

# Guidelines for College and University Archives

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## I. Executive Summary

### A. Definition

The archives has a scholarly commitment to preserve knowledge. The archives serves as the institutional memory of the college or university and plays an integral role in the management of the institution's information resources in all media and formats. To fulfill the responsibilities of that role, the archives identifies, acquires, maintains, and preserves records of enduring value that chronicle the institution and ensure its continued existence. The archives documents the process of institutional evolution by retaining both the evidence which shapes decisions and the decisions themselves.

### B. Mission

The archives takes its mission from the mission of the institution, to *educate*. It serves the educational, research, fiscal, legal, and service missions of the parent institution:

- By supporting and enabling the administration which provides and maintains the overall structure;
- By identifying and preserving essential evidence;
- By promoting the mission of the institution internally and to the extended community;
- By supporting teaching and enhancing the curriculum as appropriate;
- By facilitating the research of the faculty, students, and other scholars through access to information.

### C. Constituents

1. The archives primarily serves the faculty, staff, and students of the institution.

- *Administrative units* have ready access to the permanent record.
- *Students* connect with the institution by learning about its history and placing themselves within that context.
- *Students, especially graduate students*, use the archives for research, theses, and dissertations.
- *Faculty* use the archives for research and as a source of curricular materials.

2. The archives also serves alumni, outside researchers, and the general public.

- *Alumni/ae* may access and use resources that help maintain personal connections with their alma mater. The archives is also important as a physical space which provides historical continuity, to which they can return at any time to experience the past.
- *Outside Researchers* use the collections for scholarly and personal study.
- *General Public* may access and use resources that demonstrate the value of the institution to the broader community.

#### **D. Organizational Structure**

An effective archival program requires a mandate from the president or governing board that authorizes the archivist to identify records of enduring value, document their physical location, preserve them, and establish methods of control that provide ready and consistent access to archival holdings.

## **II. Administrative Relationships**

### **A. Mission**

Academic archives support the educational, research, fiscal, legal, and service missions of their parent institutions in several ways:

- Determining what evidence is essential, ensuring that the institution creates such evidence, and making that evidence accessible
- Supporting scholarly research and communication, especially in relation to the history of higher education
- Assisting administration by efficiently providing contextual and decision-support information
- Promoting the mission of the institution to internal and external constituencies
- Enhancing undergraduate instruction through presentation and use of archival materials in classroom or other instructional settings
- Facilitating preparation for graduate studies by increasing undergraduate student exposure to primary sources and historical research methods
- Improving research quality by providing related historical context for fields of inquiry other than history

- Enhancing intercultural/intergenerational understanding through expanded public awareness of the value and use of institutional history, culture and memory

## **B. Strategies**

Academic archives may employ the following general strategies to support the mission of the parent institution:

- *Identify and acquire* records of enduring historical, evidential, legal, fiscal, and administrative value to the institution
- *Consult* with records creators and custodians regarding sustainable recordkeeping practices
- *Preserve and provide access* to records of enduring value
- *Promote and facilitate use* of records of enduring value
- *Interpret* the factual and symbolic meaning of records and significant artifacts

## **C. Implementation**

Academic archives fulfill their mission and implement strategies within a broader context of collaboration and professional standards and practices:

- Acquisition decisions are based on professional appraisal standards and the needs of the host institution.
- Arrangement and description of materials employs national and local standards at a level commensurate with institutional support for the program
- Facilities for storage, use, and service provide a physical environment that:
  - Facilitates access to materials and services
  - Preserves the full range of the archives' record materials
  - Assures security from misuse and theft
  - Supports the physical health and well-being of archives staff and users
- Preservation and conservation procedures employ current professional standards at a level commensurate with support for the program
- Archival programs seek opportunities to collaborate with other information-related programs and services (e.g. Information Technology, Libraries) in order to maximize benefits to the host institution

## **D. Administrative Authorization**

Academic archives define their programs through a mission statement authorizing the archives' existence and conferring the authority to accomplish its functions. The mission statement should have the official approval of the highest appropriate governing official, such as the president or chancellor.

While administrative placement, structure, and governance will reflect institutional differences and cultures, the mission statement should:

- Define institutional records and establish them as institutional property or public records in the context of public institutions;
- Define the archives responsibilities in relation to personal papers of students, staff, faculty and records of affiliated organizations (student government, foundations and research centers)
- Designate an official archival repository or network of repositories whether the institution occupies one or a number of campuses;
- Establish the archival program's authority to undertake all activities necessary to implement program functions and effectively serve the institution according to current professional standards;
- Provide unambiguous administrative location within a specific reporting structure;

The parent administrative unit should:

- Provide sufficient resources to maintain adequate personnel and for skill development, facilities, equipment, and security levels, especially in the context of evolving technology;
- Support and serve as an advocate for the archives mission, functions and activities at higher levels of the organization when necessary;
- Facilitate the clarification of institutional information policy, especially regarding ownership of records, confidentiality and applicability of public records laws.

## **E. Personnel**

Academic archives require appropriate professional and support personnel to manage a viable archival program in the context of institutional growth and change. Educational requirements and scholarly credentials of personnel should reflect current professional standards.

In most cases educational institutions require a full-time, permanent professional archivist with:

- Appropriate professional credentials (e.g. relevant graduate degrees and/or certification by the Academy of Certified Archivists)
- Administrative rank that carries sufficient authority to complete program functions;
- Effective interpersonal and communication skills for interaction with administrators, faculty, staff, students, alumni, and the public
- Tact and discretion in handling sensitive negotiations or materials

Additional professional staff may be required to address the range of program functions, and may include:

- Additional archivists
- Professionals with advanced degrees in related fields (e.g., preservation, library science, records management, technology specialties, or relevant academic disciplines)
- Consultants with credentials and experience in any of these areas.

Support staff should include paraprofessionals or nonacademic staff to provide reference, technical, and administrative assistance. These staff members must be able to handle reference and supervisory duties when the archivist is absent, as well as having demonstrated technological and organizational skills.

Student workers, interns and volunteers can fill varied support roles depending on the quality of their skills and availability of appropriate supervision by professional archivists and/or permanent staff. Interns seeking formal course credit should be given appropriate supervision, training and assignments (readings, presentations, scholarly writing) so that academic goals are achieved in addition to the work of the archival repository.

## **F. Assessment**

Academic archives may be called upon to justify their existence or provide evidence that program functions are being effectively executed. They should regularly gather data to document the scope, quantity and quality of their work. This data should be shared with the parent administrative unit, university administration, professional associations and or accrediting agencies as needed. Archivists should remain alert to changing approaches to assessment.

- Output measures are helpful in tracking performance of individual staff, program costs and the growth and use of collections, including:
  - Public service activities including the number and complexity of inquiries;
  - Number of reference requests and/or daily registrations;
  - Volume and nature of additions to the collection;
  - Nature and costs of preservation work, processing and cataloging
  
- Outcome measures are more difficult to identify in relation to the goals and established metrics of academic institutions because archives add qualitative and contextual value to higher education. Such measures may be fashioned in relation to the mission described in Section A above.

Examples of outcome measure could include the annual quantity of:

- Citations to the archival collections in:
  - Formal scholarly literature
  - Television, radio, video and Internet productions
  - National, regional, state and local news media
  - Campus organs (student newspaper, staff newsletters)
- Requests for permission to publish per year
- Students receiving instruction from archivists per year
- Faculty using archival materials in curriculum
- Instructional sites (e.g. Blackboard sites) displaying archival materials
- Instructional sites citing archival materials
- Theses and dissertations citing archival materials
- Student employees and interns
- Visitors to display tables at public events
- Visitors to exhibits, hardcopy and online
- Visitors to the archival repository

### **III. Records Management**

#### **A. Introduction**

Many college and university archival programs include records management. This section outlines basic considerations and components of records management programs either within or organizationally separate from archival programs. See also the suggested readings in the Bibliography.

#### **B. Records Management Objectives**

- Protect institutional information resources throughout their life cycle. This includes complying with state and federal laws and regulations, identifying vital records, and implementing strategies for preserving information and records of long-term value in any format.

- Improve the flow of information in the organization.
- Establish a records management component in institutional information resource policy and planning.
- Provide for adequate data collection and information access and retrieval, including institutional positions on privacy and confidentiality.

### **C. A Policy Statement:**

- Defines what "record" means within the context of the institution's mission and administrative rules, state and federal laws;
- Specifies ownership of institutional records;
- Designates records management responsibilities and roles in areas such as systems development and maintenance, information architecture design, and standards development;
- Defines records management roles and responsibilities at all levels of the institution;
- Indicates how to develop, approve and implement retention and disposition policies and who will be responsible for them;
- Explains how to provide internal and external access to institutional records and information; this policy should address state and federal laws that may be appropriate, especially privacy and open records laws, as well as institutional administrative rules;
- Specifies policies and practices that will make wise use of information technology to ensure the right tools for the right applications.

### **D. Organizational Relationships**

The administrative relationships must facilitate a systems approach to records management; i.e., analyze and appraise all components of an institution's information systems as a unit. This approach requires coordinated and cooperative organizational relationships to bring together and address the needs of the records creator, information technology staff, records management, archives and others. Organizational relationships should:

- Provide authority for program staff to operate on an institution-wide basis including authority for the archivist/records manager to negotiate directly with campus offices regarding all facets of the records management program;
- Ensure access to appropriate campus offices and staff;
- Include a working relationship with campus legal and audit staffs;
- Foster effective working relationships with information technology staffs and others involved in information policy and planning and systems design;

- Provide a structure for cooperation and communication between the institution's archival and records management program personnel, in cases where the records management program is organizationally separate from the Archives.

#### **E. An Advisory Body Can:**

- Provide guidance to the records manager;
- Promote greater institutional support for records management program activities;
- Act as the policy approval and advocacy body in the review and approval of institutional records retention and disposition schedules and standards.

Appropriate members of this body include: the institution's archivist and records manager; along with representatives from legal services, internal audit, each of the major organizational units, and the institution's information technology unit.

#### **F. Components of a Basic Records Management Program May Include:**

1. Policy and procedure development.
  - Policies should provide authority for and define parameters of the program, define relationships with other institution units (see D. above), and denote levels of responsibility and services provided.
  - The records manager/archivist should produce a records management manual or Website to specify the institution's records program policies and procedure.
2. A records retention and disposition program.
  - The program should include inventory and appraisal of the institution's records to establish retention and disposition schedules, to achieve economies in the storage and disposition of inactive records, and to identify the institution's vital records.
  - Schedules developed by the program should define retention and disposition responsibilities, and should incorporate legal, audit, administrative and historical values of the institution's records.
  - Review and approval of these schedules by the archivist or by the advisory group described in E. above should be done in consultation with the institution's legal counsel and internal auditor.
  - Implementation of retention and disposition policies can be accomplished by making them available to those in the working offices, i.e., office administrative staff or records management liaisons; publicizing them using the most accessible communication vehicle, e.g., administrative manuals, web pages or other online communication technologies; sharing them with information technology staff and with those responsible for the institution's information resource planning; and providing for periodic audits and reviews to ensure that the retention policies are up to date and that campus offices are implementing them appropriately.
3. Active records management.
  - Developing filing systems and file naming standards. The records manager/archivist should be prepared to provide advice on types of filing systems appropriate for particular types of processes and records. Some institutions may

- request the development of file naming standards and/or metadata schemas to support electronic filing systems.
- Supervising filing supplies and storage equipment. The records manager/archivist should have the authority to recommend types of file equipment purchases that will support uniformity of filing practices and to request justification for the purchase of highly specialized filing systems.
  - Providing guidance and advice regarding the development and implementation of electronic information management systems. Adequate protection of institutional information resources and appropriate management of them throughout their life cycle can only be accomplished effectively by the early involvement of records professionals in the systems development phase. Records managers/archivists should be knowledgeable/keep abreast of technological developments in this area on their campuses and maintain ongoing involvement in information systems' growth and development.
  - Assisting with planning and implementing micrographics and/or imaging operations. Micrographics and imaging operations can be effective tools to improve office workflow, reduce bulk and preserve information stored on fragile media. If not a part of the institutional archives or records management program, the records manager/archivist should play an active role in the development of any such reformatting system to ensure that appropriate records are scanned/reformatted, databases are indexed properly and procedures are well documented.
4. Inactive records management.
- Records center management ensures the protection, access and retrieval of institutional records until their retention value has been met. It includes accession and inventory control, security and access provisions, and environmental controls.
  - The records manager should work with the data manager and information technology staff to ensure the retention of electronic data in accordance with retention and disposition policies. Data should remain accessible and retrievable throughout their life cycle.
  - Records disposition ensures the destruction of records in accordance with approved retention policies, appropriate handling of confidential materials, the end of all activity on the records, and the transfer of records designated for permanent preservation to the institution's archives.
5. Data collection/forms management.
- Systems analysis and design should improve information flow, ensure that data collection supports the business applications of the organization, streamline data collection instruments and systems, enhance the use of collected data, ensure that state and federal rules and regulations regarding data collection are satisfied, and select appropriate tools for data collection.
  - Forms and inventory control should maintain control of official institutional forms and document revisions to them, eliminate duplicate forms, ensure that all forms representing the institution have been officially approved, and control printing supplies and costs.

- Increasingly, institutions may purchase e-forms (electronic forms) software packages to support institutional processes. These packages, while useful, greatly encourage the proliferation of unofficial forms. The records manager/archivist should be involved in the development of specifications for software, so that the objectives in place for paper forms will also be applied to the electronic systems. This involvement will also help appropriately define official records and resolve retention and disposition issues during the design process.

#### 6. Training and outreach programs.

- To be effective, the records manager/archivist will have to rely on others in the institution to assist in carrying out the objectives of the records management program. The training and outreach program should regularly provide workshops and other training that outline basic program policies and procedures and office responsibilities.
- The records manager/archivist should establish a system of records liaisons/coordinators within the units of the institution to serve as basic contacts for the records management program.
- The records manager/archivist should use other tools that may be helpful, e.g., articles in campus newsletters, brochures on various records management topics, and electronic communications technologies to inform and educate the campus community about the records program.

## **IV. Core Archival Functions**

### **A. Acquisition**

In an institution with a records management (RM) program, the archivist monitors the incoming records to insure that all records series arrive on time; periodically reviews the RM program to ensure that it adequately documents the school's operations as functions and units change; and seeks to acquire the records of student and other groups outside the formal program. The archivist also works closely with the records manager to implement programs for the preservation and access of electronic records. If the school has no RM program, the archivist must perform some RM functions (see the section above) to obtain the records of enduring value.

Archivists will pay special attention to the development of digital records. The archivist will work closely with the records manager as well as other units, offices, and computer centers to preserve and make these records accessible. This may require the archivist's involvement with systems design and implementation. Archivists will base their appraisal, acquisition, and retention of records of enduring value on the archives' mission statement, which is a function of the institution's mission. Through appraisal, archivists determine which records belong in the archives, based on their long-term administrative, legal, fiscal, and research value.

- Archivists should give priority to official records and publications, especially those reflecting the development, policies, and activities of offices, units, or committees that:
  - Involve more than one department;
  - Formulate or approve campus-wide or division-wide policy;
  - Document administrative, faculty, student, and external involvement in those activities.
- Records of departments, individuals, groups, or programs which substantially influenced the institution's development or reputation also belong in the archives.
- Archives may:
  - Accept other records in imminent danger of loss or destruction pending a decision on their ultimate accession or disposal;
  - House vital records and microfilm or digital, duplicate, security copies of records.

Through acquisition, archives obtain those records which meet the appraisal criteria. (See Appendix I for types of college and university archival records.)

Using their appraisal criteria, each archives should develop:

1. A regularly updated, written acquisitions policy, including:

- An analysis of the archives to identify any gaps or areas of weakness by unit or chronological period;
- A statement that outlines the archives' acquisition responsibility;
- Definitions of acceptable donor restrictions indicating circumstances under which they may be imposed—for set time periods, if possible;
- Descriptions of copyright and literary rights, which should be assigned to the institution or its appropriate governing board;
- A plan to document the activities of students and other groups on campus.

The Society of American Archivists' self-evaluation document may be helpful here and in other archival activities.

Archivists should:

- Consider federal and state laws and institutional policies while balancing freedom of information rules (where applicable) and researchers' need for access with personal privacy or confidential matters;
- Accept as few restrictions on records as possible, consistent with the legal rights of all concerned. Restrictions may be necessary on executive decision processes, personnel and student records, certain financial or institutional proprietary matters; and decisions on discipline, termination, promotion, rank and tenure.

Archivists may have to accept other restrictions from the office creating the records or the donor of personal papers. Both the donor/creator and the archives should retain written copies of such restrictions. Only the donor, office of origin, or an executive officer/board may grant access to some restricted material. The officer or person granting access should sign these permission documents which then become part of the archives' permanent records. Restrictions should not discriminate among potential users. Limits should be for a fixed time period, not for anyone's lifetime. Avoid any provision which may be difficult or impossible to administer.

2. A written plan to improve documentation of weak areas by establishing acquisition priorities to target the records of key offices and groups.
3. A contact or "pursuit" file on every office or individual with which the archivist has discussed transfer of records or the donation of papers; this file should record dates of contact, agreements on transfers or donations, the current status of contracts, and supporting correspondence or phone memoranda.
4. A short brochure outlining archival services and records transfer procedures for campus offices.

## **B. Processing Archives**

Processing includes all the archivist's activities to accession, arrange, describe, preserve, and make available the documents in the archives.

Through accessioning, the archivist usually takes physical control of records by transferring them to the archives repository and begins establishing intellectual control. In the case of some digital records, other campus offices (e.g., the computer center), may maintain the physical records while the archives provides access through systems of intellectual control.

A holistic approach, i.e., remembering that all archival functions are interconnected while performing each activity, is important throughout archival work. The following sections emphasize this interdependence of archival functions.

### 1. Accession record.

Archivists create an accession record—noting the records' date, title, bulk, condition, transferring office or donor, conservation needs, and access restrictions—when records come into the archives. This record is not functionally unique to accessioning. It also includes elements of rudimentary arrangement, description, and preservation. The form of the accession record, especially if recorded in a database or other digital format, may become the base or platform for the later functions of arrangement and description.

2. Preservation is also not just a one-time procedure when records "come of age" as they arrive in the archives.

- Archivists must ensure that incoming records are free of dangerous or bulky, extraneous matter such as metal fasteners, acidic or otherwise unstable or fragile containers, mold, dampness, vermin, or their remains.
- Preservation may even begin before a record's "birth," as archivists help plan systems to ensure the long-term existence and accessibility of digital records.
- Preservation both begins before and continues throughout the records' life when archivists
  - Design and maintain the archival building or area to provide security and access;
  - Provide adequate shelving, alkaline-buffered containers, and control of humidity and temperature;
  - Ensure conservation treatment of damaged or fragile materials;
  - Reproduce records for display or to extend their life.
- Preservation even gives records "new life" after the "death" of their original medium by migration of records from one medium to another, e.g., photocopying to alkaline-buffered paper, microfilming or digitizing records, or periodic re-copying of film-based or digital records.
- While all archivists perform basic preservation functions, such as those noted above, they should pay special attention to two areas of caring for documents:
  - Archivists should consult or employ trained specialists for document conservation, such as deacidification, repair or reinforcement, aqueous treatment, or fumigation.
  - Archivists must use special techniques for preserving and providing access for non-print items, such as film or tape. Even more care may be necessary in dealing with digital/electronic records.

The preferred procedures for dealing with such items often change and are too specific and detailed to describe here. (See Ritzenthaler in the Bibliography, as well as the National Media Lab, AIIM, and SAA Web sites for guidance in this area.)

Through arrangement, archivists deal with records according to the principles of provenance, respect des fonds, and original order to maintain the records' context and natural, organic order to document the transactions of their creating or assembling office or individual in the office's or person's regular, daily activities.

If the materials have no discernible order or have been re-arranged or mixed, the archivist should first try to re-establish their original order. If this is not possible or if the items have no original order, e.g., posters or publications of ad hoc or transitory campus groups or other ephemera, the archivist may arrange the materials in whatever order would best facilitate their use.

The final arrangement of materials will usually be alphabetical or chronological within record groups or series, showing the hierarchical relationship of each fond (creating office or individual) to the institution's other fonds. Archivists should clearly label all

folders and containers of records, papers, and other materials to show their proper location within the record groups or series.

Through description, archivists use a variety of finding aids to:

- Inform users of the contents of the archives;
- Permit archivists to retrieve requested documents or information.

Description begins during accession as the archivist develops the basic record for each incoming unit of materials. This record usually includes the title, bulk, inclusive dates, condition and restrictions on the record group, series, or collection of personal papers arranged by title in the institution's organizational structure and placed on a computer list, database, or other format to permit quick, easy access to relevant information. A finding aid for each archival unit should be available to researchers on external, even worldwide networks, in the campus online public access computer, and at the archives. The detail in the finding aids will vary depending on:

- Funding;
- The extent of network or other digital access;
- The archivist's judgment of the importance of the records, their potential volume of use, and whether or not the records have been processed or are available for immediate use.

Full record description is one of the most complex and challenging archival tasks. It may be the most rapidly changing and developing area of archival theory and practice; so only a brief summary is possible here. (See also Miller in the Bibliography.)

As Miller notes, the full description includes information about:

- Records' intellectual content and access and their physical description and access;
- Records' origins and context;
- Archivists' actions and descriptive control.

Archivists usually present this information on several levels:

- General guides describe the repository;
- They refer or provide electronic links to more specific, detailed finding aids on record groups;
- These refer or offer links to series finding aids which provide even more specific information.

While this is probably the most common structure of description, Miller outlines a system without repository guides or record group finding aids. This system focuses on the basic archival unit, the series; then uses electronic linking to indicate hierarchy and context and electronic finding aids to provide access.

Influenced, if not driven, by computer and network—Internet and World Wide Web—technology, archival description in the past decade has focused on standardization of language and information, authority control, and ways of presenting information through such formats as MARC (machine-readable cataloging) and EAD (Encoded Archival Description).

Arrangement and description need not be to the same extent or level for all materials. Archivists must keep careful, constantly updated, permanent records of both the intellectual arrangement and physical location of all items, processed or not, as long as they are in the archives and, especially, if items are temporarily removed, e.g., for copying or exhibition.

While these principles should guide the intellectual arrangement and organization of archival materials, practical considerations may determine records' physical arrangement within the archives. Once the archivist has established intellectual control of the records:

- Special format materials; e.g., digital, film, map, audio, or audio-visual, blueprint, poster or other oversized items; may be physically removed from their record groups or series—with proper notice of where they may be found—and placed where they may be best preserved;
- All records may be physically placed to take maximum advantage of existing space or to most conveniently retrieve them for use.

## **C. Safeguarding and Promoting the Use of Archives**

### 1. Safeguarding Archival Use.

- Archivists should consider possible theft and preservation when planning procedures for the use and storage of archives.
- Access to unrestricted archival materials should be on equal terms to all persons who abide by the archives' rules and regulations. (See the section on Accessioning for details on access to restricted items.)
- Before persons use materials, archivists should:
  - Inform users of the archives' policies and rules and have users sign a form agreeing to follow these rules;
  - Require users to provide identification (including a photograph) and complete a standard registration form recording the user's name, address, and the records requested. These forms should be retained until an internal archivist assures there has been no theft or misuse of items and for the archives' statistics.

Policies for using archives should include items such as:

- Researchers may:
  - Use materials only in the supervised reading room;
  - Bring only a pencil and note paper or laptop into the reading room after storing all coats and bags near the entrance; (Some archives provide paper and check it before users leave.)
  - Use only one folder or box at a time
  - Not smoke, eat, drink, or use audio equipment which would disturb others.
- Archivists should:
  - Return each container to the stacks or to a restricted, temporary storage area immediately after its use;
  - Limit photocopying, photographing, or scanning of archival documents to ensure preservation and security, respect copyright law, and best utilize their limited resources;
  - Permit only staff to enter the stack area.

Maintaining statistics of use and records of entrance/exit interviews is important for reports and publicity, as well as for evaluations and planning future policies and practices. (See also Pugh in the Bibliography)

## 2. Promoting Archives: Outreach Through Service and Publicity.

Archivists may use a variety of methods of outreach to inform resource allocators, campus units, and potential donors and users about the value and contents of archives and to facilitate their use. In a sense, everything archivists do—including all the sections above and documents such as this—are aspects of outreach. The areas of service and publicity deserve special consideration.

### **D. Service**

Academic archives provide administrative, research and educational services. By performing these functions, archives clearly establish their role in contributing to the information needs of their institutions and those of the larger research community.

#### 1. Administrative Service.

Academic archives perform several basic services to administrators, faculty, student governing bodies, and other campus units, e.g., alumni, development, physical plant, and public relations:

- Providing answers to questions about the history, policies, procedures, and decision-making processes of the institution, its academic and support programs and services, and individuals while they were there;
- Providing copies of documents, images, and other items;
- Providing finding aids to facilitate access to specific information;
- Retrieving and returning segments of record series to their office of origin;
- In institutions without formal records management (RM) programs, the archives may provide some basic RM functions;
- Academic archives should provide all offices with information about the nature and extent of the archives' documentation, access, and reference service policies and procedures.

But academic archives are not only information sources. They also help sustain colleges and universities by serving as a repository for treasured items from former students' school days; by providing students, alumni, and their friends and relatives with unique items, images, and information; and by helping celebrate anniversaries to strengthen emotional ties to their college or university.

## 2. Educational and Research Services.

Archives should serve all interested persons as a source of images and information about the institution. The scope of reference service will vary with the amount and type of requests; but should, at least, provide guidance on possible sources of information and on how to use them. Academic archives should also serve as an educational laboratory where students may learn about:

- A particular subject;
- The different types of available resources;
- The proper procedures and techniques for using primary archival resources in their research projects.

(The level and availability of educational and research services will differ in private and public institutions. For other appropriate restrictions see "Access" above.)

## 3. Publicity and Public Programs.

Outreach activities, which often support the social and cultural side of an institution, may translate into funds for or service to the institution. There are many possible types of outreach. Each archives' resources and archivist's imagination and ability will shape how they use opportunities such as:

- General or subject handout brochures on the archives;
- Attractive and clear directional signs to guide users to the archives;
- Meetings and programs by "Friends of the Archives" groups, if space permits;
- Exhibitions or displays of subjects or items in the archives and exhibit brochures, especially when the exhibit can be associated with key anniversaries or

- celebrations. Such displays can also serve archives' service and educational functions. They could be mounted in the student union or other highly visible campus locations as well as in the library or near the archives;
- Campus broadcast media (radio or television) or publications, e.g., catalogs, directories, newspapers, library handbooks, and other media to describe the archives' holding and services or provide historical sketches;
  - Networks (such as campus, Internet, World Wide Web—especially establishing an archives Web site); statewide, regional, and national databases, like RLIN and OCLC; public access television or library, historical, or archival journals for publicizing bibliographic records, repository guides, finding aids, or notes on accessions or on discoveries in or publications using the archives.

## **V. Facilities & Equipment**

Space requirements and facilities will vary with the size of the institution and the development of the archival program. Planning for archival facilities should include consideration of the potential types of media to be stored, the archives' organizational environment, the potential clientele for the archives to support and serve, and the types of functions and services the program will provide. The following recommendations are for minimal facilities and equipment for the proper functioning of an academic archives.

### **A. Facilities for Academic Archives.**

#### **1. General considerations.**

- The archives should be in a fire-resistant or fireproof building and equipped with an appropriate heat/fire detection and suppression system, including smoke and heat detectors and fire extinguishers. Local fire codes and regulations may dictate the final choice of these items. Archivists should consider their specific needs, resources, and the range of system alternatives before selecting one.
- Maintain constant temperature and humidity conditions. Since most archives store a variety of materials together, each with different optimum storage conditions, it will be impossible to provide ideal conditions for all materials. Archivists should be familiar with professional and industry standards for their range of record storage media. Suggested ranges are—temperature of 60-70°F. (16-21°C.) and relative humidity of 40-50%. It is especially important to minimize fluctuations within the suggested ranges.
- A security system should protect the archives. All archives areas should have locks. Only authorized personnel should ever have access to the keys or combination to these areas' locks.
- All windows and fluorescent lighting in the archives should have appropriate ultra violet light filter screens, particularly display areas and areas where archival material is on open shelves.
- Archives should have convenient access to a loading dock and elevators as required.

- Archives should have direct access to running water and sinks.
- In a multi-story building, archivists must ensure that floor load capacities will support appropriate shelving and records loads.
- Protect or locate archives away from environmental or structural hazards such as leaky pipes or wet basements.
- Adequately wire the archives for computer and communications services.

## 2. Other considerations.

- Administration: Provide adequate space for staff and standard office equipment and supplies.
- Work areas: Provide separate space for examining and processing records. This area should be large enough to accommodate large tables, computing equipment, and other equipment for processing records.
- Reference/research area: This space should be separate from, but convenient to, storage and work areas. It must be:
  - Supervised and restricted;
  - Large enough to accommodate several users;
  - Well lighted;
  - Furnished with appropriate furniture and accommodations for lap top computers and other electronic devices if the archives' reference policies permit their use.

It should provide:

- A separate space and facilities for checking bags, briefcases, and coats;
- Space for user registration;
- An area for discussing researchers' needs without disturbing other researchers;
- Space for reference collections and finding aids;
- Public access computer terminals for Internet capabilities, including access to electronic versions of finding aids, or in-house access to electronic finding aids.
- Storage areas: Only archives' personnel should have access to the stacks. The area should be large enough to:
  - Accommodate present holdings;
  - Permit the future growth of the archives. Determination of future space needs will depend on several factors, but reviewing annual accession rates will provide some guidance.
- Other areas: The functions provided by the archives program will determine the space for other areas. Space needs may include areas for;
  - Exhibits and public programs;

- Special media, such as microforms, photographs, oversized items, and emerging electronic media.

## **B. Equipment and Supplies**

Archives should have enough shelving for present holdings and for five to ten years of projected growth. It should be constructed of material that is safe for archival records with adjustable shelves to accommodate the types of materials and containers used for storage.

Archives must provide appropriate equipment storage and access to oversized items, photographs, maps, and electronic media which may vary in size or types. Major types of necessary equipment and supplies include:

- Computers, servers, printers, photocopiers, scanners, and other electronic equipment as appropriate;
- Equipment appropriate for transporting boxes and other archival materials;
- Folders, document cases, boxes, or other containers appropriate for the long-term preservation of archival materials;
- Standard office supplies.

Researchers must be provided access to special equipment (whether owned by the Archives or available to it) when the materials are in alternate formats, such as microfilm/fiche, and/or electronic and digital media.

## **VI. Supporting Services**

Supporting services will vary, depending upon the types of materials within the archives and the kinds of services and functions provided. Supporting services may include access to:

- Photographic and sound duplicating equipment or services;
- A range of preservation and conservation services, such as fumigation and appropriate item repair;
- Information Technology (IT) support;
  - Hardware and software support for both the archives' internal computing needs and needs related to outreach to the community,
  - Support for access to and retrieval of electronic data designated for archival preservation that may be physically stored outside the archives.
- Multimedia equipment for exhibit and public programming needs.

## Appendix I: Types of Academic Records

The following list of types of records in most academic archives is suggestive, not exhaustive. The relative importance of such records will vary with each institution in accordance with the institution's and archives' mission statements. Documentation need not be restricted to these types, nor should archivists substitute this list for analysis of their institutions' archives. (See also Samuels in the Bibliography.)

1. Legal or constituting documents (e.g., charters, constitutions, by-laws), vital records or security copies produced by any campus vital records program, policy statements, and reports (along with their supporting documents), minutes, substantive memoranda, correspondence, and subject files of the institution's:

- Governing board;
- Chief executive, academic, legal, financial, student affairs, and administrative officers;
- Heads of units operating with a high degree of independence, e.g., branch campuses, universities' colleges, medical and law schools, and research institutes;
- Major academic and administrative committees, including the faculty senate.

2. Reports of:

- Self-studies and accreditation visits;
- Annual budgets and audits;
- Offices of admissions, institutional research, university relations—public relations both on- and off-campus—and development (fundraising);
- Research projects, including grant records.

3. Records of:

- Departments, e.g., minutes, reports, syllabi, faculty vitae, and sample test questions;
- Retired, resigned, terminated, or deceased personnel the school employed;
- The registrar, e.g., calendars and class schedules, noncurrent student transcripts, enrollment records, graduation rosters, and other reports issued on a regular basis;
- Academic, honorary, service, and social organizations of students, faculty, administrators, and staff on campus.

4. All publications, newsletters, posters, or booklets about or distributed in the name of the institution or one of its sub-units, e.g., books, posters, magazines, catalogs, special bulletins, yearbooks, student newspapers, university directories and faculty/staff rosters, alumni magazines, web pages, and ephemeral materials.

5. Special format materials documenting the operation and development of the institution, such as:

- Audio, audiovisual and multi-media productions—still photographs, slides, and negatives, digital images, motion picture films, audio and audiovisual cassettes;
- Oral history interviews with their transcriptions;
- Maps, blueprints, and plot plans of the campus and its buildings.

6. M.A. and Honors theses and Ph.D. dissertations.

7. Digital and other electronic records or lists of where such items are maintained and finding aids for accessing them.

8. Artifacts related to the institution

9. Vertical files of primary and secondary materials for quick responses to general reference questions. Vertical files of secondary materials may be in the reading room for researchers.

10. Records and papers produced by school-related organizations, groups, and individuals while actively connected with the school, such as private papers of faculty members produced while working with or for the school; as well as manuscript collections related to the school—unless the archives is in a division with a manuscripts department. Some archives have greatly increased the documentation of their institutions by having all records and papers produced by school personnel in the course of their profession during their employment at the school, excepting personal correspondence, lecture and research notes, and products declared official school records.

11. Records of prominent alumni.

## **Appendix II: Records falling under Family Educational Rights and Privacy Act**

Student records have historical research value and can be used for educational, sociological, historical, and genealogical studies. Because student records are governed by privacy laws, especially the Family Educational Rights and Privacy Act (FERPA), permission to use the records may be unclear. Without clear direction from the Department of Education, archivists must follow the frequently restrictive dictates of their institution's registrars and legal counsels. Because institutions interpret FERPA requirements differently and within the confines of state laws, the College and University Archives Section produced these guidelines for the administration of student records:

1. Archivists acknowledge that privacy laws are important; however due to their research potential, student records should not be restricted for an extended period of time after the death of the individual. Post-secondary student academic records should be open after the subject's death, or 70 years after creation, whichever comes first.
2. Current student directory information, as defined by the educational institution, is open without restriction to all researchers. Individual students however may request the parent institution to restrict his/her directory information; such a restriction expires when the student is no longer enrolled.
3. Researchers should be able to use student records even if still under FERPA regulations for any organizational or historical study as long as they agree not to release personally identifiable student information without the prior written consent of the student, and to destroy all student-identifying information at the completion of their research.
4. Archives will not discriminate among types of users.
5. The laws of individual states or institutional policies may alter these guidelines.

### Appendix III: Select Bibliography for Academic Archivists

#### Periodicals

*American Archivist* (Society of American Archivists)  
*Archival Outlook* (Society of American Archivists)  
*Archivaria* (Association of Canadian Archivists)  
*Archival Issues* (Midwest Archives Conference)  
*Collection Management*  
*College and Research Libraries*  
*College and Research Libraries News*  
*Information Outlook*  
*Journal of Academic Librarianship*  
*Journal of Archival Organization*  
*Provenance* (Society of Georgia Archivists)  
*Southwestern Archivist*: Quarterly publication of the Society of Southwest Archivists  
*Rocky Mountain Archivist*  
*Records and Information Management Report* (Greenwood Publishing Group)  
*Information Management Journal* (ARMA)

#### Archival Fundamentals Series: (Chicago: Society of American Archivists)

Ham, F. Gerald, *Selecting and Appraising Archives and Manuscripts*, 1993.  
Miller, Frederic M., *Arranging and Describing Archives and Manuscripts*, 1990.  
O'Toole, James M., *Understanding Archives and Manuscripts*, 1990.  
Pugh, Mary Jo, *Providing Reference Service for Archives and Manuscripts*, 1993.  
Ritzenthaler, Mary Lynn, *Preserving Archives and Manuscripts*, 1993.  
Ritzenthaler, Mary Lynn, Gerald J. Munoff and Margery S. Long, *Archives and Manuscripts: Administration of Photographic Collections*, 1984.  
Wilstead, Thomas and William Nolte, eds., *Managing Archival and Manuscript Repositories*, 1991.

#### Other Texts:

*Describing archives: a content standard*. (Chicago: Society of American Archivists, 2004).

Birnbaum, Robert, *How Colleges Work: The Cybernetics of Academic Organization and Leadership*, (San Francisco: Jossey-Bass Publishers, 1989).

Brown, Lauren R. "Archival programs in the academic library." *Leadership and Administration of successful archival programs* (Greenwood Press, 2001).

Dearstyne, Bruce W., ed., *Effective Approaches for Managing Electronic Records And Archives* (Scarecrow Press, Inc., 2001).

Dojka, John and Sheila Conneen, "Records Management as an Appraisal Tool in College and University Archives," (19-59) in Peace, Nancy E., ed., *Archival Choices: Managing the Historical Record in an Age of Abundance* (Lexington, MA: Lexington Books, 1984).

Hunter, Gregory S., *Developing and maintaining practical archives: a how-to-do-it manual* (New York: Neal-Schuman Publishers, 2003).

Kurtz, Michael J., *Managing Archival and Manuscript Repositories* (Chicago: Society of American Archivists, 2004).

Maher, William J., *The Management of College and University Records* (The Society of American Archivists and Scarecrow Press, Inc., 1992).

McGinnis, Susan D., ed., *Electronic Collection Management* (Haworth Press, 2001).

National Conference of African American Librarians (3<sup>rd</sup>: 1997: Winston-Salem, NC).  
Culture Keepers III Black Caucus of the American Library Association, 2000.

Samuels, Helen W., *Varsity Letters: Documenting Modern Colleges and Universities* (Chicago: Society of American Archivists and Scarecrow Press, 1992).

Stephens, David O. and Roderick C. Wallace, *Electronic Records Retention: New Strategies for Data Life Cycle Management* (ARMA International, 2003).

**Most titles listed are available via the [SAA Professional Resources Catalog](#) or from the Society of American Archivists (312/922-0140, [info@archivists.org](mailto:info@archivists.org), [www.archivists.org](http://www.archivists.org)).**