary mission, legal form, administrative structure, size, limited financial resources, and its independent stance in the competition for a distinguished faculty and a talented group of students. Its history, though unique, covers a time-span shared by many similar colleges and reflects the influence of factors that bore upon all alike. That the institution and its program include some aspects that "set it apart" and contribute to the definition of its personality also may be considered typical, for each independent college must justify its continuing existence by offering a program perceived as "best" by a significant segment of society. Because Antioch is typical, a case study of its records handling policies and practices may contribute to the knowledge of the types and volumes of older records that accumulate in small colleges, why such institutions accumulate older records, and how such institutions respond to the accumulation of older records.
CHAPTER IX

ANTIOCH COLLEGE: ITS FORMAL
RECORDS RETENTION AGENCIES

The Central File and the Antiochiana Collection at Antioch College are formally acknowledged as agencies charged with responsibilities for preserving older records; and a third, the Business Office, is generally known to be the repository for a limited number of older documents. Therefore, the search for evidence of the types and volumes of older records that have accumulated, the reasons for their accumulation, and the nature of the institution's response to their accumulation, began with the investigation of these three offices. Each is described in terms of its present facilities, holdings, and functions, its origin and development, and its present status as a records retention agency, based upon information gathered by direct observation, interviews, and reference to pertinent records and publications.

The Central File

The Central File is a subdivision of the Office for Administrative Services, the agency of the College responsible for the recruiting, screening, and placement of all clerical personnel, in addition to providing other services to offices of the College. As
such, the Central File comes within the general jurisdiction of the
Vice-President for Finance, Management and Planning.

Present facilities, holdings, and functions

The Central File consists of two major deposits of records,
one retained in the Office for Administrative Services, the other
within the general confines of the Mail Room which doubles as the
sorting and distribution point for faculty mail and office supplies.
Both rooms are on the basement level of the administration building,
separated by a distance of approximately one hundred and fifty feet.
Significantly, the deposit housed within the Mail Room area is
known, informally, as the "morgue," or "dead storage."

Those records stored in the Office for Administrative Services
include a small group of documents pertaining to the faculty (two
file drawers), correspondence forwarded from other offices (about
ten linear feet), syllabi for a number of years (approximately six
linear feet), and the "active" portion of the Alumni File which
occupies approximately 1 linear feet of shelving, covering an esti-
mated one-third of the floor space in the office.

The "morgue" is a room approximately fifteen feet square, with
a ceiling height of nine and one-half feet, opening off the rear of
the Mail Room. It has no door - access being controlled through the
Mail Room - and the floor area immediately outside is used for the
storage of bulk office supplies and large quantities of financial
records stored there by the Bursar. The room is equipped with steel
filing cabinets, stacked two units high on wooden frames, thereby
doubling the floor capacity. The topmost drawers are approximately eight feet above floor level, immediately beneath the ceiling, and are accessible only with the aid of a ladder. A few cabinets sit directly on the concrete floor.

Records in the "morgue" consist of 188 file drawers of "inactive" Alumni File folders, four drawers of "general correspondence," three drawers of material labelled, "Former Faculty and Non-Faculty," 16 drawers of what appear to be departmental records, exclusive of correspondence, and one special cabinet containing reels of microfilmed documents.

The "morgue" is seriously deficient for the storage of permanently valuable records, although it was designed expressly for this purpose when the administration building was remodelled about ten years ago. Loose rust deposits on cabinet drawers nearest the floor indicate the presence of excessive moisture. Steam pipes cross the room directly over the cabinets. Some drawers do not close tightly, and dust and grime have accumulated on the exposed papers. Termites have invaded the room on at least one occasion,¹ and the storage of combustibles immediately outside the room constitutes a fire hazard.

The principal function of the Central File appears to be the servicing of alumni records, which are collected from various offices and organized by the Secretary for Appointments and Recommendations in the Dean of Students Office prior to their incorporation into the

¹Interview with Charles Closz, Bursar, March 1, 1967.
Alumni File. Other services include the receipt and storage of miscellaneous records from other offices, and the retrieval of such records upon request.

Origin and development

The Central File originated in the early 1920's, during the reorganization of the College under President Arthur E. Morgan. At that time, the top administrative echelon consisted of the President, a Dean, and an Assistant to the President, supported by a small faculty, many of whom carried other duties in addition to teaching. All offices, administrative and faculty alike, were clustered on one floor of the administration building, an antiquated, roomy, four-story building dating from 1853. Because the new program was daring in conception, untested in practice, and impossible to implement in its entirety immediately, decision-making was concentrated largely in the President; during the first two years of the reorganization, Dr. Morgan read every business letter mailed from the College. The keeping of official records, consequently, centered in the Office of the President. Expansion of the program, however, induced changes in this arrangement.

\(^2\)Interview with Mrs. Dilsey Brewer, Secretary for Appointments and Recommendations, May 18, 1967.

\(^3\)Interview with Arthur E. Morgan, December 18, 1966; also, Antioch College Bulletin, Catalogue, 1921-1922, pp. 8-11.

\(^4\)Interview with Arthur E. Morgan, ibid.
As details of the new program were clarified and tested, the autonomy of the Dean increased significantly. With the development of a functional division of authority and responsibility between the two major officers, it became necessary that both have access to the same official records, and the records keeping function was assigned to the Dean's secretary. This function grew in importance and, three or four years later, Algo D. Henderson, then Business Officer and later President of the College, expanded the responsibilities originally assigned to the Dean's secretary by formally establishing the Central File, a centrally located facility for servicing all College correspondence and all student records. All offices of the College were required to forward copies of correspondence, immediately, to Central File for storage and service; and both the cumulative academic record and a folder of other relevant information for each student was maintained in this office. The establishment of the Central File, apparently, was motivated by the need for administrative efficiency and economy in the use of limited institutional resources, particularly personnel. Service was oriented to support the immediate, on-going administrative process.5

Evidence that the accumulation of "inactive" records was unanticipated, or at least unplanned for, is provided by the fact

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5Interview on April 17, 1967, with Miss Esther Oldt, faculty member and administrator since 1928; interview on April 27, 1967, with W. Boyd Alexander, Dean, Vice-President, and twice Acting President between 1929 and 1961; and interview on April 27, 1967, with Miss Miriam Dickinson, now Registrar but formerly File Clerk and Office Manager.
the present Registrar joined the College in 1929, to complete the "re-filing" of Central File materials, a task previously begun by the Office Manager. She found that records relating to the reorganization of the College had been relegated to boxes in the basement of the administration building, and part of her job was to transfer them to filing cabinets and to assist in establishing procedures for weeding the current files and retiring inactive records to storage.  

By the late 1940's, the volume of non-current records in storage had increased to burdensome proportions, and the Administrative Dean (a position embracing functions that now are shared by the Vice-President for Finance, Management and Planning and the Dean of the Faculty) authorized a program to microfilm non-current correspondence. Between 1949 and 1952, College personnel using rented equipment microfilmed all inactive correspondence judged to be of enduring value. Criteria for making this judgment were established by consultation between the director of the microfilming project and the senior administrative officers. Several lists of instructions were compiled during the process, none of which survives. Two

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6Interview with Miss Dickinson, ibid.

7Mrs. Martha Bryson, Officer Manager from 1948/49 to 1956/57, and directly responsible for the microfilming project, recalls that inactive records at that time occupied about 80 metal filing cabinets. Interview, March 3, 1967.

8Interview with Mr. Alexander, op. cit.

9Interview with Mrs. Bryson, op. cit.
copies of the film were produced, one intended for storage outside the administration building as a measure of security against loss.\textsuperscript{10} Plans for continuing the project at five-year intervals were proposed, but there is no evidence that this proposal was ever implemented.\textsuperscript{11}

The functions of the Central File were completely revised following the completion of the microfilming project, as is reflected in a memorandum issued by the Business Officer in 1952:

1. The responsibility for determining the ultimate use of any paper rests with the originator or the recipient. Material which is of current value only—that is, correspondence relating to transactions which when completed are of no further interest—should be kept in the originating office and destroyed. The foregoing does not apply to matters of inter-office interest. Such papers should be sent to Central Files immediately.

2. Material which has temporary reference value up to five years should be sent to Central Files.

3. Material which has permanent record value should be marked "P" and sent to Central Files.

4. All material filed as per 2 and 3 above will be kept in Central Files for five years. At the end of this time, temporary material will be destroyed. Permanent material will be microfilmed and destroyed.\textsuperscript{12}

A protest against the dispersal of responsibility for determining the "ultimate" value of any given document was made by the Office Manager, who pointed out that unmanageable uncertainties

\textsuperscript{10}A recent search led to the discovery that both copies of the microfilm are now stored in the same cabinet in the Central File.

\textsuperscript{11}Interview with Mrs. Bryson, \textit{op. cit.}; and interview with Morton Rauh, Vice-President for Finance, Management and Planning, March 2, 1967.

\textsuperscript{12}"Filing memo No. 1, GENERAL CORRESPONDENCE, May 27, 1952," quoted here in full.
would be introduced into the filing system by the adoption of the
measures set forth in the memorandum. The protest apparently was
ignored, and the role of the Central File as a coordinating agency for
the management of older correspondence came to an end. Also at some
time prior to 1952, the Central File's function of coordinating the
handling of student records had been terminated by the transfer of
active records to the Registrar's Office, leaving Central File
responsible only for file folders pertaining to graduates and former
students who had withdrawn.

Present status

The Central File, at present, is considered a minor responsi-
bility of the Office for Administrative Services and functions
primarily as the repository for alumni records. The initiative for
controlling official correspondence and other types of records has
been shifted to the individual administrative offices, several of
which continue to forward single items, piecemeal, to the Central
File for retention.

Except for the Alumni File which is carefully indexed, access
to records stored in the Central File is discouraged by several
factors: the isolation of a major portion of the holdings from the
point of service; the internal arrangement of the correspondence file
which makes recovery of specific documents difficult; and the lack of

13Interview of March 2, 1967, with Morton Rauh, Vice-President
for Finance, Planning and Management; and interview of March 7, 1967,
with J. Peter Anderson, Director of Administrative Services.
an inventory showing what groups of records are on hand. Service is provided by two secretaries, each of whom devotes only a small fraction of her time to Central File matters.

The future role of the Central File is uncertain, and there is no evidence of planning for change.

The Antiochiana Collection

The Antiochiana Collection is a subdivision of the College Library, coming within the general jurisdiction of the Dean of the Faculty. It has been described as "... a separate, non-circulating collection of material [that] reflects the history of the College from its beginnings. Though it has certain attributes of a museum, it is primarily a working library."

Present facilities, holdings, and functions

The Antiochiana Collection occupies about 945 square feet, provided expressly for this purpose, in the library building which was constructed in 1953-55. This space is divided into a small office and a large room designed for both storage and study; the latter is equipped with shelving, file cabinets, and a display area, and is furnished partly with antique furniture once owned by Horace Mann. Additional storage space for the Antiochiana Collection is made available elsewhere in the building.

14Antioch College Library, "This Is Your Library, 1967-1968," p. 27.
Materials housed in the Antiochiana Collection consist of approximately 4,655 bound volumes divided into several discrete collections, and a voluminous collection of unbound items. The bound materials include two shelves of ledgers, account books, minute books, and similar items that constitute the College archive to about the year 1900. Unbound materials include newspaper clippings, manuscripts, photographs and pictures, reprints, mimeographed items, photocopies, and pamphlets.

The organization and arrangement of unbound materials are governed chiefly by a consideration for subject content, and items are grouped into file folders for storage in metal file cabinets or boxes. This has resulted, in some instances, in the grouping of diverse types of material in the same folder, such as original manuscripts mingled with newspaper clippings. A limited amount of material, including a collection of Horace Mann manuscripts, has been assigned to a fire resistive cabinet for safekeeping; a small group of audio-tapes, phonodiscs, motion pictures films, video-tapes, and photographic slides are stored on special shelving; and several drawers of official records are retained in their original order in file drawers or boxes.

The Antiochiana Collection functions primarily as the information center for the history of the College and the surrounding

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15 Another collection consists of books dealing with the social role of women; another with Ohio history; and another, known as the "old library," consists of approximately 1,470 old volumes withdrawn from the regular library collection and retained, because they were part of the library before 1920.
community. Service is provided every weekday afternoon to other offices of the College, students, and townspeople, by two part-time curators. Antiochiana also functions as the repository of specimen copies of printed publications, and near-print items, issued by the College; these, for the most part, are routinely forwarded by the issuing agencies. Other types of material, however, are collected through the initiative of the curators or, as frequently happens, are forwarded to the Collection without any indication of source or value.

Access to materials in the Antiochiana Collection is restricted by the nature of the materials and by the absence of general guides or indexes. The most reliable guide to the contents is the personal memories of the curators.

Origin and development

The Antiochiana Collection began informally with the personal interest of Miss Bessie L. Totten, and was later developed through the support of others, including Robert L. Straker and W. Boyd Alexander.

Miss Bessie Ladley Totten, granddaughter of the Reverend Derostus F. Ladley, trustee and signer of the original Articles of Incorporation, served on the Antioch College faculty longer than any other member. Having entered the College preparatory school in 1892, she was graduated from the College in 1900, whereupon she accepted a position on the library staff. From that point until her death in
1963, Miss Totten collected, preserved, and interpreted whatever records or printed materials about Antioch she could obtain. The resources at her disposal - time, money, and space - were necessarily limited, and the task was not officially considered of primary importance by the College, but she cultivated the Collection with unparalleled devotion. Support for her efforts was provided by W. Boyd Alexander, then Dean of the Faculty, who affirmed the significance of the undertaking by giving administrative support, and by Robert L. Straker, an alumnus, who collected materials during his business travels.

The character of the Antiochiana Collection was crystallized by events related to Miss Totten's formal retirement from the faculty in 1941; at that time, she was officially appointed Curator of the Antiochiana Collection, a position she held voluntarily and without remuneration for the remainder of her life. At commencement exercises in 1953, the College extended "official recognition of the work she

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16 Norma Bixler, "She Retrieves the Past," Antioch Alumni Bulletin, XXIV (September, 1953), p. 10. Miss Totten is quoted as saying: "I remember when I first went to work in the library. The Librarian showed me a shelf of books she had collected about Antioch and asked me to take particular care of them. I guess that's when my interest started."

17 It has been speculated that many of the now highly prized documents in the Collection were quietly "rescued" by Miss Totten from the attic of the administration building, during the period of reorganization in the 1920's.

18 Interviews with W. Boyd Alexander, April 27, 1967; and, with Paul H. Bixler, Librarian Emeritus, April 10, 1967.
had been doing unofficially for many years," by awarding her the honorary degree of Doctor of Humane Letters; and, in planning a new library building in 1953-55, the College provided ample quarters for the collection. As a net result, the Antiochiana Collection became a formally-acknowledged agency of the College, while retaining the qualities of an intimately personal enterprise sustained by Miss Totten's intelligent work and devotion.

The basic pattern of service, a personal one-to-one relationship between the Curator and the individual seeking information, evolved with the Collection. The lack of full-time service was offset by the irregularity of demands and the Curator's unfailing willingness to adjust her schedule to whatever requests were made. Strains upon this pattern became apparent, however, at the time the Collection was moved into new quarters in 1955. The History Department began to use local history materials systematically in an introductory course offered annually during the autumn quarter. Designed to exploit original source materials in order to lead students "to have a more sophisticated understanding of what historical facts represent and some appreciation of the intellectual adventure that has produced them," the course sometimes enrolled thirty-five or forty students. In anticipation of increasing demands for service and the inevitable decline of the Curator's physical

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19"Citation for Miss Bessie Ladley Totten," read by President Douglas McGregor, June 20, 1953.

stamina, two moves were made to relieve the strain. A professionally trained librarian was employed to assist in reorganizing the Collection during 1955/56; and later, a retired member of the faculty was employed to understudy and to assist the Curator. Neither move effected basic changes in techniques or services.

Present status

The Antiochiana Collection, at present, is a respected, but minor, division of the Library, and operates outside the mainstream of campus activities. Demands for systematic service to large numbers of students have decreased markedly since the introductory course based upon the use of local history materials was discontinued in 1963. Staffed by a retired faculty member who contributes much of her work-time, and one part-time assistant, the cost of the Collection to the College is minimal. Technically, the staff is limited to handling discrete items that can be identified by subject; it is not equipped to preserve and to service organized bodies of records accumulated by other offices in pursuit of various College business activities.21

The Business Office

The Business Office is under the direction of the Bursar who, in turn, reports directly to the Vice-President for Finance, Manage-

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21 The present study was conducted as unobtrusively as possible; nevertheless, it has stimulated a renewed interest in College records and has led some offices to forward their old records to Antiochiana.
ment and Planning. Its role as a records retention agency, apparently, is based on its possession of a large steel safe and upon its established reputation for accountability.

The Business Office, in addition to its own records, retains approximately two linear feet of documents, that are considered to be of unusual importance, in its steel safe. These documents, arranged in file folders and divided into seven categories, are indexed in a looseleaf notebook maintained by the Bursar. Each document has been described in sufficient detail to assure its positive identification and numbered to indicate its exact location in the files. Only those documents that were retained after a careful inventory and weeding of the files, about one year ago, are included in the index. Older records, judged by the Bursar and the Vice-President to have no further legal or financial implications, were withdrawn and destroyed.

The Bursar is also custodian of an inventory listing the contents of a safety deposit box at the local bank. Last inventoried in 1948, the box contains copies of deeds and contracts entered into by the College prior to that date. Similar records of more recent origin are stored in the safe; those in the deposit box, according to the Bursar, are no longer of any value.22

Summary

This part of the study has centered upon three offices of the College that are officially recognized as having some responsibilities

22All information concerning the Business Office was supplied by Charles Closz, Bursar, in interviews on March 1, 1967, and October 4, 1967.
for the preservation of older institutional records. Each has been examined to determine the nature of its present facilities, holdings, and functions, its origin and development, and its present status as a records retention agency. Since it is readily apparent that these offices account for only a portion of the older records accumulated by the College, and that their activities represent only part of the total institutional effort to control the accumulation of older records, conclusions are withheld pending investigation of the records retention activities of additional offices, and are reported in Chapter XI, "Antioch College: the Status Quo and the Morgan Papers."
CHAPTER X

ANTIOCH COLLEGE: RECORDS RETENTION
IN INDIVIDUAL OFFICES

Some evidence of the types and volumes of older records that have accumulated at Antioch College, the reasons for accumulation, and the nature of the institution's response to this accumulation, was provided by an investigation of the Central File, the Antiochiana Collection, and the Business Office. The search for further evidence was extended to a sampling of offices that are not generally supposed to have special responsibilities for the retention of non-current institutional records.

The sample consists of fourteen offices selected from the table of organization (Figure 2) to include some with general administrative functions, some with specialized administrative functions, and others with academic, research, and public service functions. For the purpose of reporting, these offices are arranged under five major headings - Office of the President; Office of the Dean of the Faculty; Office of the Vice-President for Finance, Management and Planning; student records; and Office for Public Relations and Development; other agencies are grouped under these headings according to the established lines of administrative responsibility.
Office of the President

Records keeping in the Office of the President is the responsibility of an Assistant to the President who also participates as recording secretary at meetings of the Board of Trustees, the Executive Committee of the Board, the Administrative Council, and other groups directly involving the President.

Facilities for records storage deliberately are limited by the Assistant, with the tacit approval of the President, to eight file drawers, of which seven and one-half are currently in use. Two drawers are allotted to general correspondence, one to faculty matters, one to the President's "public service" activities and College relations with the Great Lakes Colleges Association. The remaining four drawers contain: (1) official copies of minutes of meetings of the Board of Trustees, the Administrative Council, and the faculty; (2) correspondence with trustees and with committees of the Board of Trustees; (3) the President's copies of the annual budget from 1954 to date; and (4) a series of folders relating to matters of "campus concern," of a non-current nature.

General correspondence is winnowed regularly to restrict the volume to the two drawers allotted. "Useless" items are destroyed, and some judged by the Assistant to be of historical interest are sent to the Antiochiana Collection. Only occasional items are forwarded to

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1Interview with Miss Mildred Keenleyside, Assistant to the President, March 10, 1967. Miss Keenleyside has served in this capacity under Samuel B. Gould, 1954-1959, and James P. Dixon, since 1959.
the Central File for preservation. The President has instructed that records accumulating in connection with his public service activities be discarded upon the completion of each project, except for the initial letter of appointment and whatever document marks the termination of his involvement. The file pertaining to faculty is weeded, and selected items are forwarded to the Central File, whenever individuals retire or sever their connections with the College.

The President's Office refers occasionally to older files of records in the News Bureau and the Central File for information about former faculty members, trustees, and students. In turn, it receives requests for information concerning past events from other offices of the College and from students. The Assistant to the President is responsible for evaluating such requests and for exercising discretion in honoring them. The minutes of the Administrative Council, which are carefully and completely indexed by the Assistant, are consulted frequently.

The President's Office receives, but does not regularly retain, formal written reports from other offices of the College. The exchange of information among the major administrative officers is generally oral and informal.

Office of the Dean of Faculty

and Subordinate Units

Records handling policies and practices in the Office of the Dean of the Faculty were not explored exhaustively, because the office
is currently in a state of flux. Only those records housed in the Dean's private office were examined.\(^\text{2}\)

Facilities for records storage in the Dean's private office consist of five filing cabinets, providing approximately twenty-four linear feet of shelving, in which the following materials are kept:

"Current faculty" folders (6 linear feet)

Folders pertaining to each academic department and to each of the three general academic areas into which the departments are grouped (3 linear feet)

The records assembled by several review committees appointed, over a period of years, to review individual academic departments, the Library, the Antioch Review, and other organized activities of the College (1 1/2 linear feet)

Notebooks on "special projects" (2 linear feet)

Miscellaneous records: teaching notes, personal papers, etc., assembled by the present Dean (6 linear feet)

All records retained in this office, apparently, are considered to be currently useful.

The Dean personally maintains a record of personnel policy and selects material for his secretary to include in a "general policy notebook;" both are current records from which all amended or superseded materials are systematically removed.

The present Dean, serving on an interim basis, accepted the files as he found them; he has not disposed of older records, except for a small amount of material relating to faculty applications that he forwarded to the Central File for keeping. He reported he is

\(^2\) Information relating to the Dean of the Faculty's Office was provided by Albert B. Stewart, Dean, 1966/67; interviewed March 10, 1967.
sometimes frustrated in his efforts to retrieve information from the files, and attributes this difficulty largely to his short tenure in office and to his secretary's limited experience with these particular files.

The activities of the Dean of the Faculty's Office are not reported regularly in writing; but the Dean receives statistical reports from other offices, including those for Business and Admissions, which he reads and disposes of immediately, retaining only isolated items for future reference.

The Library

While each professional staff member of the Library accumulates some records relating to specialized functions, the Librarian's Office is the principal repository for official records of the Library. These, for the past twenty years, have been under the supervision of the same competent secretary.

Facilities for records storage consist of eighteen file drawers in the secretary's office, of which thirteen are currently in use. The contents are distributed as follows:

Current library records: correspondence, reports, job applications and ratings, etc. (2 file drawers)

"Library backfile:" correspondence, reports, etc., dating from the middle 1930's to about 1960 (3 file drawers)

"Bills paid:" a one or two year accumulation, kept temporarily for reference purposes (2 file drawers)

3Interview with Bruce Thomas, Librarian, April 2, 1967.
Reference materials for internal use: booklists, supply catalogs, building information, etc. (2 file drawers)

Correspondence of the Editorial Board of the Antioch Review, of which the former Librarian was Chairman from 1942 to 1958 (3 file drawers)

"American Library Association - Miscellaneous:" material assembled by the former Librarian in his capacity as editor of the A.L.A. Intellectual Freedom Newsletter (1 file drawer)

The files have been weeded periodically, over the years, by the secretary in consultation with the Librarian. "Useless" records have been discarded, and inactive records of possible future value have been kept in order, segregated from the active files, and retained in the Office.

Library activities have not been formally reported to the College administration on a regular basis, for the past several years; the Librarian, however, does submit formal reports dealing with specific matters to the Dean of the Faculty and to the President as the need arises. He also submits an annual statistical report to an outside agency (now the U. S. Office of Education) for inclusion in an annual compilation of library statistics. Internal reporting is limited to the monthly report of "accessions and withdrawals" from the Processing Office to the Librarian, and occasional statistical reports from the Public Services and Audio-Visual librarians.

The Librarian, from time to time, consults the non-current records of the Library, usually for statistical data; but he has had no occasion to seek information from the non-current files of other offices.
The Glen Helen Office

The Glen Helen Office is an agency for administering a one-thousand acre tract of farm and woodland belonging to the College. In addition, it maintains and operates Trailside Museum, an educational facility on the edge of the Glen, arranges and conducts a variety of nature study programs, and participates in conservation projects on the local, regional, and national levels. The Director and his Assistant, as members of the Biology Department, teach in the regular program of the College.

Responsibility for maintaining office records is assigned to a secretary who has been on the job approximately one year. Records are stored in twelve file drawers, one special cabinet designed for "flat" storage, one built-in cabinet, and about forty linear feet of open shelving. The contents are distributed as follows:

Glen Helen Office records: land and tax records, agreements with tenants, farm records, photographs, and historical documents relating to the Glen (6 file drawers)

Trailside Museum records (1 file drawer)

Records of the Glen Helen Association, a citizens' group voluntarily concerned with the protection and utilization of the Glen (2 file drawers)

Teaching materials: class notes, reports of National Science Foundation research projects, student reports, etc. (2 file drawers)

Materials relating to special projects involving the Glen, plus supporting reference materials (1 file drawer)

Assorted maps, drawings, and plans stored in the "flat" file and in the built-in cabinet.

Reference materials on all phases of conservation of natural resources: books, pamphlets, government documents, and published reports of various agencies (32 linear feet of open shelving).

The office, at the time of this interview, was under the management of the Assistant Director who, with the aid of the secretary, was weeding and reorganizing part of the correspondence. Special efforts were being made to identify and to preserve all documents reflecting policy decisions and illustrating the development of supporting practices. Some materials of "historical" value had been sent to the Antiochiana Collection, and "useless" materials were being destroyed. No materials had been forwarded to the Central File.

The Acting Director has made frequent use of older records to inform himself about the background and details of specific on-going projects involving the Office. He reported some difficulties in retrieving information from the files, but he does not consider this a major problem. In addition to his own records, he has referred to the Antiochiana Collection for background information, for student reports, and for National Science Foundation Institute theses.

The activities of the Glen Helen Office are reported formally in writing to the Administrative Council at irregular intervals, and copies are retained in the Glen Helen Office permanently.
Academic departments

Only two of the 20 academic departments of the College were selected for examination because the departments are small and much of their activity is reflected in records that accumulate elsewhere. The Chemistry Department was chosen, because it was known beforehand to possess some research records; the Biology Department, on the other hand, was chosen because it was presumed to be more typical of the academic departments, in so far as the accumulation of records is concerned.

The Chemistry Department.—Records of the Chemistry Department, at present, are scattered among the office of the departmental chairman, the office of Professor James Corwin, and some of the laboratories, while the office accommodations for the department are being remodelled. Eventually, all departmental records will be assembled in a central secretarial office adjoining the individual offices of the teaching staff.

Records housed in Professor Corwin's office were organized during the 1950's by an unusually competent secretary, and the basic pattern of organization has been maintained. The records are distributed as follows:

Professor Corwin's personal files: course notes, records of consulting assignments, reports and associated papers relating to research projects, etc. (10-12 linear feet)

5Interview with James Corwin, April 3, 1967. Professor Corwin, now Chairman of the Physical Sciences Division, was previously Chairman of the Chemistry Department for 12 years.
Bound copies of final reports submitted to the sponsoring agencies of long-range research projects: the Hydrothermal Research Project (6 volumes); the Photographic Research Project (5 volumes); and the Quartz Crystal Research Project (1 volume)

Reprints of publications authored by members of the Chemistry Department, including those of all former members (2 1/2 file drawers)

Records retained in the office of the departmental chairman include:

Current records of the department (5 file drawers)

Records pertaining to all graduates of the College who have majored in chemistry, including copies of letters of recommendation supplied by members of the staff (1 file drawer)

Miscellaneous records, including a large segment of inactive departmental records (2 1/2 file drawers)

Personal files of the departmental chairman (5 file drawers)

Records generated by the Hydrothermal Research Project are stored in the Hydrothermal Laboratory, and include:

Reports of investigation and laboratory notebooks (7 file drawers)

Financial records (3 file drawers)

Reference materials about hydrothermal research conducted elsewhere (1/2 file drawer)

Small plastic bottles of sample solutions prepared during investigations (an estimated 100-200 items)

Crystal samples, individually packaged in envelopes and labelled (not counted)

Both the crystal samples and the bottled solutions are considered important parts of the overall record of investigations carried out over a period of several years.
Procedures for identifying and disposing of non-current records have not been established, except that copies of older reprints have been forwarded to the Antiochiana Collection for preservation. No material has been sent to the Central File.

The Biology Department.—Records of the Biology Department are limited to two or three file drawers of material in the office of the chairman. Each member of the department, in addition, maintains some records of his own. The Department, however, has maintained one unusual record continuously since the early 1930's; this is a collection of photographs of individual biology majors, grouped by class, and mounted along the walls of the departmental offices.6

The Anthropology Research Project7

The Anthropology Research Project is located in a suite of eight offices in the Science Building and employs three principal investigators, supported by a staff of five to seven assistants. The Project, which concentrates upon the collection and analysis of data on the physical dimensions of the human body, was initiated in 1950, and is supported chiefly through contracts with the U. S. Air Force.

Records generated by this research are voluminous and are of

6Interview with Martin Murie, Professor Biology and Chairman of the Biology Department, April 5, 1967.

7Interview with Lloyd Laubach, Assistant Director of the Anthropology Research Project, April 10, 1967.
four basic types: (1) printed and mimeographed forms used to record raw data; (2) computer cards into which the raw data are punched; (3) readable print-outs resulting from computer-analysis of the punched cards; and (4) magnetic tapes onto which the information on the punched cards is transferred for permanent storage. Records currently stored in the Project offices are largely of the first three types; the magnetic tapes are stored elsewhere.

Records storage facilities include file cabinets, cardboard boxes, and steel shelving scattered throughout the suite, and one large closet equipped with a fire resistant door; long-range storage, however, is not a serious problem. As stipulated in contracts issued by the U. S. Air Force, basic data generated by the research become the property of the Air Force and is to be surrendered upon the completion of each project; accordingly, sets of punched cards are forwarded to an Air Force installation for transfer and permanent storage on magnetic tapes, all of which can be made available to the local investigators again, as needed. As a result, most of the non-current records presently stored in the Project offices are not of great importance, and the staff anticipates disposing of most of the present accumulation in the relatively near future.

In addition to research records, the Project has a collection of 2,236 glass-mounted photographic slides from which raw data can be obtained, an index to all research projects of the office, and four file drawers of "office records" - correspondence, blank forms, bills, personnel records, etc.
One copy of each contract entered into by the Project is sent to the College Business Office where it becomes part of the "permanent" College record. Progress reports on each contract are submitted once every three months to the U. S. Air Force, but no report is made to the College concerning the substance of the research.

**Antioch Education Abroad**

The Antioch Education Abroad program enrolls approximately two-hundred students each year. Though western Europe and Mexico attract the greatest numbers, opportunities for qualified students to work and study in Africa, the Middle East, eastern Europe, Latin America outside of Mexico, Asia, and Australia also attract small numbers. The College maintains resident AEA staff members in Britain, France, and Germany, and maintains an instructional staff at the Antioch Center in Guanajuato, Mexico.

Records accumulated in the office are of five general types, arranged partly on open shelves and partly in filing cabinets.

Reference materials for students anticipating enrollment in the program (about 40 linear feet)

Student records: (a) non-current, pertaining to those who have participated in the program and have since been graduated from the College (9 linear feet); (b) non-current records pertaining to those who have completed the AEA experience but are still enrolled in the College (10 file drawers, plus 3 linear feet); and (c) current records (8 file drawers, and 12 linear feet)

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8 Interview with Miss Esther Oldt, AEA Research Associate and Writer, April 17, 1967; and interview with Mrs. Paula Spier, AEA Associate, April 13, 1967.
Office correspondence, lists, forms, reports, etc. (estimated to fill 6 to 8 file drawers)

An index on McBee Keysort cards of all students who, since 1958, have expressed interest, applied for admission, or participated in the AEA program

"Research records" - largely historical - relating to the AEA program (estimated to fill 5 to 10 linear feet of shelving

The present organization of the files and the procedures for maintenance evolved with the office since its inception in the 1950's. Procedures for disposing of non-current materials have not been developed; but the office purposely retains a relatively large volume of inactive records for the use of the Research Associate. At one time, plans were formulated to merge AEA records relating to students with those in the Central File; action was deferred, however, when the AEA Research Associate objected that (1) materials once assigned to the Central File were difficult to retrieve, and (2) some materials that ought to be preserved permanently were sometimes destroyed by the Central File personnel.

AEA offices abroad report monthly to the campus office on financial matters. The central office does not regularly report its activities in a formal manner to other offices, but it sends copies of reports concerning individual students to the Central File for inclusion in the Alumni File, as a routine matter.
The Office of the Vice-President for Finance, Management and Planning retains only a small volume of records, though subordinate agencies accumulate rather extensive deposits. Facilities for storage in the private office of the Vice-President are limited to four file drawers, of which only two are in active use. Accumulated materials are weeded systematically once a year, and "useless" papers are destroyed. Items that the Vice-President "believes may be of value to other officers of the College" are forwarded to the Central File for retention.

The Vice-President regularly receives reports from other offices from which he abstracts statistical data of continuing interest for tabulation in a looseleaf notebook. The resulting record extends over a period of several years, reflecting changes and trends in admissions, enrollment, dormitory population, insurance statements of value, faculty and non-faculty personnel, new plant construction, and other matters.9

The Business Office

Records generated by the activities of the Business Office are voluminous and no effort was made to measure them. The greatest

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number, perhaps, concern individual transactions and eventually are
summarized in more general records. Legal restrictions govern the
final disposition of certain categories, and the Bursar has estab-
lished an informal, but effective, system for temporarily storing
vouchers and the cancelled bills to which they pertain, cancelled
checks, and receipts. Inactive records in these categories are
boxed, identified, and moved into the basement storage area adjacent
to the "morgue," where they remain for periods up to six years. The
Bursar periodically surveys the accumulation to segregate for destruc-
tion all that have been retained up to, or beyond, the legal
retention date. Two factors, however, currently threaten the
continuation of this system: first, the business activities of the
College are creating an ever-increasing volume of records that must
be accorded this treatment; and, secondly, the Bursar faces growing
competition for the limited storage space available.

Other inactive records are stored in a small storeroom off
the Bursar's private office; these include journals of cash receipts
and expenditures, and ledgers, inherited by the present Bursar from
his predecessor, and a collection of old payroll records that were
retained for verifying information concerning College employees.
Since 1950, however, the Bursar has maintained a card file for every
salaried employee and the reference value of the old payroll records
has decreased. There is no accurate inventory of the contents of
this storeroom.

Correspondence of the Business Office is filed by the Bursar
in his office, and is weeded from time to time to remove "useless"
items. "Practically nothing" is forwarded to the Central File for preservation. One record which the Bursar considers of primary importance is a set of "annual audit reports" from 1925 to date; this is kept in the Bursar's own file.

At regular intervals, the Business Office issues statements of expenditures to each department concerning its financial standing. Reporting to the senior administrative officers is generally verbal, supported by pertinent documentation, and usually is done informally.

The Business Office handles all financial records for contracts with the U. S. Government, including those carried out by the Anthropology Research Project. The Bursar reported that agencies of the Federal Government, within the past few years, have authorized the destruction of certain of these records, but he did not report what action he has taken to date.¹⁰

Student Records

Official records relating to individual students are generated in several offices, most of which come within the jurisdiction of the Office of the Dean of Students.¹¹ No effort was made to inventory them for this study. Like those relating to financial matters, most student records relate to unique transactions that eventually are consolidated into general records, after which the

¹⁰Interview with Charles Closz, Bursar, March 1, 1967.

¹¹See Figure 2, supra, p. 119.
specific records are destroyed. Present policies and procedures governing the disposition of such records are firmly established and systematically applied.

Two obligations of the College are central to the control of student-related records: (1) the preservation of official evidence of the individual graduate's rights and privileges established by his fulfillment of degree requirements; and (2) the protection of the individual's right to privacy against unwarranted inquiry into the record. To meet the first of these, the Registrar's Office microfilms cumulative academic records and stores two copies in widely separated locations, while retaining the originals for office use. All cumulative records since 1921 have been secured in this manner. To meet the second, all requests for information from the record are referred to the Registrar for evaluation.\textsuperscript{12} Not all cumulative records, however, have been secured in this fashion; those created prior to 1921, and entered in bound ledgers, have not been duplicated, though the originals are preserved in a fire resistive cabinet in the office of the Registrar; and, the records of the Academy, or college preparatory school, that ceased operations during the 1920's, have been misplaced, or destroyed.\textsuperscript{13}

\textsuperscript{12} Interview with Miss Miriam Dickinson, Registrar, March 27, 1967.

\textsuperscript{13} Ibid.
Office for Public Relations and Development; and Subordinate Units

The Office for Public Relations and Development has three principal functions: (1) raising funds for the College; (2) informing the public about the College; and (3) informing the College as to how it is perceived by the public. These functions are shared by the News Bureau, the Alumni Office, and the Director of Annual Funds; the College Editor, though directly responsible to the President rather than to the Director of Public Relations and Development, also participates. Records relating to these activities are created and accumulated chiefly in the subordinate offices, rather than in the office of the Director.14

The News Bureau15

Records accumulated by the News Bureau are organized and maintained by a secretary under the supervision of the Director, or her Administrative Assistant. Facilities for records storage consist of twenty standard-size file drawers and a small number of smaller drawers for index cards.

Files are arranged by subject and include folders for: (1) each student currently enrolled; (2) each faculty member; (3) each trustee; (4) College programs, academic and other; (5) special topics, including specific issues and problems concerning the College; (6) the

14Interview with Joseph Brady, Director, March 13, 1967.
15Interview with Miss Marjorie Freed, Director, March 16, 1967.
correspondence of the office; (7) photographs; and (8) a file of all news releases for the past two or three years, arranged chronologically. In addition the Bureau maintains two indexes; one, arranged alphabetically by name, summarizes pertinent information about each student; the other, arranged geographically, contains only the name and address of each student.

The Bureau disposes of non-current material by sending it either to the Central File or to the Antiochiana Collection. Folders for all graduating seniors are sent to the Central File by way of the Dean of Students Office, for incorporation into the Alumni File. Non-current subject folders and individual documents of possible "historical" value are forwarded to the Antiochiana Collection.

The files of the News Bureau provide information for many persons, including Bureau personnel, reporters for the campus newspaper, history students, and other offices of the College. In turn, the Bureau frequently seeks information from the Central File, the Alumni Office, the Antiochiana Collection, and the Registrar's Office.

The Alumni Office

The Alumni Office retains only those records that are useful for its immediate purposes. These consist of correspondence, reports, forms, completed questionnaires, and an elaborate index of all living alumni. Storage facilities are limited to four or five standard-size

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16 Interview with Mrs. Betty Menino, Alumni Secretary, April 6, 1967.
file drawers and a cabinet for index cards. The Office regularly forwards material to the Central File for inclusion in the Alumni File folders and some items to the Antiochiana Collection. It also draws frequently upon these other offices for information.

Summary

This part of the study has focused upon a sampling of offices at Antioch College that are not generally supposed to have special responsibilities for the retention of non-current institutional records. An effort has been made to describe the types and the volumes of older records accumulated in each office, to ascertain why they have accumulated, and to determine how each office has responded to this accumulation. In the following chapter, the records retention situation at Antioch College is described in general terms.
CHAPTER XI

ANTIOCH COLLEGE: THE STATUS QUO
AND THE STATUS QUO

In the two preceding chapters, some of the older records accumulated by Antioch College were described according to type and volume; specific reasons for the accumulation of some groups of records were ascertained; and a number of particular responses to the accumulation of older records were identified. At this point, the records retention situation of the College may be described in more general terms.

What Records Accumulate?

The records accumulated by Antioch College represent almost every type conceivable. In monetary value, they range from the bulk which is worthless, to a few presumably priceless manuscripts. Their physical forms include newsprint, mimeographed sheets, printed books, microfilms, audio-tapes, magnetic tapes, video-tapes, punched cards, packaged crystals, bottled chemical solutions, a wall-mounted collection of photographs, and manuscripts. Their functional forms include personal letters and diaries, press releases, financial control records, legal instruments, grade lists, formal and informal
reports, citations, invitations, notices, photographs, and many more. It may be concluded that the small size of the institution has little bearing upon the types of records that it may accumulate.

The volume of older records accumulated by the College is not accurately known. For several reasons, the present study did not yield meaningful quantitative data: (1) the investigation was not intended to be a complete survey, but dealt only with a sampling of College offices; (2) the circumstances under which records groups were examined made it impossible to determine accurately in all cases which were "current" and which were "non-current;" and (3) variations in the sizes and shapes of records storage equipment made accurate estimates of volume difficult. The study, however, does indicate that the volume of old records currently retained is greater than what is generally recognized. Included among the offices examined were those known to possess the largest deposits of older records - the Central File and the Antiochiana Collection;¹ the study serves to demonstrate that other offices as well accumulate significant groups.

Why Are Records Retained?

The College honors a number of commitments that result in the retention of older records. These commitments, for the most part, are

¹Within the past decade or so, every campus building large enough to provide extra storage space has been extensively remodelled, thus eliminating the probability that any large deposits of old records remain "undiscovered."
implied; but two are stated explicitly and authoritatively in the
College charter. This reads: "Minutes of All Trustee and Executive
Committee meetings shall be carefully kept by the Secretary and shall
be open to the inspection of any member of the Board of Trustees."²
In addition, the Treasurer "... shall ... arrange for [an]
independent audit of the accounts of the College as the Board shall
direct. Such accounts shall be open to the inspection of any member
of the Board of Trustees."³ These instructions, although limited in
scope, provide the basic guidelines governing the handling of records
pertaining to top-level management proceedings and to financial
matters. Time limits are not specified, but the wording has been
interpreted in practice to mean "permanent preservation" of the basic
documents.

Most commitments governing the retention of records by the
College are less explicit, and their fulfillment pervades the activi-
ties of several offices in such a manner as to be inseparable from
other, more distinctive, functions for which these offices are
responsible. Such commitments are of four general types:

First, the College has a commitment to accumulate funds of
information useful for administrative purposes, and for assuring
continuity and predictability of action. Information of this type is
embodied partly in the personalities of employees, and partly in

²"Amended Articles of Incorporation of Antioch College, Yellow
Springs, Ohio. Effective: June 18, 1965," Article IV, b.
³Ibid., Article V, c.
records stored in various offices. Perhaps the greater portion of records now retained by the College originally were created and preserved for these purposes.

Secondly, the College is committed to providing for the security of certain categories of records in order to protect the privacy of individuals and of the organization, and to assure the preservation of evidence of rights and privileges extended to persons, and to the organization. The microfilming of academic records and the distribution of duplicate copies to places of safety exemplify this commitment, as do the meticulously-observed procedures of the Business Office in accounting for financial transactions.

Thirdly, the College has a general commitment to achieve acceptable levels of administrative efficiency, to attain an economic balance between its expenditures and its return in services. This commitment extends to the handling of records, and the institution seeks to accumulate and to retrieve relevant information at costs it can afford.

And lastly the College has a commitment to preserve some evidence of its past, in order to maintain its identity as a unique institution. This is evident, not only in the assembling of local history materials in the Antiochiana Collection, but also in the activities of individuals scattered throughout the organization who personally "save" records of "historical" value.

But the College retains some old records for yet another less positive, reason. Modern office records, generally are created
as individual pieces of paper that in the course of events are assembled into folders and, eventually, into files. Any given file may include documents that are valuable for the administrative information contained therein, others that require protection in order to maintain privacy or security, and others that are of historical worth; single folders, or even single documents, may also possess these multiple attributes. Confronted with this situation, individuals frequently are unwilling, or unable, to exercise judgment upon the disposition of records. Consequently, some records inadvertently accumulate, because they are of supposed, but undetermined, value.

How Does the College Respond to the Accumulation of Records?

Antioch College has no official view governing the control of institutional records. Priorities among the College's commitments for building up funds of administratively useful knowledge, for providing security over records, for attaining acceptable levels of efficiency in records handling, and for preserving documentation of its past, are balanced against one another as specific records-control problems arise. Policies are formulated piecemeal and, generally, are implemented by the application of whatever knowledge and skills are immediately at hand. As a result, goals, objectives, and standards pertaining to records handling are uncoordinated, sometimes conflicting, and frequently vague.

Stability, coupled with clearly-defined goals and firmly-
established standards of performance, has been achieved in certain areas that are subject to some measure of standardization: the operations of the Registrar's Office and the Business Office are cases in point. But policies and practices relating to the efficient and economical handling of records, and to the preservation of historical materials, are at best chaotic. This may be due, at least in part, to the difficulty of keeping specific commitments in focus over extended periods of time. This point can be illustrated by reference to the Central File and the Antiochiana Collection.

As conceived in the mid-1920's, the Central File was an agency for providing administrative information at high levels of efficiency and economy; centralization of control also assured the protection of privacy and the retention of legal, financial, and other kinds of evidence. The original concept, however, gradually eroded under the impact of institutional expansion, the specialization of administrative functions, and the physical dispersal of offices, while concurrently the accumulation of records increased tremendously. Eventually, a major portion of these records was microfilmed and the originals destroyed, partly in response to a need for economy and partly to preserve the documentation of an unusually critical phase of the institution's history. Responsibility for servicing the microfilmed records remained with the Central File as an extension of its responsibility for protecting the privacy and security of records. At the present time, the preservation of historical records is a major function of the Central File, yet its structure has not been adapted
to meet the service demands generated by the possession of this kind of material.

The Antiochiana Collection, on the other hand, was conceived and developed originally as a highly personal enterprise by an individual whose family and personal life were deeply rooted in the early history of the institution, and gained recognition as an official agency of the College only after its goals, objectives, and standards had been firmly established. Oriented primarily to the pre-1920 history of the College and bound by techniques of limited applicability, the Antiochiana Collection has not successfully adapted to changing circumstances. There is no evidence, for example, that the Antiochiana Collection has ever been considered, either by the College administration or by the Antiochiana staff, as the logical point of service for historical records accumulated in the Central File.

The College, in its uncoordinated efforts to meet various records handling commitments, assigns lowest priority to accumulating accurate documentation of its past. It has not attempted to develop, and systematically apply, generally-acceptable criteria of historical worth to the evaluation of older records. Individuals acting on their own initiative judge the value of records within their purview, without reference to other groups of records that may have been preserved. As a result, records accumulate in a number of places and, frequently, the reasoning behind their preservation is forgotten or only partially remembered. In the absence of clearly understood criteria, the worth of any deposit of older records is suspect. This
situation has two aspects detrimental to the interests of the College. From a general administrative point of view, records of undetermined worth contaminate efforts to evaluate the efficiency and economy of records handling performance. And, from the historian's point of view, the vulnerability of un-evaluated records to administrative action threatens the integrity of whatever documentation accumulates, by placing it in danger of disarrangement, or outright destruction, in the name of efficiency and economy. Antioch College has not rationalized this conflict between its needs for efficiency in records handling and its needs for preserving historical records. As a result, the College has no stable base from which to evaluate the effectiveness of its practices in either area, nor to measure its return on investments in these activities. A tolerable equilibrium between these competing demands has prevailed for a number of years, but this balance appears to be threatened with disruption by the recent acquisition of the private papers of Arthur E. Morgan.

The Morgan Papers

Antioch College, in 1962, added new dimensions to its commitment to preserve and to service historical records, by accepting custody of the private papers of Arthur E. Morgan, former President and Trustee of the College. To date, the precise limits and direction of this obligation have not been carefully analyzed, nor have suitable arrangements for carrying it out been firmly established. But the size and the quality of the Morgan Papers pose a number of records handling problems relatively unfamiliar to the College.
By informal agreement, Dr. Morgan released a large quantity of inactive records to the College in 1962, and full ownership of the papers, including those still in Dr. Morgan's possession, was formally transferred to the College in 1966, in return for the assurance "that said papers shall be properly preserved, catalogued, and kept in such a manner as to be available for reasonable use for research and by the general public." The terms of the agreement, while imposing certain minimum restrictions, grants the College discretionary power to dispose of papers judged not worth permanent preservation, and specifies that "should said grantee [Antioch College] fail to comply with the above conditions ..." the papers "... shall be turned over to ..." one of two major historical societies named in the document. 

The papers generated by Dr. Morgan's manifold activities are voluminous and consist of many types: private files of correspondence from his several offices, packets of intimate letters to and from his family and friends, legal documents and financial statements, maps and engineering notebooks, literary manuscripts and reviews, informal notebooks, newspaper clippings, photographs, reports, transcripts and reprints, books and government documents assembled for reference use, diaries, autobiographical sketches, news releases, and copies of his published books and articles. Those papers now in the custody of the

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1 Agreement signed by Arthur E. Morgan and accepted by James P. Dixon for Antioch College, March 11, 1966. (Original copy on file in the Business Office.)

5 Ibid.
College possess an organic unity that reflects the progress of Dr. Morgan's career and which, thus far, has been preserved.

The quantity of materials released to the College has been estimated as the equivalent of forty-two file drawers and seventy boxes of assorted sizes, but the eventual magnitude of the collection has not been determined, for Dr. Morgan continues actively writing, publishing, and carrying on a voluminous correspondence.

The justification for assuming responsibility for the Morgan Papers obviously was the opportunity it gave the College to honor its most influential and distinguished President since Horace Mann. But it is evident that the implications of this act were not fully anticipated; the undertaking was initially regarded as a "project," rather than a "process" of indefinite duration.

The task of transferring the Morgan Papers from the loft of an old barn to safer quarters was assigned to two housewives, one of them a professional librarian, employed on a part-time basis. Since the College had no single space adequate to accommodate the volume, the materials were stored in three widely separated locations until, two years later, a temporary metal storage building was erected adjacent to the Library building. Physical custody of the papers has been assigned to the Library, and the work of sorting, cleaning, boxing, and servicing them is carried out on a part-time basis. Funds to support this activity were provided for the first two years by the

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6Memorandum to the Library Review Committee from George Cornell, October 25, 1965.
Dean of the Faculty's Office, but since then a sum has been added to the Library's annual budget for this purpose. The amount of money available annually, fixed rather arbitrarily for the first year, has remained a constant sum and governs the number of hours that can be given to work on the Morgan Papers. Responsibility for long-range funding of the work has been assumed by the Academic Vice-President, on the supposition that outside sources may be interested in providing support. Encouragement for taking this approach is to be found in the wide following Dr. Morgan has generated by his social, educational, and public works, but whether it will bear fruit remains to be seen.

Regardless of how the Morgan Papers are eventually funded, their value as source material for social and historical research adds another facet to the public service role of the College, for the permanent preservation of this material is of considerable interest to some outsiders. Since their acquisition by the College, the Morgan Papers have been consulted at length for information about the Tennessee Valley Authority, the Progressive Education movement, and the career of Dr. Morgan, himself, even though their availability has not been publicized. Eventual listing in the National Union Catalog of Manuscript Collections, now published by the Library of Congress, undoubtedly will stimulate further interest.

"Faculty Notes," September 13, 1967. Mrs. Ruth Bent, part-time curator, reported that during the first half of 1967, individuals from Vanderbilt University, the University of Wisconsin, Northern Illinois University, and Western Kentucky University had made extended visits to the Antioch campus to consult the Morgan Papers.
Problems posed by the Morgan Papers

In light of its relative inexperience, Antioch College is poorly-equipped to provide permanent preservation and servicing for a major collection of documents recognized to be of general scholarly importance. Acceptance of the Morgan Papers poses a number of problems.

First, the evaluation of the papers, a right that has been assigned to the College, requires the development of explicit and defensible criteria of worth, based upon knowledge of Dr. Morgan's career, the social context of his activities, and the probable uses to which the papers may be put. Proper evaluation is not a private matter, for the results will be open to scrutiny by the scholarly community and by members of the Morgan family.

Secondly, in order to account for the papers in the future - however remote this may be - the College must establish control over them, by evaluating, arranging, describing, packaging, and shelving them in stable order; in addition, it must protect the integrity of this order and assure the physical survival of individual pieces. The accomplishment of these tasks requires technical competence not presently available within the College.

Thirdly, although the Morgan Papers are valuable as research material, many are personal and reflect the activities of persons who are still living. Control over the papers must be extended to include reasonable safeguards to protect personal privacy, including suitable procedures for evaluating requests for service.
Fourthly, suitable study space and adequate supervision must be provided, if the papers are to be utilized for research; since it may be anticipated that use will occur only intermittently, the College must make suitable arrangements for facilities and supervision as they are required, without incurring unnecessary expense between times. This suggests the possibility of combining service on the Morgan Papers with some other activity requiring similar physical facilities and personnel.

Fifthly, because Antioch is not a university or a research institution, the allocation of any of its resources to the care of the Morgan Papers must be justified in terms of the institution's primary commitment to undergraduate education. Outside funding would mitigate this problem, but if it is not forthcoming, internal resources must be found.

And, lastly, if the College is to honor its commitment to preserve the Morgan Papers, responsibility for them must be assigned to an "office" that will endure beyond the life spans of persons now directly involved. Where this responsibility should be fixed in the administrative structure has not been decided upon. Physical care of the materials now rests with a part-time employee who, through the Librarian, is responsible to the Dean of the Faculty; responsibility for long-range funding, however, lies in the Office of the Academic Vice-President. Inherent in this arrangement is the hazard that, as initial enthusiasms for the enterprise wane, the implementation of plans for the Morgan Papers may come into direct competition
for funds with regular library service. The effect of such competi-
tion upon either program, or upon both, may be adverse.

It is not clear, at this time, how the College will approach
these problems, nor who will make the decisions. One distinct possi-
bility is that the Morgan Papers will drift into the role of an
independent records handling structure which, like the Central
File and the Antiochiana Collection, is damned to stagnation by its
own limited rationale and unique technical procedures. Alternatives,
however, are available. And one is proposed in the concluding
chapter of this study.
CHAPTER XII

SUMMARY AND CONCLUSIONS

The thesis of this dissertation is that the administrative structure of the modern college should be modified to provide for the systematic disposition of non-current records, and the most promising means to this end are offered by archival technology. Certain presuppositions about the modern college, and about archival technology, underlie this proposition.

First, the modern college is assumed to be a formal organization. Consisting of an ensemble of individuals assembled to perform distinct but interrelated functions for the purpose of accomplishing certain tasks, it includes an authority structure for selecting goals, assigning priorities, allocating resources, developing and enforcing performance standards, and evaluating results. This pattern creates a variety of roles, including that of the general administrator who derives authority from his position of responsibility for overall institutional performance, and the special administrator whose authority rests upon specialized competence. The latter role is viable only if sanctioned by the approval of general administrative authority.

Secondly, the modern college carries out the ancillary function of controlling those records associated with the conduct of its
affairs, in order: (1) to accumulate funds of knowledge useful for administrative purposes; (2) to protect the privacy and safety of certain categories of records; (3) to promote efficiency and economy in handling records; and (4) to select and preserve a limited number of documents valued for their historical significance. This control function is carried out partly through specialized agencies and partly through the work habits of individuals.

And, thirdly, the administrative structure of the modern college does not provide for the coordination of various tasks that contribute to the records-control process. In the absence of a coordinating influence, rational deliberation cannot be brought to bear effectively upon the assignment of priorities, the allocation of resources, the development and enforcement of performance standards, or the evaluation of results, relating to the records-control function.

Archival technology, it is contended, offers an acceptable rationale for effecting the coordination of records-control activities in the modern college, and provides the technical means for achieving coordination. A number of assumptions concerning the nature of the technology underlie this contention.

First, archival technology is assumed to be a genuine social response to the inevitable accumulation and disposition of records that are characteristic of our industrial-technological civilization.

Secondly, having developed from practice, the explanatory doctrine supporting archival technology is fragmented, obscure, and
largely incomprehensible to persons lacking practical experience in established archival agencies. This literature, however, implies a system design that is essential for the utilization of archival technology.

And, lastly, the system design implicit in the writings of archival authorities can be made explicit and employed to express the tenets of archival doctrine in terms readily understandable to the layman.

Departing from these assumptions, two separate studies were undertaken to support the thesis. Study I, "Criteria for a Functional Archival System," states the nature of archival technology in terms that can be recast as a model suitable as a point of departure for discussion between the general administrator and the archival specialist. Study II, "Records Retention in a Typical College," describes how a typical modern college disposes of its non-current records. Conclusions are drawn about the relevance of archival technology to the needs of the modern college, following the summarization of these studies.

**Study I: Criteria for a Functional Archival System**

This study attempts to clarify the nature of archival technology by generalizing the doctrine underlying professional archival practice. This is accomplished by analyzing authoritative professional opinion as expressed in a limited number of written works by
T. R. Schellenberg and Ernst Posner. A conceptual framework adapted for this study from a classification scheme developed originally to analyze weapon systems is employed. In accordance with this scheme, archival technology is visualized as a technical system, and the literature is analyzed to identify the specific elements that give form to the system (the system determinants), that carry out its functions (the system components), and that coordinate and articulate its component parts (the system integrators). These elements are then reorganized to form a model consisting of seven major components: (1) the parts of the system; (2) the goals of the system; (3) specifications for an acceptable steady state among the parts of the system; (4) the standard modes for achieving an acceptable steady state within the system; (5) specifications for an acceptable steady state between the system and its environment; (6) the standard modes for achieving an acceptable steady state between the system and its environment; and (7) mechanisms for providing feedback from the environment concerning the consequences of system actions. The principal conclusions drawn from this study are:

1. Archival technology is based upon a rationale consisting of a number of propositions about the relationships that should exist between an organization and the records it accumulates. These are: (a) the preservation of evidence about the structure, the functions, and the activities of an organization - for an infinite period of time - is both desirable and supportive of the organization's primary goals; (b) the most authentic evidence of these matters is contained
in those documents accumulated by the organization itself, as by-products of other activities; (c) relatively few such records are necessary to secure the desired information, and the usefulness of such records is enhanced, if unnecessary documents are destroyed; (d) various offices of the organization, in serving their specialized needs, impose some order upon the records they accumulate; (e) evidence worthy of permanent preservation is contained both in the substance of records and in the arrangements imposed upon them by the offices of origin; and (f) usable distinctions between "official" and "non-official," and between "current" and "non-current" records can be drawn.

2. Archival technology is applied to achieve four goals, in combination: (a) the provision of information useful to members of the parent organization for administrative purposes; (b) the permanent preservation of those official records that are of historical value to the parent organization, or to a wider scholarly community; (c) the protection of the privacy and the security of certain categories of records; and (d) the promotion of efficiency and economy in handling organizational records.

3. Archival technology centers around a specific set of techniques applicable to the manipulation of a single category of materials - the "official, non-current" records of a particular organization, or person. These techniques are organized into a series of functionally-related operations: (a) providing reference service for the parent organization, concerning its own affairs, from records
originally created or accumulated by the organization as by-products of other activities; (b) controlling the disposition of non-current official records by identifying, appraising, and assembling official non-current records of enduring value; destroying non-current records of transitory value; (c) preserving those records judged to be of enduring value; and (d) preparing such records for reference service, by arranging and describing them.

4. The conditions essential for establishing and maintaining a functional archival system include: (a) acceptance by the parent organization of ownership, responsibility, and accountability for its records; (b) a definition of the functions and the scope of the activities to be undertaken by the system; (c) suitable status, sufficient authority, and appropriate resources for the system; and (d) arrangements whereby the archival system can adapt effectively to changing circumstances without disrupting its services.

5. The establishment and maintenance of a functional archival system require the informed and continuing support of the top administrative authority of the parent organization. And,

6. A functional archival system is a blend of specialized technical competence and locally-determined values; the acceptance of archival goals as appropriate to the needs of the organization is an initial step, beyond which further cooperative effort between the specialist and the general administrator is necessary to develop criteria for distinguishing "current" from "non-current" records, "official" from "non-official" records, and records of "enduring" value from those of "transitory" value.
Study II: Records Retention

in a Typical College

The second investigation, a descriptive case study of a typical small, independent, privately supported undergraduate college, attempts to determine how the modern college disposes of its older records. Policies and practices related to records handling at Antioch College are identified, by analyzing the administrative structure of the College, observing practices in a sampling of offices, and interviewing persons involved in the administrative process. Where appropriate, policies are examined from an historical perspective. Records that have accumulated are described in terms of type and volume; some reasons for the retention of records are ascertained; and the institutional response to the accumulation of records is described.

To the extent that Antioch College is typical along those dimensions that determine the characteristics of records handling activities, the following general conclusions may apply to other institutions in its class:

1. In handling records, the College deals with four general, interrelated tasks - accumulating useful knowledge, protecting the security of certain "sensitive" records, achieving acceptable levels of efficiency and economy in records handling, and preserving some documents of historical worth.
2. Goals, objectives, and standards pertaining to records handling - having been formulated in response to specific problems and implemented by whatever knowledge and skills were immediately at hand - are uncoordinated, vaguely expressed, and, in some cases, incompatible.

3. Conflicting goals, objectives, and standards are most evident where measures to achieve efficiency and economy in records handling impinge upon measures to preserve historical documentation.

4. The principal contributing factor underlying the development of conflicting goals, objectives, and standards in these areas is the accumulation of records having probable, but questionable or undetermined, value.

5. Records of undetermined value accumulate because the college lacks generally-acceptable standards and procedures for evaluating non-current records and is functionally unable to bring consideration to bear upon the judgment of records values.

The Relevance of Archival Technology to the Needs of the Modern College

The foregoing conclusions strongly support the thesis that the administrative structure of the modern college ought to be modified to provide for the systematic disposition of non-current records, by the incorporation of a functional archival system.

Archival technology is functionally relevant to the needs of the modern college, because it can be employed to accomplish system-
atically certain unavoidable tasks - including the evaluation of old records - which the college now attempts with make-shift and uncoordinated measures. The concept of a functional archival system introduces into the existing situation the ideas that: (a) concern for efficient and economical records handling must be tempered by recognition of the possible historical value of administrative records, and (b) the amassing of historical documentation must be disciplined by considerations for efficiency and economy. An archival perspective, because it comprehends both the administrative and the historical points of view, allows for the mediation of conflicting policies and practices formulated in response to the accumulation of records of undetermined value, by providing a rationale and techniques for evaluating older records.

The adoption of an archival perspective promotes both organizational efficiency and historical interests. From the general administrative point of view, recognizing "non-current official records" as a distinct category of materials serves to clarify the records handling responsibilities of those offices that only incidentally retain inactive records. And, because non-current official records can be singled out and efficiently administered by specialized techniques, the responsibility for this function can be centralized and effectively brought under general administrative oversight. From a viewpoint of historical concern, the assurance of general administrative support for the permanent preservation of a limited quantity of documents - secure against arbitrary destruction and intentional
neglect - provides a defensible position for developing a coherent body of documents of established worth.

Centralizing responsibility for non-current official records makes it possible to develop: (a) an administrative structure through which the college can define and assert usable concepts of institutional ownership, responsibility, and accountability for its records; (b) defensible criteria for selecting records worth permanent preservation, and the destruction of those of transitory value; (c) leadership for improving records handling practices throughout the organization; (d) a repository for holding, servicing, and protecting materials now widely scattered; and (e) a center to which records of undetermined, or questionable, value may be referred for evaluation and final disposition, in light of documentary resources already available within the institution.

A Recommendation for Antioch College

It is recommended that Antioch College reorganize all of its records retention activities, by creating a functional archival system based, initially, upon the collection of materials known as the Morgan Papers.

Archival technology is particularly relevant to the needs of Antioch College at the present time, because of administrative questions raised by its recent acquisition of the private papers of former President and Trustee, Arthur E. Morgan. Physically, the Morgan Papers are voluminous and consist of many types, rivaling in these respects, the total deposit of older official records retained
by the College. Unlike the non-current official records of the College, the Morgan Papers possess an organic unity reflecting the circumstances of their accumulation, and possess demonstrated worth as source material for research on issues of general social and historical interest. Substantively and chronologically, the Morgan Papers overlap the official records of the College for a period of more than sixteen years, so that the two groups complement one another. And, like the College records, the Morgan Papers are still in the process of accumulation; future increments will pass into the custody of the College, as they lose current value for Dr. Morgan.

The archival attributes of the Morgan Papers have been recognized, and the principal of provenance and the principal of original order have been utilized to facilitate the solving of immediate administrative problems: physical transfer to the custody of the College, assembling, temporary storage, and servicing of the papers. Recognition has not been given, however, to the practical utility of an archival perspective for solving such long-range administrative problems as that of defining the limits of the institution's obligations for "permanent" preservation and servicing of historical records.

In addition to the Morgan Papers, Antioch College retains numerous small deposits of old records which, from an institutional point of view, are of undetermined value, as well as maintaining two major deposits - the Central File and the Antiochiana Collection, each governed by its own rationale and unique supporting practices. Administratively, the Central File and the Antiochiana Collection are
unrelated, the first being considered primarily an administrative service agency, the second, an educational or research facility. Functionally, however, both agencies serve the general purpose of servicing historical documents; but, neither agency is equipped with sufficient technical skill, physical facilities, personnel, and administrative support to establish effective control over the uncritical accumulation of inactive records elsewhere in the College, nor to embrace and to service the Morgan Papers. Under these circumstances, the Morgan Papers threaten to become an additional center for servicing historical records, unrelated to other concerns of the College, and a further drain upon its resources. The adoption of an archival perspective would permit the administrative officers of the College to rationalize these uncoordinated activities, and also would facilitate the implementation of the institution's obligations for the Morgan Papers.

Investigation has demonstrated that the goals, objectives, and standards governing the Central File and the Antiochiana Collection no longer are clear. Recognition of the "non-current official records of the College" as a distinct and definable category of material focuses attention upon those attributes shared in common by the Central File, the Antiochiana Collection, and the Morgan Papers, and also isolates the unique functions served only by the Central File or the Antiochiana Collection. These distinctions provide a base for restructuring the records retention agencies of the College to serve its present needs.

Defining the Morgan Papers as "non-current official records of the College" is a matter for administrative decision, justifiable by
Dr. Morgan's long and directly influential association with the institution. Whether to accord similar recognition to the personal papers of other persons related to the College is a decision that can be deferred; but a number of considerations urge the immediate acceptance of the Morgan Papers as properly belonging to this class.

Because the Morgan Papers are voluminous, require immediate attention, and respond efficiently to manipulation by archival techniques, they can be used as a "training ground" for the development of archival skills and knowledge not currently available within the College. Although at the present time, the Morgan Papers are the largest collection of records requiring concentrated effort, it may be anticipated that inactive records now accumulating in the offices of the College will require similar attention in the years immediately ahead. The experience gained in handling the Morgan Papers, then, can be applied to the future administration of the institution's other non-current records. It also may be anticipated that the Morgan Papers eventually will be brought to a steady state that requires only their protection against loss or damage, and occasional service. The cost of providing this kind of attention can be carried comfortably by the College, if the required physical facilities and personnel also are employed to control the never-ending accumulation of records produced by the activities of the College itself. These considerations recommend the utilization of the Morgan Papers as the foundation stone for creating a functional archival system for the College.

Incorporating the Morgan Papers into the official records of
the College also serves other purposes. First, recognizing the official nature of the Morgan Papers provides a reasonable line of demarcation between what the College must do, and what it might do, to fulfill its obligation for the Morgan Papers, since from an archival point of view, only records created or accumulated by Dr. Morgan himself as by-products of other activities are eligible for inclusion among the official records of the institution. This distinction can be observed and acted upon in determining what the College must do, without foreclosing the possibility that other kinds of material - even including, perhaps, private papers of other persons - should be collected and serviced as library material, properly subject to limitation by the availability of library funds. Secondly, treating the Morgan Papers as official College records, rather than library material, mitigates the danger that they will be neglected - or that general library service will be impaired - by direct competition for financial support. The Morgan Papers, as archival material, are properly a general administrative charge.

In light of the foregoing considerations, it is concluded that the best interests of the College, both immediate and long-range, would be served by the establishment of a functional archival system based, initially, upon the private papers of Dr. Morgan. And it is recommended that the general administrative officers of the College take action to initiate the establishment of an archival system as described in this study.
APPENDIX A

Questionnaire

The following questions were employed to structure inter­
views with officials of Antioch College about existing policies
and practices relating to records handling at Antioch.

1. What records accumulate in this office? (List over; in some
cases, a listing of file folder headings may be useful.)

2. What procedures are followed in organizing these records?
   a) Are there written instructions?
   b) Who prepared them?
   c) If written instructions are lacking, who makes decisions
governing the organization of your files?

3. What procedures are followed in disposing of non-current
   records?
   a) Are there written instructions?
   b) Who prepared them?
   c) If written instructions are lacking, who makes decisions
governing the disposition of non-current records?

4. Do you forward any records to other offices for final
   disposition?
   a) Which records?
   b) To whom?
   c) According to a schedule?
   d) In what units? (Individual pieces, file folders, filing
cabinets.)
5. Do any other offices forward to you any records for final disposition?
   a) Which offices?
   b) Which records?
   c) According to a schedule?
   d) In what units?

6. Do you have occasion to refer to non-current records of this office?
   a) How frequently?
   b) For what purposes? (Administrative; historical; research; other.)
   c) Are they readily accessible?

7. Do any persons outside this office have occasion to refer to the non-current records of your office?
   a) How frequently?
   b) For what purposes?
   c) Are such records readily accessible to outsiders?

8. Do you have occasion to refer to the non-current records of any other offices?
   a) Which records in which offices?
   b) How frequently?
   c) Are such records readily accessible?
   d) For what purposes do you consult them?

9. Do you regularly report in writing to anyone concerning the activities of this office?
   a) To whom?
   b) How frequently?
   c) Do you keep copies of such reports? (Samples?)

10. Do any other offices account to you in writing for their activities?
    a) Which offices?
    b) How frequently?
    c) Do you keep such reports permanently? (Samples?)
Classification of Weapon System Elements

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Unless noted otherwise, each of the following items is available in the Antiochiana Collection of the Antioch College Library.

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_____• Citation for Miss Bessie Ladley Totten, June 20, 1953.
_____• "Faculty Notes," September 13, 1967.
_____• Filing Memo no. 1, GENERAL CORRESPONDENCE, May 27, 1952.
_____• Memorandum to Mr. Rauh from Martha Drake, May 1, 1952, concerning policy changes related to the Central File.
_____• Memorandum to the Library Review Committee from George Cornell, October 25, 1965, concerning the "College archives."
_____• "This is Your Library, 1967-68." (A handbook prepared for students by the Antioch College Library staff.)

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Morgan, Arthur E. Letter to President James P. Dixon, concerning the custody of the Morgan Papers, August 11, 1962. (A copy is in the Antioch College News Bureau Files.)


Interviews

The persons listed below were interviewed on the dates given in parentheses following their names. Titles indicate their present relationships to Antioch College.

Alexander, W. Boyd, Vice-President and Dean of the Faculty, Emeritus; Consultant to the College (April 27, 1967).

Anderson, J. Peter, Director of Administrative Services (March 6, 1967).


Brady, Joseph J., Director of Public Relations and Development (March 13, 1967).

Brecht, (Mrs.) Ernestine C., Editorial Assistant, News Bureau (March 16, 1967).

Brewer, (Mrs.) Dilsey A., Appointments and Recommendations Secretary (May 18, 1965).

Bryson, (Mrs.) Martha (Drake), Assistant to the Bursar (March 6, 1967).

Closz, Charles M., Bursar; Assistant Treasurer (March 1, 1967).

Corwin, James F., Professor of Chemistry (April 3, 1967).

Dickinson, Miriam L., Registrar; Assistant Dean of Students (April 27, 1967).

Draper, (Mrs.) Ann E., Mail and Storeroom Assistant (March 9, 1967).

Freed, Marjorie, Director of the News Bureau (March 16, 1967).
Hamilton, John M., Special Assistant to the Academic Vice-President (May 2, 1967).

Hollister, Barrett, Director of International Studies; Professor of Political Science (April 13, 1967).

Keenleyside, Mildred, Assistant to the President (March 3, 1967).

Laubach, Lloyd L., Research Associate, Assistant Director, Anthropology Research Project (April 10, 1967).

Menino, (Mrs.) Betty Long, Alumni Secretary (April 6, 1967).

Morgan, Arthur E., President, Emeritus (February 16, 1962; December 19, 1966).

Murie, Martin L., Associate Professor of Biology (April 10, 1967).

Oldt, Esther A., Professor of International Education (April 17, 1967).


Rock, David, Assistant Director of Glen Helen; Instructor of Biology (March 16, 1967).

Spier, (Mrs.) Paula L., Antioch Education Abroad Associate (April 17, 1967).

Stewart, Albert B., Professor of Physics (March 10, 1967).

Thomas, Bruce W., Librarian (March 16, 1967).