

READINGS ON COLLEGE AND UNIVERSITY ARCHIVES

AN ANNOTATED BIBLIOGRAPHY

Volume 1

Selected from publications in the United States, 1985-1995

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Introduction

ICA/SUV members decided at the Lancaster meeting to create a multilingual bibliography of articles and books related to university archives and research institutes dating from 1985 to the present. The bibliography will include citations to individual articles and books and to existing bibliographies or reference publications. Adding to the information about title, author, and edition, the bibliography will provide a brief description of the articles or book. Each bibliography may be in the language of the articles only or in multiple languages; that is at the discretion of the author.

Sections of the bibliography will initially be published as a part of the ICA/SUV newsletter.

This first section was compiled by Jennifer A. Lammers as part of her graduate studies in archives at the University of Michigan's School of Information and Library Studies. She was supervised by Marjorie Barritt, chair of the ICA/SUV.

For the Bibliography Committee Linköping, Sweden August 1995
Eli Hjorth Reksten

Readings on College and University Archives: An Annotated Bibliography

This bibliography is the first in a series on college and university archives compiled by members of the Provisional Section of University and Research Institution Archives of the International Council on Archives. The scope of this bibliography covers publications within the United States since 1985. Older works that were judged to have enduring value were included. Works from other countries will be included in the following articles in this series. Searches were conducted in the Research Libraries Information Network (RLIN) database, Library Literature, and the periodicals themselves.

While it is hoped that this bibliography is comprehensive, the methodology employed in its construction may not have uncovered everything. Items that were not readily available within the University of Michigan Library or at the Bentley Historical Library were excluded. A brief annotation is included with each citation for the reader's convenience.

1. American Association of Collegiate Registrars and Admissions Officers. *Retention of Records: A Guide for Retention and Disposal of Student Records*. Washington, D.C.: American Association of Collegiate Registrars and Admissions Officers, 1987.

This updated version of the AACRAO Guide provides a basis for records management practices and scheduling of student records for disposition. The various issues involved with the use of computer media, such as tapes, disks, and optical disks, and how records retention relates to this new format are discussed. The future archival significance of student records to genealogists, statisticians, historians, and posterity in general is discussed along with the responsibility of records managers to researchers and archivists of the future. Sample retention schedules for different types of student records are given.

2. Barritt, Marjorie Rabe. "The Appraisal of Personally Identifiable Student Records." *American Archivist* 49 (Summer 1986): 263-275.

This article examines problems that have developed in the administration and appraisal of student records due to the growth of academic institutions and the proliferation of laws and regulations pertaining to such records. The effect of the laws of the past decade, especially the Family Education Rights and Privacy Act, on record keeping practices; the way in which archivists and records managers manage and appraise student records; and the effect on the research community are discussed.

3. Barritt, Marjorie Rabe. "Adopting and Adapting Records Management to College and University Archives." *The Midwestern Archivist* 14, no. 1 (1989): 5-12.

A 1987 survey of records management practices at twelve university archives is discussed. Results show that the archives are modifying records management to suit their own particular situation while continuing traditional archival services. Elements of an archives and records management program are also discussed.

4. Baumann, Roland M. "Oberlin College and the Movement to Establish an Archives, 1920-1966." *The Midwestern Archivist* 13, no. 1 (1988): 27-38.

This article describes the conflict and issues surrounding the establishment of an archives at Oberlin College. A history of an archival program is an important endeavour especially when doing a self study, planning, or as in Oberlin's case, educating institutional resource allocators about the archives.

5. Baumstein, Pashchal. "Should the University Archives be in the Library?" *Catholic Library World* 61 (Nov/Dec 1989): 122-6.

The author argues for the separation of archives from libraries based on the differing principles upon which each discipline was founded. Practical reasons, such as space limitations and funding are the most common arguments for the housing of archives within libraries. The fact that librarians and archivists form two distinct professions argues for their separation. Also, reliance on one of these professions to be familiar with and versed in the principles and practices of both is unrealistic and does injustice to both. A reader response to the issues raised by the author is included.

6. Boles, Frank and Julia Marks Young. "Exploring the Black Box: the Appraisal of University Administrative Records." *The American Archivist* 48 (Spring 1985): 121 -

The authors examine T.R. Schellenberg's premises for development of appraisal methods and offer an alternative approach focusing on university administrative records. A model is developed comprising three elements: value of information, cost of retention, and implications of the appraisal recommendations. These elements are to be considered when making an appraisal decision and are explored in depth.

7. Cloud, Patricia. "Fitting In: The Automation of the Archives at Northwestern University." *Provenance* 5 (Fall 1987): 14-26.

The transition of the Northwestern University archives to an automated environment is described. Issues and difficulties arising from use of a library based system (NOTIS) to describe and represent archival materials are discussed along with a grant funded project to create Archive and Manuscript Collections (AMC) records for Research Libraries Information Network (RLIN). Difficulties associated with the migration of these records from RLIN to NOTIS are outlined.

8. *College & University, Archives: Selected Readings*. Chicago: Society of American Archivists, 1979.

This work is an attempt to provide access to the current literature on college and university archives. The articles in this work focus on a wide range of basic topics including appraisal, access, records management, faculty papers, student records, archives-library relations, grants, special programs, administrative services, legal problems, general overviews of archival organization and administration, and descriptions of specific programs.

9. Dowler, Lawrence. "Integrating Archival Management with Library Networks: Implications for the Future." In: *Academic Libraries: Myths & Realities*, ACRL. 1984. p. 80-4.

The author discusses the potential impact of integrating archival management with library networks. Benefits of this include opportunities for improving cooperation among various kinds of special collections, fuller integration of their collections with research library collections, increased visibility of archival collections, and an improved understanding of archival techniques by librarians. A more flexible approach to access problems and increased exchange of ideas and techniques between archivists and librarians will also result.

10. Floyd, Barbara L. and Richard W. Oram. "Learning By Doing: Undergraduates as Employees in Archives (Survey)." *The American Archivist* 55 (Summer 1992): 52.

The author discusses the advantages and disadvantages of hiring undergraduate students to fill staffing shortages based on a survey of eighty one large university archives. Suggestions are offered for the effective use and management of undergraduate employees.

11. Frye, Dorothy. "Linking Institutional Missions to University and College Archives Programs: The Land Grant Model." *The American Archivist* 56 (Winter 1993): 3652.

A strategy for increasing usefulness and visibility of archival programs within their institutions by exploring ways of linking their programs, collection policies and activities to the institutional mission is proposed. Data collected on the collection policies, mission statements, outreach activities, and other information on land grant colleges and university archives is presented within the context of the land grant history and mission.

12. Gilliland-Swetland, Anne J., Greg T. Kinney, and William K. Wallach. "The Use of Electronic Communication to Document an Academic Community" Final Report, NHPRC, December 1992.

This report of the Bentley Historical Library computer conferencing project looks at the viability of computer conferencing as a method for documenting the intellectual, cultural, and social environment of colleges and universities. Computer conferences at the University of Michigan were monitored for possible archival value. Difficulties in gaining access to these conferences and obtaining participant permissions are discussed. An overview of computer conferencing systems, in particular the Confer II software, is provided. The report includes recommendations regarding the archival appraisal and accessioning of computer conference. Issues raised by the project that may be generic to the archival management of electronic communications are discussed.

13. Goerler, Raimund E. "'Play It Again Sam': Historical Slide Presentations in Public Programming-A Case Study." *The American Archivist* 54 (Summer 1991): 378388.

The author describes the presentation developed by Ohio State University Archives which depicts the history of the institution and which has drawn the attention of administrators, staff, faculty, students, and alumni. Discussion focuses on the analysis of the potential audience, well-defined objectives, technical decisions, product testing, and marketing.

14. Goerler, Raimund E. "Towards 2001: Electronic Workstations and the Future of Academic Archives." *Archival Issues* 17, no. 1 (1992): 11-22.

The presence of the electronic workstation will allow researchers to pull together information from a variety of sources, including the campus archives, in a single spot. Archival participation in the evolution of this technology will not happen instantaneously, but there are opportunities for the archives to convince resource allocators that technological investment in the archives will be valuable and important to the institution.

15. Greene, Mark A. "Developing a Research Access Policy for Student Records: A Case Study at Carleton College." *The American Archivist* 50 (Fall 1987): 570-9.

A case study of events at Carleton College relates the frustrations and rewards of attempting to develop research policies for student records. This case study was written with the intention of creating discussion regarding the problems and solutions encountered in providing access to college and university student records, the increased research use of student records, and the general importance of college and university records.

16. Greene, Mark A. "Using College and University Archives as Instructional Materials: A Case Study and an Exhortation." *The Midwestern Archivist* 14, no. 1 (1989): 3148.

The use of records held by college and university archives as instructional materials is seen by the author to be an opportunity for these archives. College and university archives need to view archival support of undergraduate education as an important part of their mission. The case study of the Carleton College Archives efforts to support undergraduate education is presented.

17. Haas, Joan, Helen Samuels, and Barbara Simmons. *Appraising the Records of Modern Science and Technology: A Guide*. Cambridge, MA: MIT Press, 1985.

This guide is intended to assist archivists in the appraisal of the records of modern science and technology, focusing on manuscript and archival records. Advice is offered related to acquisition decisions, appraisal, arrangement and description, and the development of record retention schedules for scientific and technological records. Appraisal consideration focuses on the selection of material about specific individuals, projects, and laboratories.

18. Harwell, Sara J. "Exploring the New South Agenda in the Records of Southern Colleges and Universities." *Provenance* 8 (Fall 1990): 17-30.

Using the New South as a case study, the author brings to light research opportunities available in college and university archives often overlooked by scholars. Information on issues of academic freedom, social mobility, race, gender, and the democratization of the educational process comes to light and helps to paint a picture of the New South and the transformation of Southern culture. The author offers suggestions for alternative research uses for college and university records and archives.

19. Holland, Michael E. "Adding Electronic Records to the Archival Menagerie: Appraisal Concerns and Cautions." *Provenance* 8 (Spring 1990): 27-44.

The author discusses issues involved in appraisal, accessioning, preservation, and access to electronic records. Electronic records are those that are stored or maintained in machine readable form and require use of a computer to make the information readable by people. The reader is reminded of the transitory nature of the electronic storage media and the need for appraisal at an early point in the processing stage is stressed. Recommended appraisal considerations focusing on the series include: Is it the most complete version of the series that can be obtained? Is it the most stable form available? Is it the most accessible form once in the archives? Is the electronic format important for use, and is the electronic format the most cost efficient? Practical and ethical questions of reference access and program economics must also be addressed for an electronic records program to be successful.

20. Kohl, Michael F. "It Only Happens Once Every Hundred Years: Making the Most of the Centennial Opportunity (at Clemson University)." *The American Archivist* 54 (Summer 1991): 390-7.

The centennial anniversary of Clemson University provided an opportunity for the Special Collections department to win support within the institution. By capitalizing on centennial-related reference requests, publications, oral history projects, exhibits, and time capsule activities, the department was able to reach new audiences and win support for program expansion.

21. Maher, William J. "The Current State of Academic Archives: A Procrustean Bed for Archival Principles?" *The American Archivist* 52 (Summer 1989): 342-349.

Forces beyond the control of college and university archives such as the character, age, and mission of the parent institution, the administrative placement of the archives, and the development of archival theory and principles, provide the context in which academic archives have evolved. Academic archives are challenged to meet professional program standards, their own core mission, and other opportunities and demands simultaneously within the constraints of existing resources. The resolution of this tension may lie in the ability of the archivist to seize control of these forces and direct them to the good of the program.

22. Maher, William J. "Improving Archives-Library Relations: User Centered Solutions to a Sibling Rivalry." *The Journal of Academic Librarianship* 15 (January 1990): 355-63.

The relationship between archivists and librarians is discussed within the college and university setting. This relationship is often full of tensions. Specific sources of tension stem from the daily activities of each profession and center on the nature of the material held, the purpose for which the material was created, methods of acquisition, arrangement, level of descriptive control, and training. Differences in mission, the dual roles played by the archivist, inadequate resource allocation, varying methodologies, and different professional backgrounds also lend to the tensions. However, there is hope for reducing these tensions through cooperative projects, such as cooperative fund raising, documentation strategies, or building research support services. The key to eliminating tensions is to focus on service and mission based goals and to de-emphasize format distinctions and professional differences.

23. Maher, William J. "The Illini Archives in the 1980s." *Illinois Libraries* 69 (October 1987): 584-7.

An overview of the activities of the Illini archives in the 1980s.

24. Maher, William J. *The Management of College and University Archives*. Chicago: Scarecrow Press and The Society of American Archivists, 1992.

This book introduces the basic elements required for an archival program to meet the documentary needs of an institution. The author discusses creating a mission statement and the establishment of an archives, archival theory, procedures, and techniques, programming, problems associated with record format, and special challenges and opportunities faced in academic archives. This work is designed to help beginning and advanced archivists as well as institutional administrators who wish to better understand archival work and its importance.

25. Prietto, Carole. "Automating the Archives: A Case Study." *The American Archivist* 57 (Spring 1994): 364-373.

The author discusses the implementation of an automation program at the Washington University Archives. Issues of technological and managerial nature such as needs assessment, selection of hardware and software to meet needs, redesigning of archival tasks to fit the system selected, and ongoing maintenance, are discussed. Possible future directions for the automation program at the Washington University Archives concludes the discussion.

26. Samuels, Helen Willa. *Varsity Letters: Documenting Modern Colleges and Universities*. Chicago: Scarecrow Press and The Society of American Archivists, 1992.

This work is a functional study of colleges and universities intended to aid those responsible for the documentation of these institutions. The nature of modern documentation calls for new tools to aid in the analysis and planning that proceeds collection of this documentation. The functional approach taken in this work provides a means to achieve a comprehensive understanding of an institution and its documentation. This institutional functional analysis is the appropriate first step for all institutional archivists. The seven functions common to all colleges and universities: confer credentials, convey knowledge, foster socialization, conduct research, sustain the institution, provide public service, and promote culture, are described. Development of an institutional documentation plan provides a way to translate the function descriptions into a detailed plan applicable to a specific institution.

27. Sanders, Robert L. "Accessioning College & University Publications: A Case Study." *The American Archivist* 49 (Spring 1986): 180-3.

Issues regarding the accessioning of college and university printed materials are discussed within the framework of the Pepperdine University Archives. These issues form a basis for the identification of four critical factors to be

considered when accessioning different types of college and university publications. The factors consist of the ease of collecting current copies, the likelihood of loss by the publishing office, the certainty of archival value and the current reference value of the materials in the archives. While each archives has its own unique situation, these criteria may provide a basis for a more reliable and effective accessioning process.

28. Shawcross, Nancy M. "Cataloguing: A Case Study of Practices at the University of Pennsylvania." *Archival Issues* 18, no. 2 (1993): 133-44.

The author describes the manuscript cataloguing procedures in Special Collections, University of Pennsylvania, which maximizes the existing capabilities of RLIN and the AMC format. This approach to providing access to manuscript holdings through linked records does not add significantly to processing time and improves access to the collections for researchers.

29. Skemer, Don C. and Geoffrey P. Williams. "Managing the Records of Higher Education: The State of Records Management in American Colleges and Universities." *The American Archivist* 53 (Fall 1990): 532-47.

A broadly based national survey designed to analyze the state of records management in academe and to identify program characteristics is reported. The authors conclude that although college and university archivists have been long time supporters of records management, their traditional approaches need to be modified in order to start and maintain viable programs.

30. Stout, Leon J. and Donald A. Baird. "Automation in North American College and University Archives: A Survey." *The American Archivist* 47 (Fall 1984): 394-404.

Survey results covering six topics: responsibility for machine readable records, campus administrative databases, automated control systems, use of word processing, entry of holdings information in library network databases, and the place of archives in library automation planning are discussed. The need for more emphasis on appraisal and preservation in the development of machine-readable archives and the need for understanding on the part of the archivist of computer capabilities and the environments of computer experts are two of the findings discussed.

31. Straw, John. "From Classroom to Commons: Documenting the Total Student Experience in Higher Education." *Archival Issues* 19, no. 1 (1994): 19-29.

The increased emphasis on the importance of out-of-classroom experiences in the education process has challenged archivists to better document student life. The author uses the endowed Student Life and Cultural Archival Program at the University of Illinois Archives to examine the issues related to documenting the total student experience in American colleges and universities.

32. Tatem, Jill M. "Evolution of the Thesaurus of University Terms." *Provenance* 8 (Spring 1990): 13-26.

This article recounts the events in the development of the Thesaurus of University Terms for the purpose measuring its usefulness. The author also solicits suggestions for improving the Thesaurus.

33. Taylor, Dennis. "Suggestions for Moving University Archives." *Provenance* 8 (Fall 1990): 64- 70.

A methodology for accomplishing a quick and efficient move is outlined. Planning is an integral part of the moving process. Planning must answer five basic questions: what is to be moved; how it will be moved; who will move it; where will it go; and when will the move take place. Guidelines are offered for dealing with moving different types of materials and for labelling and calculating shelving requirements. A listing of follow-up procedures is given along with suggestions for a celebration after the move.

34. Van Ness, Carl. "History, Historiography, and the Appraisal of University Records." *Provenance* 8 (Fall 1990): 1-16.

A review of themes and issues in the historical literature on higher education published since 1975 is presented. The four themes that dominate this literature are the impact of science and scientific methods on humanistic professions, emergence of the research university in the era of corporate capitalism, the university's service mission, and the relationship faculty have with the non-university world. This essay offers a new basis for making appraisal decisions for college and university records within the context of current research into the history of higher education.

35. Vargas, Mark A. and Janet Padway. "Catalog Them Again for the First Time. (Cataloguing of archival materials at the University of Wisconsin-Milwaukee)." *Archival Issues* 17, no. 1 (1992): 49- 63.

This article attempts to provide archivists with guidelines that may prove useful in creating original online bibliographic records and for retrospective conversion of existing records. The basis for these guidelines comes from the experiences at the University of Wisconsin-Milwaukee. Library catalogers' and archivists' perspectives on automating bibliographic records for an archive are given, focusing on reasons for implementation and the consequences of an automation project. Ten recommendations for archivists and technical services staff are given. Planning is an important key to a successful project.

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