

**Ninth Annual Meeting of the  
Corporate Archives Forum  
May 10-12, 2006  
JP Morgan Chase Conference Center  
New York, NY**

**Meeting Notes  
Final**

The ninth annual meeting of the Corporate Archives Forum was held May 10-12, 2006 in New York, NY. The JP Morgan Chase Archives hosted the meeting. Present were:

- Elizabeth Adkins, Ford Motor Company
- Laurie Banducci, Gap Inc.
- Bruce Bruemmer, Cargill
- Jean Elliott, JP Morgan Chase
- Paul Lasewicz, IBM
- Phil Mooney, Coca-Cola Company
- Jane Nokes, Scotia Bank
- Ed Rider, Procter & Gamble
- Becky Haglund Tousey, Kraft Foods

Greg Hunter of Long Island University served as facilitator and note-taker.

To protect confidentiality, these meeting notes do not attribute comments to any attendee or company. The attendees are sharing these notes with the wider archival community in the hopes of furthering the discussion of issues.

This year's meeting included the following topics:

1. Records Management: The Good, Bad, and Ugly of Outreach and Enforcement
2. Managing Non-North American Historical Archives Within the Corporation
3. Do We Need a Code of Ethics for Business Archives?
4. Outreach: Proving Your Value to Lines of Business
5. Asserting Rights to "Strayed" Records
6. Web Site Capture
7. Collection Management Systems and Maintaining Provenance
8. Supporting New Business Structures: Franchising and Internationalization
9. Oral History as a Strategic Asset
10. Informal Salary Survey

**1. Records Management: The Good, Bad, and Ugly of Outreach and Enforcement**

One corporation began records management in 1999. Records management and archives are "incredibly linked." Such an integrated program has both good and bad aspects.

For example, there are different audiences for the two functions. This can be confusing to audience in different parts of the business: Are you acting now as the “archivist” or the “records police?” After Sarbanes-Oxley, records management has gone from “records police” to “savior.” Also with records management, the Information Technology Department is a partner as they want to reduce retention of unnecessary files and data. The Legal Department also loves records management – they want retention schedules enforced. In the archives world, you develop deep relationships with a few key people. With records management, you have more potential allies.

There are a number of ways that records management program benefits an archives program:

- You are able to assess records that you otherwise would never know about. The downside is that sanitized, compliance-friendly records are sent to the archives (such as executive correspondence).
- The archivist is part of schedule review and destruction processes. Departments cooperate with this because no one wants to be citing for non-compliance with a corporate policy.
- The archives can be a compliance savior. Archival databases control information and can help assure compliance with records policies.
- Records Management has partnered with the audit department to conduct records compliance audits six months after employees receive records training.

The compliance audit process is an interesting one. The auditor looks at the records retention schedule to see what should be in the archives. The auditor then asks the archivist if the records have been received. If the answer is “no,” the originating department gets cited for non-compliance. They are using the term “enforced archiving” – departments will be audited for compliance.

Records Management does extensive training for departments, and includes archiving information in the training as it pertains to managing records listed on the records retention schedule.

Budgets sometimes can be reduced for archival projects. The overall budget will be larger because of records management. This can provide a buffer in times of difficulties. Also, being part of the business processes can provide a survival mechanism for the program and staff team.

Staff development can also be enhanced. Greater responsibilities can lead to higher salaries. The downside is that there is less time for archival work.

## **2. Managing Non-North American Historical Archives Within the Corporation**

There are a number of issues with managing non-North American historical repositories (by a US-based global business):

- Should the organization be centralized or decentralized?
- Should archives and records management be in different departments or one department?
- How do you balance physical control (local) with intellectual control (global) of the collection?
- Do you maintain records in hard copy or convert them to digital format?
- How do you deal with differences of language and culture?

- How do you integrate a staff of both records professionals and self-appointed custodians?

In one global corporation there are at least four different models for dealing with archival records in different geographic locations.

1. *Professional.* In this model there are professional Archives staff and appropriate facilities and services. Archives and records management are integrated. The satellite operation has a good working relationship with corporate (US) headquarters but does not report to headquarters. [Since this meeting the satellite archive now reports directly to headquarters.]
2. *Local donation/transfer to the U.S.* This model leads to a split collection – older records of more general historical interest are donated to a local research institution and selected records with enduring business value are retained by the business unit or transferred to headquarters (US).
3. *In-country (cooperative).* This is a shared-resource model and a cooperative effort. It uses existing, non-professional records custodians in various countries. Headquarters (US) provides advice and support and the local business unit also provide some funding.
4. *In-country (unilateral).* This involves a more unilateral approach driven by a local business unit rather than driven by headquarters. It is not always in step with global approaches.

A number of observations were made about the various models and approaches:

- There is no cookie-cutter approach. The approach must be driven by the local context and the timing of events.
- Depending on the organizational structure, the archivist can have limited authority, serving as a “consultant from headquarters.” It can be difficult to manage expectations of people with different perspectives. You have to be authoritative but sensitive to local interests.
- Face-to-face site visits are critical to success. They build relationships, establish trust, and demonstrate expertise.
- An evolutionary/incremental approach often is best. You take advantage of opportunities as they present themselves.

One corporation is working toward creating a “matrix for records preservation.” This will identify the various sites and discuss the options or models, including the “Attila the Hun” model of swooping in and gathering treasures.

Another corporation has adopted a centralized approach. This is easier because all units use English and share the same Internet home page. All business units are global. Marketing groups also are worldwide, but with regional responsibilities. They assign archivists to business units and will set up archives internationally at “functional centers.” This will be funded as part of “global business services.” The library and records management functions already have gone global; the archives will develop a global structure.

### 3. Do We Need a Code of Ethics for Business Archives?

The discussion focused on the following tables, which compared similar statements in codes of ethics among professional archival associations and ARMA.

	<b>SAA 2005</b>	<b>Wayne Grover 1955</b>	<b>Benedict Proposal 2004</b>
<b>1.</b>	Archivists select, preserve, and make available historical and documentary records of enduring value. Archivists cooperate, collaborate, and respect each institution and its mission and collecting policy. Respect and cooperation form the basis of all professional relationships with colleagues and users.		Archivists select, preserve, and make available historical and documentary records of enduring value. Archivists cooperate, collaborate, and respect each institution and its mission and collecting policy. Respect and cooperation form the basis of all professional relationships with colleagues and users.
<b>2.</b>	Archivists should exercise professional judgment in acquiring, appraising, and processing historical materials. They should not allow personal beliefs or perspectives to affect their decisions.	The archivist must realize that in selecting records for retention or disposal he acts as the agent of the future in determining its heritage from the past. Therefore, insofar as his intellectual attainments, experience, and judgment permit, he must be ever conscious of the future's needs, making his decisions impartially without taint of ideological, political, or personal bias.	Archivists should exercise professional judgment in acquiring, appraising, and processing historical materials. They should not allow personal beliefs or perspectives to affect their decisions.
<b>3.</b>	Archivists should not profit or otherwise benefit from their privileged access to and control of historical records and documentary materials.	The archivist should not profit from any commercial exploitation of the records in his custody, nor should he withhold from others any information he has gained as a result of his archival work in order to carry out private professional research. He should, however, take every legitimate advantage of his favored situation to develop his professional interests in historical or other research.	Archivists should not profit or otherwise benefit from their privileged access to and control of historical records and documentary materials.
<b>4.</b>	Archivists strive to preserve and protect the authenticity of records in their holdings by documenting their creation and use in hard copy and electronic formats. They have a fundamental obligation to	The archivist must be watchful in protecting the integrity of records in his custody. He must guard them against defacement, alteration, or theft; he must protect them against physical damage by fire or excessive	Archivists strive to preserve and protect the authenticity of records in their holdings by documenting their creation and custodial history and preserve the intellectual and physical integrity of those records.

	<b>SAA 2005</b>	<b>Wayne Grover 1955</b>	<b>Benedict Proposal 2004</b>
	<p>preserve the intellectual and physical integrity of those records.</p> <p>Archivists may not alter, manipulate, or destroy data or records to conceal facts or distort evidence.</p>	<p>exposure to light, damp, and dryness; and he must take care to see that their evidentiary value is not impaired in the normal course of rehabilitation, arrangement, and use.</p>	<p>Archivists may not alter, manipulate or destroy data or records to conceal facts or distort evidence.</p>
5.	<p>Archivists strive to promote open and equitable access to their services and the records in their care without discrimination or preferential treatment, and in accordance with legal requirements, cultural sensitivities, and institutional policies. Archivists recognize their responsibility to promote the use of records as a fundamental purpose of the keeping of archives. Archivists may place restrictions on access for the protection of privacy or confidentiality of information in the records.</p>	<p>The archivist should endeavor to promote access to records to the fullest extent consistent with the public interest, but he should carefully observe any established policies restricting use of records. Within bounds of his budget and opportunities, he should work unremittingly for the increase and diffusion of knowledge, making his documentary holdings freely known to prospective users through published finding aids and personal consultation.</p>	<p>Archivists strive to promote open and equitable access to their services and the records in their care without discrimination or preferential treatment, in accordance with cultural sensitivities, institutional policies and legal requirements.</p>
6.	<p>Archivists protect the privacy rights of donors and individuals or groups who are the subject of records. They respect all users' right to privacy by maintaining the confidentiality of their research and protecting any personal information collected about them in accordance with the institution's security procedures.</p>	<p>The archivist should respond courteously and with a spirit of service to all proper requests, but he should not waste time responding in detail to frivolous or unreasonable inquiries. He should not place unnecessary obstacles in the way of those who would use the records, but rather should do whatever he can to spare their time and ease their work. Obviously, he should not idly discuss the work and findings of one searcher with another; but where duplication of research effort is apparent, he may properly inform one searcher of the work of another.</p>	<p>Archivists respect the privacy of donors, users, and individuals and groups who are the subjects of records or who had no voice in their creation or donation. Archivists should respect the confidentiality of information in the records in their custody. Archivists recognize legal, institutional, social, cultural, spiritual, and indigenous issues regarding access.</p>
7.	<p>Archivists protect all documentary materials for which they are responsible and guard them against defacement,</p>		<p>Archivists protect documentary materials in their custody, guarding them against defacement, physical damage,</p>

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	physical damage, deterioration, and theft. Archivists should cooperate with colleagues and law enforcement agencies to apprehend and prosecute thieves and vandals.		deterioration, and theft. Archivists should cooperate with colleagues and law enforcement agencies to apprehend and prosecute thieves and vandals.
<b>8.</b>	Archivists must uphold all federal, state, and local laws.		Archivists become familiar with and uphold all legal and statutory requirements pertaining to custody of archival records and archival practice.
<b>9.</b>		The archivist has a moral obligation to society to preserve evidence on how things actually happened and to take every measure for the physical preservation of valuable records. On the other hand, he has an obligation not to commit funds to the housing and care of records that have no significant or lasting value.	
<b>10.</b>		The archivist should freely pass on to his professional colleagues the results of his own or his organization's research that add to the body of archival knowledge. Likewise, he should leave to his successors a true account of the records in his custody and of their proper organization and arrangement."	

	<b>ARMA</b>	<b>ACA*</b>	<b>Society of Archivists 1994</b>
<b>1.</b>		Archivists appraise, select, acquire, preserve, and make available for use archival records, ensuring their intellectual integrity and promoting responsible physical custodianship of these records, for the benefit of present users and future generations.	Members must perform their function in respect of the creation, maintenance and disposal of current and semi-current records, the selection, acceptance or acquisition of records for archival custody, the safeguarding, preservation and conservation of records in their care and the arrangement, description, publication and

	<b>ARMA</b>	<b>ACA*</b>	<b>Society of Archivists 1994</b>
			making available for use of those records in accordance with generally accepted archival principles and practices, offering impartial advice to all and employing available resources to provide a balanced range of services
<b>2.</b>	Avoid conflict of interest or improper gain at the expense of clients, employers, or co-workers.		Members must refrain from activities that might prejudice their professional integrity and in particular must ensure that private research and publication, personal collecting interests or collaboration with the media, do not conflict with, or encroach upon, their professional responsibilities
<b>3.</b>	Support the creation, maintenance, and use of authentic, reliable, usable information and support the development and use of information systems that place a high priority on accuracy and integrity, which requires that records be complete and unaltered (ISO 15489-1 Records Management).		The primary duty of members is to maintain the integrity of the records in their care and custody but in performing this duty, they must balance the respective, legitimate rights and interests of employers, owners, data subjects and users, both present and future.
<b>4.</b>	Support the free flow of publicly available information as a necessary condition for an informed and educated society.	Archivists encourage and promote the greatest possible use of the records in their care, giving due attention to personal privacy and confidentiality, and the preservation of records.	
<b>5.</b>	Affirm that the collection, maintenance, distribution, and use of information about individuals is a privilege in trust: the right to privacy of all individuals must be both promoted and upheld.		Members must not misuse or allow unauthorised disclosure or use of any information acquired by them, in confidence, in the course of their professional work
<b>6.</b>	Affirm the legal, ethical, and moral use of information.	Archivists use their specialized knowledge and experience for the benefit of society as a whole.	
<b>7.</b>	-Pursue an appropriate program of ongoing education for the professional practice, which may include certification. -Enrich the profession by	Archivists contribute to the advancement of archival studies by developing personal knowledge and skills, and by sharing this information and	-Members must endeavour to develop their professional understanding and expertise, to contribute to extending the body of professional knowledge and to

	<b>ARMA</b>	<b>ACA*</b>	<b>Society of Archivists 1994</b>
	<p>endorsing the sharing of knowledge, experience, and research; encourage public discussion of the profession's values, services, and competencies.</p> <p>-Embrace and practice an attitude of cooperation and mutual respect for the contributions of other RIM professionals and attempt to create an atmosphere in the best interests of clients or employers.</p>	<p>experience with members of archival and related professions.</p>	<p>ensure that those whose training or activities they supervise are equipped to carry out their tasks in a competent manner</p> <p>-Members must seek to avoid conflict with their professional colleagues and with members in related professions and strive to resolve difficulties on a basis of mutual respect and understanding</p>
<b>8.</b>	<p>Strive to serve the client or employer at the highest level of their professional competence.</p>	<p>Archivists carry out their duties according to accepted archival principles and practices, to the best of their abilities, making every effort to promote and maintain the highest possible standards of conduct.</p>	<p>-Members of the Society must conduct themselves in such a way that their behaviour would not reasonably be regarded by the Council of the Society as professional misconduct</p>
<b>9,</b>	<p>Are actively committed to recruiting individuals to the profession on the basis of competence and educational qualifications without discrimination.</p>	<p>Archivists have a responsibility to ensure that they and their colleagues are able to perform these and other professional activities in an environment free of discrimination and sexual or personal harassment.</p>	<p>Members must act with due regard to the Society's Equal Opportunities Policy and not discriminate in their dealings with individuals or organisations on the grounds of race, colour, religious beliefs or practices, ethnic or national origin, disabilities, gender, sexuality, marital status and age</p>
<b>10.</b>	<p>Recognize illegal or unethical RIM-related actions and inform the client or employer of possible adverse consequences.</p>		
<b>11.</b>	<p>Maintain the confidentiality of privileged information.</p>		
<b>12.</b>	<p>Recognize the need for careful action to assure appropriate access to information without violation of the intellectual property rights of the owners of that information.</p>		
<b>13.</b>	<p>Accurately represent their education, competencies, certifications, and experience to</p>		

	ARMA	ACA*	Society of Archivists 1994
	superiors, clients, co-workers and colleagues in the profession.		
14.			Members must seek to promote the objects of the Society as set out in its Memorandum and Articles of Association, and must not engage in any action which is contrary to those objects
15.			Members must not seek or seem to ascribe to the Society responsibility for views expressed or actions taken by them unless expressly authorised to do so.

\* ACA's code is broken into two sections: Principles and Application of Principles. Only the first section is reflected here.

#### **4. Outreach: Proving Your Value to Lines of Business**

One corporate archives is providing more “historical services” rather than performing traditional archival functions like arrangement and description. Almost nobody from the corporation comes to the archives to do research. It is more of a corporate library environment, where the key is to provide analysis, not just raw research.

This archives also has conducted a large number of tours, averaging 350-600 people per month. All of Global Business Services has “products.” The current climate is to push services rather than to sit back and wait for people to come. One potential archival service is a “memory lab service,” where the archives spends time on each brand.

A second corporate archives was given one year to prove its value as a knowledge resource that business lines will fund. The archives has to educate new managers and push services to regional operations. They provide private tours and prepare client gifts with an historical theme. They also are developing a traveling exhibit for trade shows.

#### **5. Asserting Rights to “Strayed” Records**

Many archives face the problem of records that have “strayed” from official custody. While there is legal case law back to the 1860s dealing with this, is the legal course of action a viable alternative?

The problem often is with records of senior executives. What kind of dialogue can you have with people of power? How do you ask them to return records?

Corporate cultures differ on what is acceptable to retrieve records. One company will not buy anything from employees or ex-employees.

Advertising agencies also may retain records depending upon the contract they have with the corporation. There have been subsequent hard feelings when the advertising agencies donated the advertising materials to other repositories. The same has been true of photographic collections.

None of the people present has used a “strong arm approach” to the return of records. Among other things an archives can try are:

- Strengthen records management policies and manuals. Include best practices and compliance concerns.
- Use on-line training modules.
- Put teeth in records management enforcement.
- Put the return of records on a pre-separation checklist prepared by Human Resources
- Get photocopies if you can’t get the originals
- Purchase records as a last resort

## 6. Web Site Capture

One corporation is beginning with non-proprietary Web sites outside of the corporate firewall. Some of the questions are: What to capture? How often? For what reasons?

The purpose in Web capture is to provide evidence of changes to marketing. This requires capturing static information that used to be on paper.

What are the legal and regulatory implications, especially legal discovery?

If one goal is to capture the “look and feel” of the Web site, this will vary depending upon connection speed, etc.

The Web developer for one company uses a content management system to manage development files in portfolios, but that system can't easily be transferred to the corporate archives. That company is looking at the possibility of a software package called “Offline Explorer Pro” that captures sites in native format. It captures the whole site or just parts, Flash as well as Java. However, there are some long-term concerns about using proprietary software for capture.

Another corporation is capturing the intranet quarterly. They are using Adobe Acrobat 6 for the capture. Some of the issues are:

- There is too much information if you go below capturing 2 levels
- Drop-down menus are not captured automatically – you have to do this manually.
- “Next” pages also are not captured automatically
- Java script is not captured
- What you save is not necessarily what you get. Sometimes you save a link to the live Web without knowing it – which becomes a dead link later on
- There are numerous “failures” caused by firewalls and dynamic sites. If you convert Web pages one at a time there are no firewall issues – but there are efficiency issues

Capturing a page by “printing as a PDF” is even more time-consuming. The ultimate low-tech solution is a “screen grab” which is not searchable.

In Adobe, you can create “catalogs,” perhaps by record type. These catalogs enable you to search across PDF files. Catalogs and PDFs must be in the same folder, however. You can’t search files on a separate CD. This corporation has been doing Web captures since 2001 and has 232 GB of data.

Another corporation uses Stellant to catalog Web sites as PDFs. The files reside on an active server.

## **7. Collection Management Systems and Maintaining Provenance**

One corporation has a series of several databases:

- They track provenance in an accessions database. Forms are printed for donor signature. While researchers seldom are interested in provenance, it is important to document. Accessioning information helps support the authenticity of the records.
- They use another database for all levels of archival description. Over 75% of the collection is described at the item level. They have 200,000 photos described at the item level.
- They have a “shelf list database” linked to accession numbers. It is separate from the description database.
- There is a separate database of architectural plans. The archives contains the “as built” drawings for all corporate buildings and facilities.

They have chain-of-custody documentation. They would like to have a better report capability and the ability to link across databases and folders.

Another corporation has a collections management tool for internal archival use. They would like to add a self-help tool for other corporate employees. Provenance and accession information will not be in the new tool.

A third corporation is looking at two tools: Eloquent and Minysis (Oracle-based). Both tools have modules (archives, records management, library, and museum) and can manage processes (accessioning, arrangement, etc.) through workflow. They can also manage requests.

A fourth corporation has both an archives site and a content management site. They are adding “pre-approved images” (legal says it’s OK to use them). Employees love it – and so do the lawyers!

## **8. Supporting New Business Structures: Franchising and Internationalization**

One country has begun franchising businesses in foreign countries. The archives supports this in the following ways:

- Meets with franchisees to discuss records and records management
- Speaks with Legal about records supporting branding in new countries
- Works with Marketing to understand needs and leverage them

A concern is that franchisees are responsible for securing rights and permissions. There is a concern about how franchisees use the data.

There needs to be a system to encourage the submission of data. Attorneys need to be concerned about intellectual property, including trademarks. There needs to be a quality control clause in the franchisee contract.

### 9. Oral History as a Strategic Asset

One corporation is finding ways to look at oral history as a strategic asset. Some of the considerations are:

- A template for questions covering issues of ongoing strategic value; the template is modified and additional questions are added depending on who is being interviewed
- Transcription and editing are tightly controlled
- A release form signed by both the interviewer and the interviewee
- The PDF file (after editing) is the official record
- Information is consolidated from the interviews. Transcripts now total over 6,500 pages. They have been collecting excerpts from the edited transcripts that have helped inform a brief summary of the strategic issues covered in the interviews.

### 10. Informal Salary Survey

The CAF attendees took the opportunity to benchmark a number of factors:

- Director's salary
- Director's bonus
- Principal assistant's salary

Information was given anonymously to Greg, who compiled the following totals:

Category	N	High	Mean	Median	Low
Director's salary	9	\$190,000	\$110,908	\$124,000	\$80,000
Director's bonus	6	90,000	23,917	13,000	2,500
Principal assistant's salary	4	118,000	87,250	85,000	61,000

Manager's stock received: 3 yes, 5 no

### Next Year

There were two suggestions for the meeting next year:

- Succession planning
- Professional development of staff