Leveraging Corporate Assets:

New Global Directions for Business Archives

Compiled by
Resource Center for the History of Entrepreneurship,
Shibusawa Eiichi Memorial Foundation

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The articles included in this volume are based on presentations delivered at symposiums in Tokyo (May 2011, co-organized by the Shibusawa Eiichi Memorial Foundation, the Business Archives Association of Japan, and ICA's Section for Business and Labour Archives) and Blois (May 2010, co-organized by the Saint-Gobain Archives, the Patrimoine et mémoire d'entreprises, and ICA's Section for Business and Labour Archives.

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Introduction

Didier Bondue
Director, Saint-Gobain Archives; Chair, SBL
&
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1. Background

The Section for Business and Labour Archives (SBL) of the International Council on Archives (ICA) was born in 1990 out of an earlier ICA committee dedicated to business records. Since its inception, the SBL has attracted a broad range of members from around the world involved in similar activities and sharing common professional interests. As of May 2012, the SBL comprised more than 100 members from nearly 40 countries[1] and was lead by a bureau of 24 dedicated members from 15 countries.[2]

The SBL lists its five primary objectives as being:

1) To promote professional and scholarly co-operation and communication between business and labour archives and archivists;
2) To promote interest in such archives on an international scale;
3) To develop guidelines on the appraisal and disposal of business and labour archives;
4) To study the question of access to and accessibility of such archives; and
5) To co-operate with public archives which keep business and labour archives.[3]

To realize these objectives, the SBL arranges annual or biannual seminars and symposiums on related topics. Since 2010, these seminars and symposiums have been arranged with the particular aim of sharing experiences in the management and administration of archives. Thus the SBL cooperated: in 2010 with the Saint-Gobain Group and Patrimoine et mémoire d'entreprises to hold "Corporate Memory, A Tool Serving Management" in Blois, France; in 2011 with the Shibusawa Eiichi Memorial Foundation and the Business Archives Association (BAA) of Japan to hold "The Value of Business Archives: Their Use by Japanese Companies and New Global Trends" in Tokyo, Japan; and in 2012 with A.P. Moller – Maersk to hold "With Constant Care…the Business Archivist in the 21st Century" in Copenhagen, Denmark.

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[1] "SBL Members," *International Council on Archives*. http://www.ica.org/?lid=2744&group1=25 (accessed May 7, 2012)
[2] "SBL Steering Committee," *International Council on Archives*. http://www.ica.org/2696/steering-committee/sbl-steering-committee.html (accessed May 7, 2012)
[3] "Section for Business and Labour Archives," *International Council on Archives*. http://www.ica.org/2685/about-section-for-business-and-labour-archives-sbl/about-section-for-business-and-labour-archives-sbl.html (accessed May 7, 2012)

The Tokyo symposium focused on the idea that business archives have multifaceted value and can serve as a tool for corporate management. In other words, the use of business archives in business management. Image 1 is a diagram illustrating this idea.

Image 1 – The Multifaceted Value of Business Archives

With this figure in mind, the three terms: "History Marketing," "Story-telling," and "Proactivity" were offered to SBL bureau members as suggestions to guide their presentations in Tokyo. Over the past few years these terms have become regarded as instrumental in adding value to the function of archives programmes and archivists in the corporate setting. The terms can also provide a direction for business archives and the daily work of records management professionals. An explanation of the terms is as follows:

History Marketing: Leveraging the historical information contained in past records and for use in business and marketing. Using the history of certain products, services, brands, or companies as a tool to differentiate them from other products, services, brands, or companies. This historical information provides credibility and creates customer trust.

Story-telling: Telling the story of a business or company, its history, and how it has contributed to society at large through its business activities. While all stakeholders including shareholders, customers, members of local communities, management, and staff are concerned with story-telling, it is especially important for staff and management. It has been empirically shown that a clear definition of the meaning of their job significantly encourages and motivates employees at all levels. Business archives are closely linked to human psychology and an archival department, with its collection of records and archives, is the only place within a company that can provide trustworthy stories based on historical evidence.

Proactivity: Identified as a desired behavioural trait for professional archivists, especially those in corporate settings. In addition to basic tasks such as collecting, organizing, preserving, maintaining control over, and providing access to information and materials in the archives, proactive business archivists help develop products, services, and brands, and carry out planning and employee training in order to actively support business. Creating content for media outlets and various sources both inside and outside the company is another area where proactivity is important for today's business archivists. In the end it is the proactivity of professional business archivists that will make history marketing and story-telling effective tools for management.

Based on presentations given at the Tokyo and Blois symposiums as well as previously published articles, the Resource Center for the History of Entrepreneurship (RCHE) of the Shibusawa Eiichi Memorial Foundation compiled and published *Sekai no Bijinesu Akaibuzu: Kigyo Kachi no Gensen* (English title: *Leveraging Corporate Assets: New Global Directions for Business Archives*) in March 2012. *Sekai no Bijinesu Akaibuzu* was the

Image 2 – Panel Discussion, Tokyo symposium (Photograph: Naoyuki Takagi)

first book in Japanese on business archives and has attracted interest from a wide range of Japanese readers. Impressed by the quality of the articles and wanting to share the publication with a wider audience, the Shibusawa Foundation decided to compile an English version in cooperation with the SBL and contributors to the Japanese version. It was decided to provide the English version as an e-book on the website of the RCHE. Thus this e-book, *Leveraging Corporate Assets: New Global Directions for Business Archives*, was born. It is hoped that the case studies provided herein will prove to be useful and practical resources for the international business archives community.

2. The E-book: *Leveraging Corporate Assets*

Part 1 comprises case studies that deal with history marketing. Henning Morgen, of the worldwide shipping group A.P. Moller – Maersk, demonstrates the importance of history documentation and communication by giving two examples of the usage of information from historical records, relating to environmental protection and CSR, being used in external public relations. Naomi Aoki, of the 400 plus year-old Toraya Confectionery, describes the use of records in a traditional Japanese industry. He explains how records, such as confectionery sample books and historical sales records, are used by Toraya to provide a historical context for individual products and the company as a whole. Paul C. Lasewicz of IBM outlines how IBM's corporate archives and archivists contributed to defining the corporate brand.

Part 2 looks at the role of archives and corporate heritage in business management. Alexander L. Bieri, of global pharmaceutical giant F. Hoffmann – La Roche, analyses the shifts in management characteristics and how the Roche historical archives have been used to influence the socio-cultural environment of the company's management. Didier Bondue, of habitat and construction market leader Saint-Gobain, traces the historical development of business archives in France in general and the case of the Saint-Gobain Archives in particular. He then explains the unique usage of the structure of an Economic Interest Group (EIG) for the business model of the Saint-Gobain Archives. Claudia Orlando, of the nonprofit Ansaldo Foundation in Genoa, describes the changes in public and professional perspectives on business archives during the past decades in Italy and illustrates how the Foundation has made use of business records collected for various purposes.

Part 3 is composed of case studies of archives being leveraged as a tool for change. Becky Haglund Tousey of Kraft Foods looks back at the role of the archives team in the merger of Kraft Foods and iconic British confectionary Cadbury in February 2010. Francesca

Pino, of Italian banking group Intesa Sanpaolo, discusses the professional requirements for archivists working in group archives, particularly the need for a proactive commitment to the group archives. Vrunda Pathare, of Indian conglomerate Godrej Group, describes the vision behind the Godrej Archives, how it was established, and how it has thrived and effected change within the Group.

Part 4 explores public sector involvement in business archives, including the archives of public corporation business enterprises and the relationships between governmental agencies and private business organizations. Ashok Kapoor of the Reserve Bank of India Archives details the history and role of the Archives since its establishment in 1981 and reveals the implications this has for maintaining democracy in India. Alex Ritchie of The National Archives of the United Kingdom outlines the National Strategy for Business Archives in England and Wales that was launched in 2009 and the development of this remarkable yet unique cooperation between the private and public sectors. Lan Wang of the State Archives Administration of China details the introduction of the 'assets' concept and its impact on business records management in China, especially over the last decade, and illustrates how innovations in records management have accompanied the development of the market economy in China.

In closing, just as a business enterprise needs to be able to adapt to a new environment in order to maintain its sustainability, so too do business archives and archivists. They have worked, and will continue to work, in circumstances that are constantly changing due to innovation, mergers and acquisitions, or sometimes even failures. The SBL is expected to facilitate this and assist its members to keep up with cutting edge ideas and practices for responsible management of archives and records by being a hub for information and networking among business archives and records professionals. Hopefully this publication can contribute in this way not only to the professional archival community, but also to businesses and organizations with corporate archives and society at large.

July, 2012

Part I

The Power of History Marketing

Chapter 1

A Broader Perspective:
Supporting Today's Communication with Historical Facts

Henning Morgen
A.P. Moller – Maersk

March, 2012

Henning Morgen

Records Manager
A.P. Moller – Maersk

Henning Morgen was born in 1963. He has been employed by A.P. Moller – Maersk since 1998 and has worked in archives and records management, including email and digital asset management. Henning Morgen is a member of the Danish Archives and Records Management Society, of ARMA International and of ICA/SBL. He has worked in ISO committees on records management. Today, Henning Morgen is responsible for history documentation and communication.

A.P. Moller – Maersk Group

The A.P. Moller – Maersk Group is a worldwide conglomerate. We have a workforce of about 110,000 employees and offices in around 130 countries – with global headquarters in Copenhagen, Denmark. In addition to owning one of the world's largest shipping companies, we are also involved in a wide range of activities within the energy, logistics, retail and manufacturing industries.

A.P. Moller – Maersk was founded in 1904 by Mr. A.P. Møller. Upon his father's death in 1965, Mr. Mærsk Mc-Kinney Møller assumed the leadership of the Group, which has grown into a major international business. Mr. Mærsk Mc-Kinney Møller, today 98 years old, has played an important part also in formulating our deeply held values, which govern the way we deal with our customers, our employees and society in general.

A.P. Møller – Mærsk A/S, the parent company of the Group, is listed on the Danish Stock Exchange and has around 70,000 shareholders. However, the main shareholder is The A.P. Møller and Chastine Mc-Kinney Møller Foundation, which was established by Mr. A.P. Møller to ensure that his life's work would always be owned by parties that held a long-term view of the company's development.

The Maersk archives include historical information dating back to before the company was established in 1904. The archives are managed to document and communicate historical facts to reinforce A.P. Moller – Maersk culture, values and reputation.

Image 1 – Maersk Line Container

A Broader Perspective:
Supporting Current Communication with Historical Facts

Henning Morgen
Records Manager, A.P. Moller – Maersk

1. Introduction

This article aims to introduce the company and function I represent and two cases of supporting current communication with historical facts – or in other words; how we make use of the Maersk Historical Archives in day-to-day communication.

The headquarters of the A.P. Moller – Maersk Group is located in Copenhagen, Denmark, but the activities of the business units take place at sea, on land, underground and in the air all around the world.

Image 2 – A.P. Moller – Maersk Headquarters, Copenhagen, Denmark

“A.P. Møller – Mærsk A/S” is the company that is listed on the Copenhagen Stock Exchange. The majority of the shares in that company is owned by three foundations related to the founding family. The founder was Mr. A.P. Møller and his son, Mr. Mærsk Mc-Kinney Møller, who is 98 years old, is still the chairman of the foundations. Other than the foundations and Moller-family members, A.P. Møller – Mærsk A/S has around 70,000 other shareholders.

As for myself, I have been employed with Maersk since 1998 and have been responsible for archive and records management operations. This article will focus on history documentation and communication.

It is the objective of Group History Documentation to carry out research and to produce fact based information, aimed at a relevant audience. The purpose is to deliver timely and correct information to support the company's culture, values and reputation. Research is carried out based on requests from either the Maersk organisation (management and business units) or external parties. Requests range from, for example, assistance on establishing the Maersk history in a particular country (for management or marketing/communication purposes) to supplying information on historical vessels to interested parties, be they professional or private. A conservation programme secures the life of paper based records and our large photo, video and film archive is being digitised.

Image 3 – Maersk Museum

Internally history communication is done by means of presentations, tours of the A.P. Moller – Maersk Museum, articles in the in-house magazine as well as on @maersk (intranet). We have produced the history content on maersk.com (internet).

History communication with Maersk is changing. Before, requests for historical information usually came from top management and were focused on the history of the general company and central persons. Requests – and answers – focused on the past and had little relevance to today's business operations. Now, Group and business unit communication departments are requesting information that may support their up-to-date communication needs. Requests – and answers – focus on today, building on yesterday.

To understand the needs of the communication departments, we have learned about their approach to communication. All communication has three dimensions; a topic, a business activity and a geography (country, region). Based on the research, any information from us should take into account these three dimensions.

The main customers for historical information in the context of business activity related communication has changed from top management to communication/HSSE (Health Safety Security Environment)/CSR (Corporate Social Responsibility) departments, middle management in business units and anyone with customer and partner relations. To a lesser degree, employees and external contacts also contact us for historical information.

2. Case 1

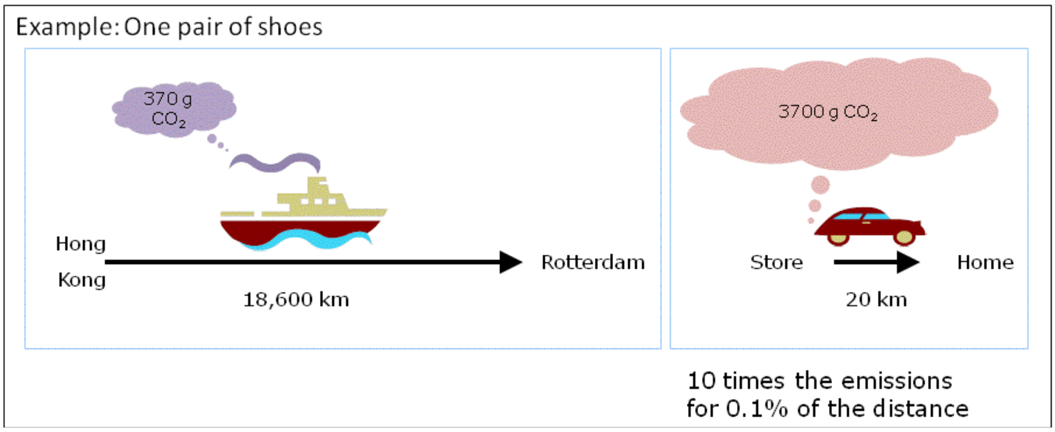
Case no. 1 is about our environmental performance. The background for the case is a visit from shipping trade journalists, who focused on technical and environmental issues. From Maersk, two departments were involved: Maersk Maritime Technology and Group Relations. The research question was: Do we have something about the historical use of technical standards?

Image 4 – Maersk Line container vessel

Maersk Line (container carrier) works to meet our customers' expectations on low environmental impact from the transport of containers. For example, IKEA (furniture chain) have stated, that "Suppliers are also obligated to continuously strive towards minimising the environmental impact of their operations." Also, public awareness about the environment is growing and end-consumers (the customers of our customers) require transparency about the products they buy. Thus, focus on minimising environmental impact is a pre-requisite in the commercial market today.

Transport by ship is by far the most energy efficient mode of transport; transport by air, truck and rail cannot compete. For example: When a consumer drives by car from her/his home to the shopping centre to buy a pair of shoes, that consumer uses 10 times the energy compared to transporting one pair of shoes from Hong Kong to Rotterdam. But even that situation has been improved; Maersk Line has introduced "slow steaming", meaning that the container vessels slow down and use less fuel – and therefore significantly reduce energy consumption and environmental impact.

Image 5 - The carbon footprint of shipping is less than other modes of transport.



To answer the research question, it was interesting to demonstrate that Maersk has had focus on efficient transport for a long time. In order for us to understand today's focus on vessel energy consumption, we asked Maersk Maritime Technology to introduce the IT systems that measure and control fuel consumption onboard. With those in hand, we knew what to look for in the archives and were able to find a number of examples of vessel reports and instructions about the subject – we chose one from 1994 and one from 1962.

As requested, we were able to establish a link between now and then, and we were able to demonstrate a long-term focus on the issue. In their preparations, the journalists had concentrated on today and our information introduced a broader perspective on the management of the issue.

3. Case 2

Case no. 2 concerns local impact of our operations.

The background for the case was a theme about CSR (Corporate Social Responsibility) in the Maersk in-house magazine. The research question was: Have we "done CSR" in the past?

Adding to the above background, Maersk has a mission to have global presence and to have local impact. So while we strive to expand business to all corners of the world, we should not forget to make a positive difference for the people and the administration in the places, we do business.

We chose to focus on Tanganyika Planting Company, a sugar plantation in Tanzania. We owned the company from 1930 to 1980 and, as production expanded, the number of employees grew to over 4,000. The company provided free housing for the employees and their families and in the 1970s the total population on the plantation counted more than 11,000 people.

Image 6 – Tanganyika Planting Company

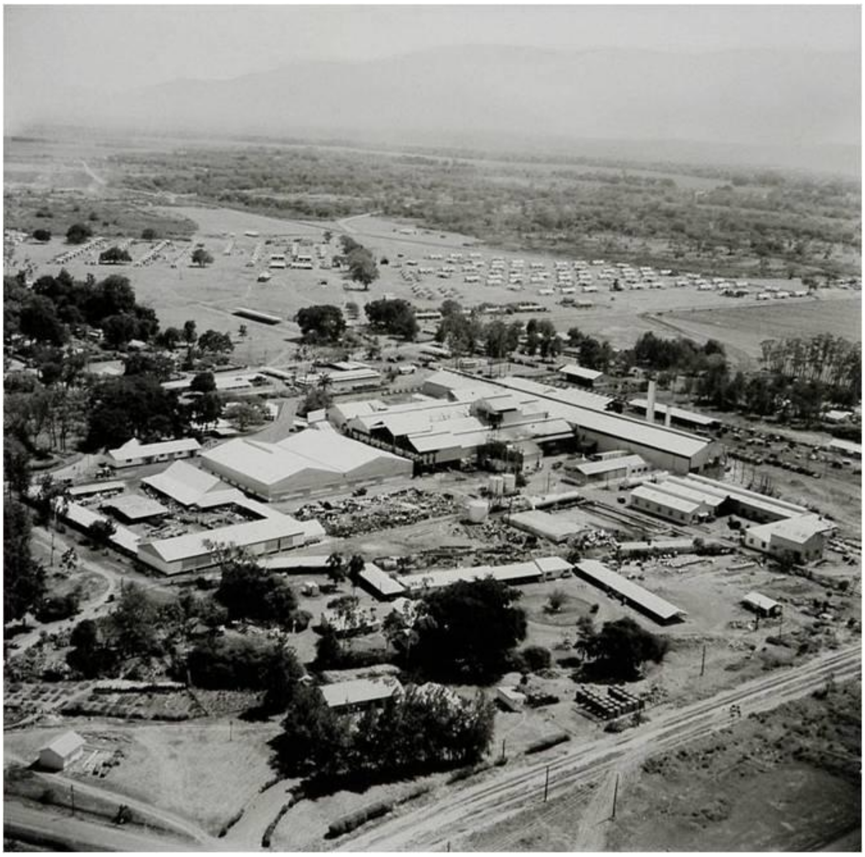


Image 7 – Tanganyika Adult School

Starting in the 1950s schools were established for children and adults. In 1960, a hospital was opened and it served not only the inhabitants on the plantation, but also the local population. Based at the hospital, a range of social services were introduced.

As requested, we were able to establish a link between now and then, and we were able to demonstrate a long-term focus on the issue. Instead of incorporating the information in the general article on CSR, the communications department asked us to write a separate piece based on the research findings.

Hopefully, these two cases have demonstrated how we make use of the Maersk historical archives in day-to-day communication.

Chapter 2

Japanese Traditional Industries and Archives:
The Case of Toraya Confectionery

Naomi Aoki
Toraya

Translated by Sarah Ann Munton

English translation of:
Aoki, Naomi. “Nihon ni okeru Dento Sangyo to Akaibuzu: Toraya wo Chushin ni,” in *Sekai no Bijinesu Akaibuzu: Kigyo Kachi no Gensen*. Resource Center for the History of Entrepreneurship, Shibusawa Eiichi Memorial Foundation, comp. Tokyo: Nichigai Associates, Inc. 2012.

April, 2012

Naomi Aoki

Research Director, Toraya Archives

Naomi Aoki was born in 1954. He worked for the Kokubunji City Archives and as a Research Assistant in the Faculty of Letters at Rissho University before joining Toraya Confectionery in 1989. He is currently the Research Director of the Toraya Archives and has written numerous works including “Kinsei Kyoto Shinise Shoka ni okeru Keiei no Keisho to Yuisho” (Succession and History of Management in Long-established Mercantile Houses in Edo period Kyoto), *Zusetsu Wagashi no Konjaku* (An Illustrated History of Japanese Confectionery), and *Bakumatsu Tanshin Funin Kakyu Bushi no Shokunikki* (Late Tokugawa Period Dietary Journals of Junior Samurai Transferred from their Families).

Toraya Confectionery (Japan)

Toraya Confectionery was established in the late Muromachi period (1333-1573) in Kyoto and received an imperial order to make confectionery for the Imperial household during the reign of Emperor Go-Yozei (1586-1611). In 1869, when the imperial capital was transferred to Tokyo, Toraya opened a shop in Tokyo in addition to the Kyoto shop. Nowadays the head office is located in Akasaka, Tokyo and there are factories in Tokyo, Gotemba, and Kyoto as well as 76 retail shops, including one in Paris.

Toraya holds approximately 1100 historical documents from the Edo period (1600-1867), documents dating from the Meiji (1868-1912), Taisho (1912-1926), and early Showa periods (1926-1989), and modern documents from after Toraya’s incorporation as a public company in 1947. In addition to large collections of historical artifacts such as wooden molds and other confectionery tools, Toraya also collects ancient works of literature and other documents as reference data.

These historical records are conserved in the Toraya Bunko (Toraya Archives), established in 1973. In addition to conducting research on Toraya and the culture of Japanese confectionery, the main work of the Toraya Archives is to hold annual or bi-annual exhibitions related to Japanese confectionery and publish an annual journal with academic articles on Japanese confectionery. The Toraya Archives also collects documents and records related to the contemporary management of Toraya Confectionery and is dedicated to the provision of information related to its collections. This information is not limited to the over 3,000 varieties of confectionery Toraya has produced over its long history, but also includes information on new products. The Archives provides information internally within Toraya Confectionery to the public relations, sales, and other departments in addition to responding to over 1,000 in-house and external inquiries annually. Internally, the Archives also provides a chronology of the work accomplished by each department every month and assists with training conducted by the personnel and sales departments.

Image 1 – Entrance of Toraya Bunko,
Toraya Confectionery Headquarters

Japanese Traditional Industries and Archives: The Case of Toraya Confectionery[1]

Naomi Aoki
Research Director, Toraya Archives

Introduction

It is still uncommon for companies in Japan to actively use archives in management.[2] Traditional Japanese industries, such as sake brewers and confectionery makers, however, are relatively well-suited to utilizing archives. One reason for this is that many companies in these traditional industries have long histories and already see their corporate “history” as a managerial resource.

In this article I would like to use Toraya Confectionery Co., Ltd. as a case study to illustrate the use of archives by traditional Japanese industries. Since archives vary greatly depending on the size, industry, business conditions and, above all, the culture and customs of the company in question, however, I ask you to remember that this is just one example among many.

1. Overview of Toraya Confectionery

Toraya was established in Kyoto in the 16th century[3] by the Kurokawa family and has been making and selling Japanese confectionery every since. During the reign of Emperor Go-Yozei (1586-1611), Toraya received an order to provide sweets to the imperial household, a tradition that continues to be upheld today. In 1869 the imperial capital was moved from Kyoto to Tokyo and, while Toraya’s Kyoto shop remained open, the owner’s brother was dispatched to Tokyo to open a shop and continue serving the imperial family. Incidentally, during the Edo period (1600-1867) roughly half of Toraya’s sales were to the imperial palace and the rest divided among nobles, officials in Kyoto, shogunal officials, daimyo (feudal lords), and upper-class merchants.

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[1] This article is an edited and updated version of presentations by Naomi Aoki including at the international symposium “The Value of Business Archives: Their Use by Japanese Companies and New Global Trends” on Wednesday, May 11, 2011. The text includes personal opinions of the author that do not necessarily reflect the opinions of the organization as a whole.

[2] It has been common in Japan for business archives to be seen largely in terms of their role in the compilation of *shashi*, or company histories. In recent years, however, there has been a gradual increase in discussions of business archives as a managerial resource or their role in corporate social responsibility.

[3] Although there exists no document that definitively states the company’s year of establishment, given the timing of the start of imperial orders, it is presumed the company began operations in the 1520s. (see Note 5 in *Toraya no Goseiki: Dento to Kakushin no Keiei*. Tsushihen. Tokyo: Toraya, 2003.)

Tokyo underwent a considerable population decrease early in the Meiji period (1868-1912) as the Tokugawa family (the shogun) and their retainers, along with the daimyo and their retainers, left the city. In short, the samurai class, the customers of high-quality confectioneries, left Tokyo in large numbers. In 1869 Tokyo's representative confectioneries – Suzuki Echigo and Kanazawa Tango[4] – closed. It was against this backdrop that, in the very same year, Toraya opened their new Tokyo shop. Ten years later Toraya's owner moved from Kyoto to Tokyo although the Kyoto shop continued operations.

The two shop system continued until the 1940s. After WWII Toraya increased the number of direct-sale shops and then, in 1962, began opening outlets in department stores. Today Toraya operates a total of 76 retail shops including the Toraya Tea Room and shop in Paris.[5] The company has its head office in Akasaka in Tokyo's Minato-ku and factories in Tokyo, Gotemba (Shizuoka prefecture), and Kyoto. Sales are around 18 billion yen and, as of April 2011, the company employed a total of 974 people.

2. About the Toraya Archives

The Toraya Archives was established in 1973 with the goal of preserving Toraya's artifacts and historical documents, collecting materials related to Japanese confectionery, and conducting research on related topics. The collections are divided into the following general categories: Edo period administrative records known as the *Toraya Kurokawa-ke monjo* (Toraya Kurokawa family Collection, named after the founder); administrative records from between the beginning of the Meiji period and the incorporation of the company in 1947; and business records dating from incorporation to the present day. In addition, the Archives also hold roughly 3000 volumes of old family registers, 500 confectionery tools, 3000 wooden molds, and books and journals for research use. The Archives is in charge of compiling *shashi* (company histories) as well as continuously collecting and caring for historical materials.[6] Today the Archives are located in the company's head office. The Archives previously housed the company's fine arts collection but archival facilities have been built in

[4] Suzuki Echigo was a shop famous for *yokan*, a sweet bean jelly. Kanazawa Tango prepared sweets for the shogunate and in 1755 had assets amounting to 11,566 *ryo*, equivalent in today's currency to approximately 300,000 – 400,000 yen. It is unclear what happened to other confectioneries to the shogunate, such as Okubo Monto, Utsunomiya Takumi, and Toraya Oribe, after the Meiji Restoration.

[5] In addition the Group also manages Toraya Café (three shops), and Toraya Kobo (one shop).

[6] In November 2003 the Toraya Archives published *Toraya no Goseiki: Dento to Kakushin no Keiei* (*Five Centuries of Toraya: Managing Tradition and Innovation*). Tsushihen (General history volume) / Shiryo-hen (Historical document volume) Copies have been donated to the prefectural libraries of all Japanese prefectures as well as some universities. The main text of the general history volume can also be viewed on the DNP Nenshi Center website *Shashi no mori* (a digital database of company histories).

Kyoto and both management of the collection and the collections themselves are in the process of being moved to the company's cultural affairs department in Kyoto.

The main activities of the Archives are: conducting research on Japanese confectionery culture,[7] holding exhibitions related to Japanese confectionery once or twice a year,[8] editing and publishing the journal *Wagashi*,[9] and organizing and caring for new records and historical documents. The Archives is also involved in other activities I will touch on later, including responding to over 1400 in-house and external inquiries annually.[10] The base of all of these activities is, of course, the collections that make up the Archives.

The Archives employs seven staff members. The managing director is a management position while the others, including one contract employee, are research positions.

3. Use of the Archives and Historical Materials

I would like to share an example of how Toraya uses its archives and historical documents as a managerial tool. Before I do so, however, I would like to clarify my use of terminology. For convenience I use the term "archives" to refer to inactive records including documents and books, and the term "historical materials" to refer to a wide variety of materials including old books and artifacts such as confectionery tools and containers.

Image 2 shows the Toraya brand shopping bag. The design for this bag came from historical materials once used by Toraya. In the Edo period, high-quality sweets were sold in large layered boxes known as *seiro*.[11] Some *seiro* were even made with gorgeous decorations of mother-of-pearl.

March 3rd is *Joshi no sekku*, or the Dolls' Festival (*hina matsuri*), a day to celebrate and pray for the healthy growth of girls. Clams and other foods are eaten as a part of special meals and special sweets such as *kusa mochi* (rice cakes made with *yomogi* or Japanese mugwort) and *hishi mochi* (multi-layered and multi-colored rhomboid-shaped rice cakes) are made. A variety of beautiful sweets are also made in miniature. All of these sweets became known as *hina-gashi* (sweets for the Dolls' Festival) and had their own special *seiro* cases. The Toraya *hina-seiro* (*seiro* for *hina-gashi*) in image 4 is one of 20 *seiro* made in 1776. Each

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[7] Food science research is carried out in the Toraya Research Institute in Gotemba.

[8] The exhibition hall (Toraya Gallery) is roughly 90m^2. Visitor numbers vary depending on the exhibition but there are normally around five thousand visitors per month.

[9] *Wagashi* is a journal on Japanese confectionery containing academic articles and reprints of historical documents. The 18th edition (146 pages) was published in March 2011.

[10] In addition to inquiries made directly to the Toraya Archives, this number includes inquiries passed on to the archives from other departments. In 2010 there was a total of 1452 inquires (773 in-house, 679 from outside). External inquiries refer to those from customers, mass media, researchers, students, and others.

[11] Also known as *hokai*.

case had five levels, measured 18.3 centimeters tall, and would have been filled with *hina-gashi* before being delivered to the customer. The *hina-seiro* in image 4 also includes an outer box on which is written the number "503." It is unclear, however, whether this was a serial number encompassing all *seiro* or if it was just for the *hina-seiro*. As "*tora*" means tiger, the *seiro* is decorated with a tiger motif and the same motif appears on the modern Toraya paper shopping bag. Introduced in 1970, the paper bag re-uses the historical design of the sweet-carrying *hina-seiro*.

Image 5 shows another use of the design, a paper recreation of the *hina-seiro* now sold by Toraya for the Girls' Festival. The sweets in the paper *seiro* are smaller than usual sweets as the word *hina* also means "small" or "cute." There are Edo period sales records that list the exact size of the diminutive sweets (image 6). The paper *hina-seiro* has been sold by Toraya since 1978 and, combined with the paper bag, provides an example of how one historical artifact has been used by Toraya to create both a product and a Toraya logo.

Image 2 – Tiger-emblazoned Toraya shopping bag

Image 3 – Mother-of-pearl *seiro* with designs of bamboo and tigers (circa1698)

Image 4 – Lacquer *hina-seiro* (1776)

Image 5 – Modern paper recreation of the *hina-seiro*

Image 6 – *Go-Yozei-in sama Miyoyori Goyo Shoshiki Kakinuki-tome*
(Register of Imperial Orders from Emperor Go-Yozei Onwards)
The left page is a record of *hina-gashi* ordered in the third month of 1779.
The end of the page has an illustration showing the size of the sweets.

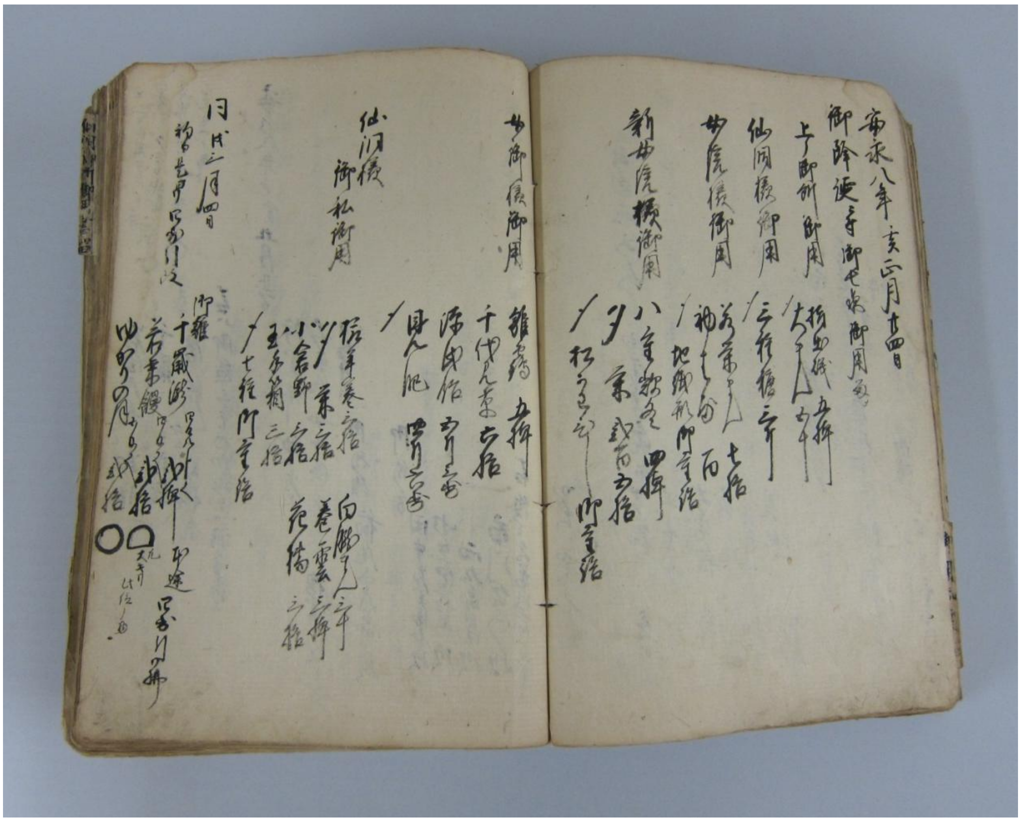
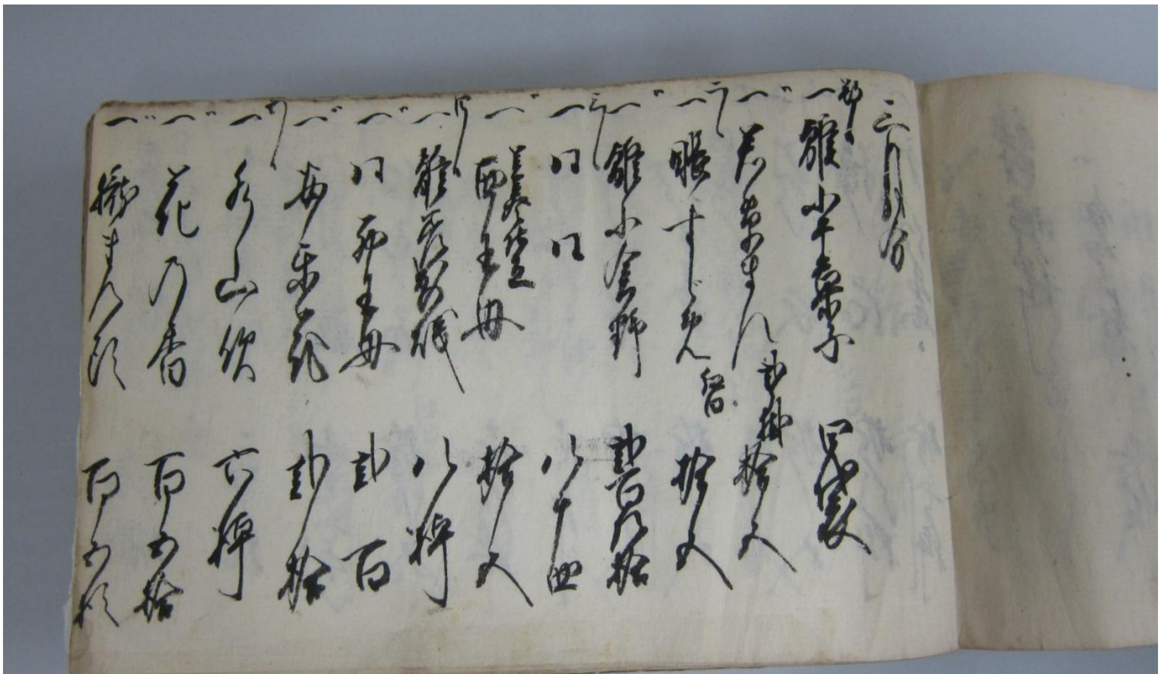


Image 7 – *Ouchi-cho* (Palace Account Book) 1837
Record of *hina-gashi* delivered to the Imperial Palace.



4. Confectionery Sample Books – The Archival History of Japanese Confectionery

Toraya holds roughly 1100 Edo period historical records (the Toraya Kurokawa family Collection),[12] a collection including important documents about the history of Japanese food culture. The long history of Japanese confectionery dates back to the prehistoric Jomon period (10000-400 BC). It was in the late 17th century in Kyoto, however, that the current shape of traditional Japanese confectionery was largely set. At that time Kyoto was the center of authority, tradition, religious life, industrial technology, and finance; and was also home to cultural salons made up of court nobles, samurai, and upper class merchants. In the midst of the vibrant culture of the late 17th century, confectioneries were refined and their shapes developed in cultural salons and through the tea ceremony. Some sweets were given elegant names known as *kamei* that came from classical poetry collections such as the 10th century *Kokin Waka-shu* (Collection of Japanese Poems of Ancient and Modern Times). The new designs and addition of special names were a success for Japanese confectionery.[13]

Japanese confectionery is said to be an art for all five senses. You listen to the elegant poetic name with your ears (hearing), appreciate the physical appearance with your eyes (sight), enjoy the delicate fragrance of the adzuki beans and other ingredients (smell), feel the texture when you cut it and when you put it in your mouth (touch), and savor the flavor (taste).

Books called *kashi mihon-cho* (confectionery sample books) or *kashi ezu-cho* (illustrated books of confections) contain colored illustrations of sweets and list the name and occasionally the ingredients as well. These books once served as confectionery catalogues. In the Edo period, customers would have sent their orders to Toraya via an errand boy. These orders would have normally listed the sweets and a specific date and time for delivery of the completed order. Since confectionery sample books were used as a reference for choosing sweets, it is believed that copies were made for regular and valued customers. At the time they were created, these books were a catalogue or a record of the production and selling of sweets. Nowadays they are an invaluable resource for the Toraya Archives.

[12] Given the scope and history of the company, this number seems extremely low but it is likely due to numerous fires in the modern period as well as supposed “organization” of the records which further decreased their numbers. The Toraya Kurokawa family Collection is available on microfilm at the library of the Doshisha Women’s College of Liberal Arts. More information on the collection is available in Japanese on the Toraya and Doshisha Women’s College Library websites.
[13] In particular the type of sweets that gained popularity at this time were those made from highly expensive white sugar. It is believed that sweets in general became widely enjoyed by all people, both urban and rural, in the late Edo period, particularly the Bunka-Bunsei eras (circa 1804-1830).

Image 8 – *Okashi no Ezu* (Illustrations of Confections) 1695

Image 8 is the *Okashi no Ezu* (Illustrations of Confections) dating from 1695, that showcases Japanese confectionery during a period of great accomplishment. This document is the oldest illustrated confections book to be dated and, as such, has been featured many times in newspapers and on television and has also often appeared in Toraya's advertisements and publicity as well as being an important object in exhibitions on Japanese confectionery by the Toraya Archives.[14] Since some of the sweets depicted are still being made and sold by Toraya, the *Okashi no Ezu* can be used to provide a historical backing. Confectionery sample books continue to be made today and Toraya holds a dozen or so, with a focus on those from the Edo period.

5. Looking at Edo Period Sales Records

Toraya's sales records include the names of successive generations of emperors and members of the imperial family, court nobles, daimyo, shogunal officials in Kyoto, shrines and temples, and wealthy merchants such as the Mitsui family. Records also include a report of delivering sweets to the shogun in the inner citadel of Edo castle as well as an order from the shogun Tokugawa Iemochi in 1863 when he was in Kyoto on the first visit by a shogun to the imperial capital in 229 years.

Among the figures who appear in the sales records we also see many historical figures widely known among the general public. For example there are records of purchases by: the famous 17th century artist Ogata Korin; Kira Kozuke-no-suke Yoshinaka, the shogunal official famous for his involvement in the incident of the forty-seven *ronin*; Tokugawa Mitsukuni (also known as Mito Komon); and others.

[14] Replicas have been produced to prevent deterioration through over-use.

Image 9 is of a record of sweets ordered from Toraya by Mitsukuni on the 13th day of the 4th month of 1700. To celebrate the 70th birthday of his close friend Nakanoin Michishige, Mitsukuni wanted to send 100 *manju* (steamed buns with a sweet filling), each weighing 70 *monme* (approximately 260 grams) to match his age. Mitsukuni's instructions requested that the characters *fuku* and *ju*, for good fortune and long life, be written on the sweets in red. This document has been used in exhibitions by the Archives, has been picked up by mass media numerous times, and its contents have been showcased on the Toraya website. As a result, there have been orders for "Tokugawa Mitsukuni's *fuku-ju manju*" from those who have heard about the document.

Image 9 – *Shokata Goyo no Tome* (Register of Various Orders) 1694-
Entry for the 13th day of the 4th month of 1700
Record of order from Tokugawa Mitsukuni for *manju* to celebrate the birthday of Nakanoin Michishige. The *manju* is also noted in the records of Ando Tameakira, who was in the service of Mitsukuni at the time.

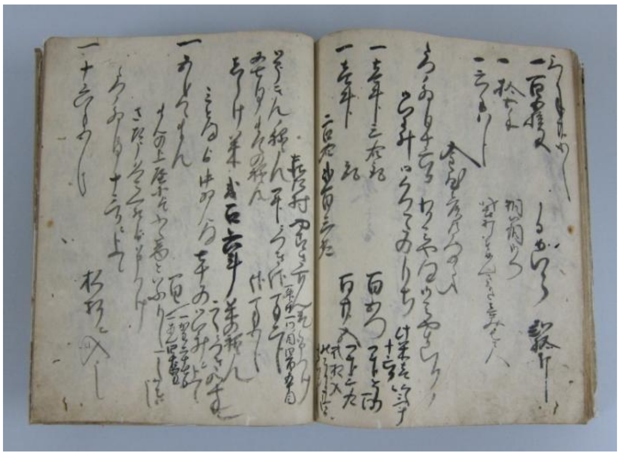


Image 10 – Reproduction of the "*fuku-ju manju*" ordered by Tokugawa Mitsukuni

Toraya has a special sweets club where members pay an annual fee to have specially made *namagashi* (fresh sweets) delivered to their home or other address. Annual themes have included historical personages or events and Edo or Meiji period records have been used to decide on the sweets. Information from these records is slowly being compiled into a confectionery database.

6. The Archives and In-house Sharing of Information

Customers often ask about the origin and history of particular sweets, either in-store or over the phone. In anticipation of these types of questions, an explanation of the sweets on sale every month is prepared for distribution to all shops. This information is compiled from historical records and reference materials by the Toraya Archives before the Sales Department arranges it to be shared throughout the company.

Toraya’s intranet, generally accessible to all Toraya employees, includes an “Archives Corner” and information from the Archives about the origins and history of Toraya sweets as part of the “Explanation of the Names of Toraya Sweets”[15] section. This type of system is not limited to Toraya and is but one example of how information from the Archives is being directly used in operations. Again, the basis of information provided to the manufacturing and other departments is the historical collections of the Archives.

7. The Archives and the Collection and Use of Active Documents

My discussion up to now has been somewhat biased towards Toraya’s Edo period archival collections. Before I conclude, however, I would like to briefly look at the collection of more recent materials. At Toraya, active documents (including semi-active documents) are stored and managed in a decentralized manner by each department. These documents and files are stored for a pre-determined length of time before being destroyed. Before they are destroyed, however, the records are collected in cardboard boxes and brought to a set location. Toraya Archives staff check the records and remove any that are thought to have historical value. These documents are then stored by the Archives with the rest of the collections. In general, all departments have been asked to notify the Archives when they have records for disposal. There are also instances of documents being brought to the Archives by retiring employees.

Image 11 – Cardboard boxes holding documents for disposal

[15] In addition, there is also information on: the history of Toraya, the journal *Wagashi*, materials in the collections, lectures, and exhibitions.

In recent years, the digitization of documents has increased and different institutions have taken different approaches to the preservation and use of digital records. I would like to share the Toraya example with you. In many companies large numbers of documents are published on the intranet every day. Although different companies may use the same document and record names, the actual contents of the documents may be widely different depending on the business.[16] The main document types used by Toraya are "approval records," "business requests," "business reports," "written reports," "minutes," and "notices." In addition a large amount of other information is made available, including that related to human resources, regulations, and welfare programs.

Image 12 – Storage of printed copies of digital documents

Access to some documents may be restricted to certain departments or individuals based on professional role or level of authority. The Toraya Archives requests to be included from the start so that when records are made available they can be printed onto paper and preserved for the future in various folders.[17] In addition, the Archives also gathers information we see as important from available documents and compiles this information into spreadsheets which are then made available within the company as monthly chronologies. These chronologies become a valuable business tool for each employee to find out about the

[16] These differences can cause difficulties in gaining mutual understanding between records management and archives staff in different businesses. Instead of seeking similarization, however, I feel it is important to understand these differences as differences between various corporate cultures and ways of doing business. A similar situation can be said to exist between business (private sector) vs. government / public sector records management and archives.
[17] The conservation of electronic information is also carried out by the applicable department.

company's current movements and learn from the past. There are those who might argue that these types of digital records are active records and thus should not be the purview of the archives but should instead be looked after by a records manager. We feel, however, that notices and other documents with limited circulation should be collected at the time they are created. Furthermore, since the monthly chronologies are based on chronologies produced during the compilation of *shashi* and the Toraya Archives are the department in charge of the compilation of *shashi*, it makes sense that the Archives would be in charge of this process along with the collection and preservation of historical records.

As part of the process of compiling *shashi*, the Archives conducted interviews with many people including past and present employees, management, and others in the profession and related associations. We were thus able to uncover information not normally contained in records and historical documents. Following the publication of the *shashi*, the Archives has continued to gather oral histories by carrying out interviews with retiring employees.[18]

[18] The full text of audio recordings is being recorded onto tapes.

Chapter 3

Rooted in the Archives:
The Contribution of Corporate Heritage to the IBM Brand

Paul C. Lasewicz
IBM

March, 2012

Images: Richard Bartel

Paul C. Lasewicz

Corporate Archivist,
IBM Corporation

Paul C. Lasewicz is the Corporate Archivist for the International Business Machines Corporation (IBM), in Armonk, New York, USA, where he enables the company to derive maximum value from its archives investment by proactively managing the collection to preserve and provide access to content the organization must have to meet its current and future business needs. Prior to joining IBM, he was the Corporate Archivist at the Aetna Life & Casualty Company (Hartford, Connecticut, USA), a Fortune 100 global multiline insurance provider. He is a frequent presenter at regional, national, and international professional conferences, and has contributed numerous articles to professional journals on a variety of topics in business history and corporate archives.

IBM Corporation (United States of America)

Since its incorporation in 1911, IBM evolved from a small business that made scales, time clocks and tabulating machines into one of the world's most innovative and admired corporations, with more than 400,000 employees creating and implementing information technology solutions for clients in more than 170 countries. The corporate stories that document that evolution are complex tales of high technology, scientific genius, engineering innovation, client focus, and daring risks. These tales illustrate the many ways that IBM has literally changed the way the world works and lives, and collectively they comprise the heritage component of the world's second most valuable brand.

These stories are drawn from the IBM Corporate Archives, based in an I.M. Pei-designed facility in Somers, New York, USA. The Archives, a rich collection of mostly 20th century business and technology documentation, includes more than 4,000 linear meters of print documentation, 6,000 films/videotapes/audiotapes, 100,000 images, and 3,000 artifacts. This collection is used to support strategic decision making, the IBM brand and the brand experience, marketing and communications initiatives, and internally-focused functions like human resources and legal. As IBM enters its second century of existence, the IBM Archives continues to stand as a source of wisdom, inspiration, and competitive advantage for the company's employees.

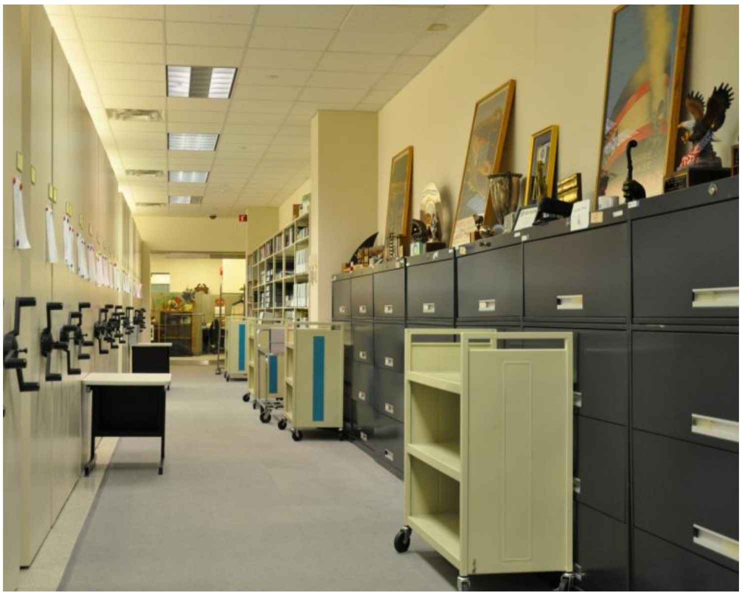


Image 1 –
Interior of the IBM Corporate Archives

Rooted in the Archives: The Contributions of Heritage to the Corporate Brand Experience

Paul C. Lasewicz
IBM Corporate Archivist

1. Introduction

The choices a company makes in defining its brand can earn market respect and customer loyalty. Conversely, a poorly understood or defined brand can create confusion among employees and customers, and negatively impact the financial viability of a corporation. For today's corporation, therefore, the concept of brand is a critical one. According to noted brand strategy consultant Interbrand, one of the 10 principles of its brand strength measurement system is 'Authenticity' - the degree to which a corporate brand is soundly grounded in internal capabilities, has a clearly defined value system and exhibits a coherent heritage. Since authenticity is, at root, the sum of a company's activities and accomplishments over time, it follows that a corporate archives – which is the keeper of this kind of historical content - can help companies define their brand by providing authentic and compelling heritage proof points that demonstrate the essential characteristics of a company's brand.

The experience of the IBM Corporate Archives can offer some insight into this topic. In 2002, a change in leadership offered IBM the opportunity to set a new bar for the company. The bar that senior leadership set was for IBM to become widely acknowledged as a 'great' company by its constituents and its peers. As the company conducted research on what it meant to be 'great', it became clear to leadership that one defining component of being a great company was being a great brand.

So IBM embarked on a strategic effort to define the essential characteristics of its brand – to identify those cultural aspects that were timelessly IBM. As the Brand team conducted their research, one of the places they visited was the IBM Corporate Archives. The Archives housed a great deal of documentation covering more than a century of IBM history, and the Brand team spent a significant amount of time performing research in the collections, finding both inspiration and historical proof points of things that were authentically IBM.

As a result of this deep brand analysis, the company defined its brand as having these four essential characteristics:

1. Its enduring idea – Progress
   IBM believes that the application of intelligence, reason, and science can improve business, society, and the human condition.
2. What differentiates us – Our values
   IBM's values focus on what has timelessly been IBM – who we have been, who we are now and who we believe we must always be.
3. How we are primarily experienced – Through the IBMer
   More than any other single aspect of the company, it's the IBMer who drives progress and our marketplace interactions.
4. Who we serve – The Forward Thinker
   IBM manages the brand to be highly esteemed by our primary constituencies - clients, employees, communities, and investors.

An examination of the heritage roots of these four IBM brand characteristics will demonstrate one way in which Archives content can be relevant to current, highly strategic activities within a corporation.

2. IBM's Enduring Idea – Progress

As IBM's Brand team began looking through the company's history for evidence of things that have been timelessly IBM, one of the first things that caught their eye how deeply the notion of progress was ingrained in the company. In 1916, IBM's legendary President Thomas J. Watson Sr., instructed his salesmen that, "The future of this business, gentlemen, and our future success, depends to a great extent on the progress we make along the lines of development, and along the lines of expansion into new fields and into lines we are not touching today. … We must progress and we can't do it any other way. We can not stand still on development work."

The emphasis that Watson placed on industrial research was both far sighted and far reaching. In the 1930s, IBM executives liked to point out that more than 90% of the company's revenue was generated by products that had been developed since this 1916 pronouncement. One of the company's first films, a corporate overview in 1935, was simply entitled "Progress". The company has employed five Nobel laureates and counts among its ranks numerous Turing, U.S. National Medal of Technology, and Japan Prize award winners. And in 2010 IBM spent more than $6 billion (U.S.) on research.

Image 2 – A portrait of IBM's legendary inventor James Bryce watches over the IBM Archives library room

But for IBM, progress has never been just about technology development. For Watson, and the company, technology was simply a means to an end. The end was making the world a better place – for IBM, for IBM's clients, and ultimately, for society at large. One of the guiding principles of Watson Sr. from the earliest days of the company was to use IBM – both its products and its people – to make the world a better place. "I have often said that a man deserves no credit for making a living," noted Watson, Sr. in 1930. "We must render service beyond thought of personal gain. I could not be happy if I were connected with a business which did not render a service to a large number of people. As I look over our organization and the records our men are making in 77 countries of the world, I realize that we are doing something to make life easier and more pleasant for a large number of people because of the service we render our customers. I am really astonished that we are not doing more because there is so much more we can do through the medium of our organization. We should not think in terms of money but in terms of service."

The theme of progress for both the company and the world remained an IBM constant throughout the 20th century, for as Watson said in 1935, "The pioneers of today are building the progress of tomorrow." That timeless aspect of IBM's heritage inspired the Brand team to identify progress as IBM's enduring idea, an essential brand characteristic.

3. What Differentiates Us – Our Values

One of the things that the Brand team was very interested in finding was examples of values at IBM. Today, corporations often claim to be values-driven. But claiming to be something isn't the same thing as proving it. IBM's heritage played a key role in demonstrating that this often intangible concept was indeed an essential characteristic of the corporate brand. One particularly impactful find in the IBM Archives was a 1956 memo from a long-time company executive. In this memo, written just weeks after Watson, Sr. passed away and in the midst of a scary, gambling shift in IBM's product lines, the author stated that IBM was in danger of losing its eternal values. This is a revealing comment, for it demonstrates that more than 50 years ago, IBM was not only aware it had an ingrained values system, it recognized that these values were, in fact, eternal. IBM first formally codified its values in 1962, six years after Watson Sr. passed. And they remained untouched for 40 years.

These values – solidified by nearly 90 years of daily practice by employees and management alike – were the historical context behind a 2003 revision of IBM's corporate values. Astutely, IBM's senior management reached out to its employees in an innovative online 'jam' to solicit their input on what IBM's core values for the 21st century should be. For 72 hours, more than 50,000 employees discussed the topic in an online discussion forum. Based on this feedback, IBM created a new values statement, one which clearly paid homage to what it had always meant to be an IBMer.

IBM's Basic Beliefs (1962)	IBM's Current Values (2003)
- respect for the individual	- dedication to every client's success
- the best customer service	- innovation that matters, for IBM and the world
- excellence in all we do	- trust and personal responsibility in all relationships

The company's long awareness of – and emphasis on – the importance of values provides a firm foundation for IBM to genuinely and compellingly assert that it has been, is, and will continue to be a values-driven company. That the revamped values so closely align with the company's traditional beliefs indicates that these concepts are in fact timelessly IBM, and therefore form another authentic characteristic of the brand.

4. How We Are Primarily Experienced – Through the IBMer

As the Brand team looked at the totality of the IBM brand experience over time, they concluded that a key component of IBM's values was sharply focused on personal relationships – respect, service, trust, dedication. So it shouldn't be a surprise that the primary way that IBM has interacted with the marketplace has been through its employees. Watson placed enormous importance on the ability of his employees to properly represent the company. IBM's legendary sales force was widely recognized for collectively looking the part of a great company – the sales 'uniform' was universal ... dark suits, shiny shoes, ties, and a hat. But IBM representatives were more than just a pretty suit – they were highly trained, deeply knowledgeable and incredibly dedicated to servicing the client. And Watson kept them that way through a compensation system that rewarded them handsomely for exemplary efforts.

But Watson didn't stop with the sales force. He wanted every IBM employee to be able to contribute to the success of the company – and to be able to speak for it. Watson saw it as the company's responsibility to unleash that collective employee power. In 1915 he introduced the mantra THINK, a one-word slogan that brilliantly established a corporate cultural trait that lasts to this day. In this single simple word, he captured the essence of what it meant to be an IBMer – a collection of individuals empowered with the freedom and authority to make their own decisions, harnessed together in the pursuit of making the world a better place. In 1935, Watson – in a speech to IBM manufacturing foremen – said, "I take more pride in the character of our organization, and in the way our people represent us throughout the world, than I do in all the other things that I possess or that we have in the company."

For Watson, one of the keys to empowering employees was education, and so IBM established its first educational program in 1916 as "a clearinghouse for the best ideas, suggestions, policies, and general knowledge of the tabulating machine business." Over the next two decades, the company's educational systems grew to include classes for every employee, be they sales, managers, engineers, or factory personnel. This focus on employee education was so deeply ingrained in the culture that employees created after-hours self-study clubs. By 1935, at the height of the Great Depression, he built the IBM Schoolhouse in Endicott, N.Y., a financial commitment that symbolized the cultural importance that IBM placed on constant improvement. This cultural trait extended across political borders to IBM's employees worldwide – by the 1930s there were educational programs in European and South American country organizations, and by the 1960s there were dedicated IBM education centers in Holland and Japan. At IBM, there is – as Watson was fond of saying – "no saturation point for education."

Today there is an ongoing discussion revolving around the activation of employees to serve as advocates for the company in the constituencies in which they move – just as it was in Watson's day. "Very few persons throughout the country have seen our factory, our School, our Laboratory, or our World Headquarters Building," he said in 1940. "And the only way they have to judge the character of IBM is by the character of those who represent us." That deliberate cultivation of each and every IBMer as an advocate for the company in look, word, and deed, has been and remains a timeless facet of the company's brand.

5. Who we serve – The Forward Thinker

Technology companies invent a product or application, and then try to create a market for their wares. As the Brand team looked into IBM's past, they saw this pattern replicated repeatedly.

Initially, it was incumbent on IBM to be forward-thinking itself, and Watson made sure that progressive outlook was part of the company's culture. "Life is never static," he said in 1932. "The only thing we can be sure of is perpetual change. In our times changes are taking place rapidly; today's methods will not be suitable for tomorrow. It is the part of business leaders to determine the needs of the future. Tomorrow's methods must be planned today. Constant and careful research is a necessity no less urgent than the regular flow of daily business."

Watson set a forward-thinking cultural tone by positioning IBM to be an early adopter of technologies that sped up and increased the efficiency of business. The company was among the first users of the trans-Atlantic telephone in 1927, the R.C.A. Radiogram for transcontinental communication in 1929, a U.S. to Brazil radiotelephone connection in 1931, corporate movies in 1932, a world-wide employee radio broadcast in 1936, and trans-oceanic aerial mail services in 1940. He even appeared on experimental television broadcast at the 1939 New York World's Fair.

By being forward thinking itself, IBM could anticipate, understand, and address the needs of forward-thinking organizations. The commercial spread of punch card tabulating equipment in the early part of the 20th century from government census work to railroad, manufacturing, retail and financial industries was based on IBM's development of a deep understanding of these industries, and then working closely with these industries to develop tabulating applications that improved business processes and analytics.

To this end, the original purpose of IBM's first training sessions in 1916 was to identify, share, and spread knowledge about how different clients were utilizing IBM products. But it also served as a collecting pool of ideas for future functionality and

Image 3 – The IBM Archives includes a large artifact collection, with pieces dating to the 1600s. Here, a central processing unit from a 1950s-era IBM 702 computer is featured in the Archives gallery exhibit.

applications. “Now, when you get suggestions, as you must, from the manufacturers and the merchants you come in contact with ... make a note of it, and send it here,” Watson Sr. instructed his salesmen. “Let these geniuses [IBM inventors] decide whether it is impossible or not. That is their business. That is why we keep them here, and we are willing to keep twice as many as we have here now, if you men will furnish the thoughts, and let them work out the ideas.” By spreading information about how IBM equipment was being and could be used by its most forward-thinking customers and salesmen, IBM would be able to better identify potential new functionalities, applications, and clients for its products.

Similarly, the impetus behind IBM’s participation in pioneering government projects like the U.S. Social Security program and large-scale scientific calculations during the 1930s and 1940s allowed the company to pilot and gain valuable expertise in new technologies and massive computational activity, expertise that the company was able to successfully leverage as it began to transition these computational technologies to forward-thinking customers in the commercial sector.

In the 1950s, the scary shift from reliable electro-mechanical tabulating systems to faster but unproven and more expensive electronic computing technologies required a leap of faith on both the part of IBM and the clients the company served. To spread knowledge about the workings and applications of electronic computing, IBM helped create the world’s first computer science curriculum at Columbia University in N.Y. in the 1940s. The company sponsored numerous academic and professional computing symposiums in the 1950s and 1960s in order to spread knowledge of the utility and benefits of computers. Likewise, industry trade press publications in these decades trumpeted how companies in a wide variety of industries were pioneering the use of IBM products to improve business efficiency and increase profits, in the hope of enticing other companies in these industries to make the transition to the computer age. And in order to demystify these 'electronic brains' for the general public, the company commissioned noted industrial and graphics designers Charles and Rae Eames in the 1950s and 1960s to develop a number of movies and traveling exhibitions that explained the concepts and workings of this complex technology in easily accessible manner.

Today, in 2011, the forward-looking technology conversations center around using advanced technologies like cloud computing and real-life applications of artificial intelligence programs like Watson (the Jeopardy playing computer) that collect the vast amount of data in the world today, use increasingly sophisticated applications to analyze it in ways never before possible, and derive deep knowledge that will produce meaningful changes in how the world works. Still, at root, these are essentially the same data challenges IBM has helped clients with throughout its 100 years of existence. Because of this core business continuity, the company's heritage is full of examples that amply demonstrate its willingness to engage with and meet the needs of progressive organizations who embrace technological change as a solution to their process and analytical needs. These historical proof points indicate that partnering with forward-thinkers is an essential characteristic of the IBM brand.

6. Conclusion

In conclusion, the meaningful role IBM's heritage plays in defining the corporate brand demonstrates one way a corporate archives can contribute to a corporation's current strategic activities. Archives content can strengthen a corporate brand by tapping a company's history to provide authentic examples of essential brand characteristics. These heritage examples can help a company define and clarify its brand in both internal and external arenas. By providing these examples, a corporate archives can contribute to a framework around which a business can tighten its operational focus, improving both the bottom line and the value of the brand. This is a modern use of company heritage that Watson, Sr., would wholeheartedly support. "We are not satisfied simply with a review of the past," he said in 1936. "We add to it our own vision of the future."

Part II

Archives and Corporate Management

Chapter 4

The DNA of Corporations:
A Key Enabler for Success

Alexander L. Bieri
F. Hoffmann-La Roche

March, 2012

Alexander L. Bieri

Curator, Roche Historical Collection and Archive

Alexander Bieri (1976-) received formal education in Switzerland and the United Kingdom. After studying information management and public relations he started working for Roche Group Holdings. He soon became interested in the company's heritage and started publishing on Roche's architectural history. In 2000 he was appointed to the position of Curator of The Roche Historical Collection and Archive. Alexander Bieri has published many books and articles both on Roche and other themes. He is responsible for a variety of Roche in-house museums and organises special exhibitions in Switzerland and abroad. He is also a member of ICOMOS Switzerland in his capacity as a specialist of 20th century design

Roche (Switzerland)

Roche is one of the world's leading pharmaceutical companies and specializes in highly potent prescription medicines as well as in-vitro diagnostics. Founded in 1896, the company has been innovation-driven right from the start. In 2010, Roche achieved sales of more than 47 billion Swiss Francs. About 9 billion Swiss Francs are invested into research each year. Important drugs from the pharmaceutical business include novel biotechnologically produced compounds against cancer, rheumatoid arthritis and hepatitis. The company is the world market leader in in-vitro diagnostics. These products range from the diabetes care business unit, which produces small handheld glucose meters, to very large, automated facilities for hospitals and centralized laboratories. Roche employs more than 81,000 highly skilled people around the world and is one of a few companies with expertise in three technologically demanding fields: chemistry, biotechnology and microelectronics/robotics.

The Roche Historical Collection and Archive consists of five main collection catalogues and a wealth of specialised sub-collections. The five catalogues are: documents and printed matter, books, audio-visual documents, photographs and objects. The earliest documents date back to the 16th century and include contracts written and sealed on parchment which have found their way into the archive through the acquisition of land rights. Roche, of course, was founded only in 1894. Documents on Roche's history include the correspondence of the directors of the company as well as minutes and reports. The activities of the Group are fully covered from the foundation to the present day, including activities of affiliates. The same applies to the vast collection of printed matter. Right from the start five copies of each publication have been set aside for archival purposes. Many famous typographers have worked for Roche, among them Jan Tschichold. The library counts more than 8000 tomes and there are about 3000 films which were mainly produced in Roche's own film studios, among them treasures such as documentary films by the British director Eric Marquis. About two million photographs are contained in our photographs archive. The most diverse group of artefacts are the objects, ranging from pharmaceuticals and diagnostic machines to equipment from laboratories, offices and workshops. Special collections include large holdings of apothecary jars, architectural plans, furniture, historic prints and anatomical preparations. The Archive furthermore operates three museums: one in Basel on Roche history, one in a historic castle near Roche's training centre in central Switzerland containing period rooms and one in Germany dedicated to the work environment of around 1900. The Archive's electronic catalogue is web-based and linked to a large media server, allowing fast state-of-the-art access to all resources. Books and brochures on singular themes are regularly published by the archive. The latest title, "Tales from the Anatomy Theatre" is a compilation on the history of anatomical preparations.

Image 1 – Roche Headquarters, Basel, Switzerland

The "DNA" of Corporations: A Key Enabler for Success[1]

Alexander L. Bieri
Curator, Roche Historical Collection and Archive

1 Introduction

The following article first analyses the shifts in management characteristics which took place in Europe and the United States after the 1950s. It then tracks the reasons why these shifts had far-reaching impacts on the socio-cultural environment within corporations. In the second part, by using Roche Group Holdings as a case study, the article points out how historical archives can be put to use in order to influence the socio-cultural environment.

Large corporations and organizations usually supply a plethora of pamphlets aimed at creating a certain picture of themselves with the public. The public, in this case, of course includes employees. The more harmless of these pamphlets are mere image brochures describing in more or less colourful language what the company aims for. From the 1970s onwards a new kind of publication sprung up, often called "corporate principles". In flowery words, these documents were thought to describe and encompass the specific company values and culture. Usually, there is a preface by the CEO who claims that these "values" describe what distinguishes the company from its competitors. It is very interesting to investigate these brochures which all have an uncanny similarity, whether they were published by an engineering company, a producer of sweets or an insurance company – they are exchangeable and of little originality. It soon becomes clear that they were not produced with the help of the company archives. Rather, they usually describe a lofty ideal of what the management thinks the company should be like. It is no surprise that such brochures never actually match the actual culture people experience within the companies they work for.

There are of course deeper reasons why companies suddenly felt the need to write down explicitly how they would like to be (in theory). Let's look back in history in order to understand the changes that happened on a global scale in the 1970s. Trade had been in the hands of merchants for thousands of years. Depending on the culture of the societies they operated in, merchants had a higher or lower social position but this usually did not affect the fact that they were seen as an important part of everyday life. The skills and techniques involved in trading merchandise and handling valuables like money or gold were passed on from generation to generation in an apprentice system. While this may have perpetuated

[1] This article is based on a lecture given in 2010 in Blois (France).

certain old customs that perhaps deserved to have been challenged, it also created an admirable steadiness and common behaviors (and thus understanding) which made global trade possible in the first place. Stemming from global trade and fueled by the great inventions of the 18th and 19th century, the industrialization of societies was strongly built on this foundation which determined how business was done. It is no surprise that a strong tendency for financial sustainability was for a very long time at the core of business ethics. The industrialists had – by today’s standards – inordinate sums of capital bound up in their businesses and took great pride in the fact that they reinvested most of their revenues. They had in fact a merchant’s approach towards their businesses and thus emphasized the value creation chain. In order to understand how to use and improve the value creation chain, a thorough understanding of the product they created and also of the market environment was indispensible.

Attempts to introduce academic thinking into business processes can be traced back to the beginning of the 20th century. Harvard University was without doubt one of the early pioneers in creating courses that tried to tackle business problems from a more scientific viewpoint. In Switzerland, as in many other countries, business courses were introduced in universities in the 1950s. For want of any better idea they were included in the law schools. In comparison to the traditional way of training, academic courses primarily have the advantage of holding a much higher status in society. The traditionally trained businesspeople thus soon were out of favour when it came to filling leading positions in economic enterprises. After all, the academically trained specialists brought the promise of higher predictability of results and more exacting methods thanks to academic methodology. It was not until the 1970s though that academically trained managers started replacing the old generation of businesspeople. These changes were of course strongly influenced by shifts in society generated by the upheavals and student protests of 1968. Many of Switzerland’s old managers at the time exerted a strong attitude of authority which at best could be described as fatherly, at its worst was perceived as being utterly out of date and reactionary. Although it may seem that the paternalistic authoritative management style of the past was rightly binned, with it went a thousand year long tradition of conducting trade as the academically trained managers started imposing their vision of a scientific and sound management system onto the companies they took over.

However, companies are congregations of people and in order to achieve a target there needs to be some form of leadership. The question how a large company is actually “lead” by an academically trained manager has never been fully answered to this day. And a host of problems that are experienced by large old corporations can without a doubt be linked to the fact that there is no authority at the helm, no person to actually say what he or she wants, based on a sound knowledge of the products manufactured, the inner structural workings of the company and the market within which it operates. Leadership characteristics like stamina or authority of course cannot be taught at a university. They need to stem from a long-time experience within the business itself which usually would have consummated a big portion of the time young people tend to spend at university. It would be impossible to investigate this further within the boundaries of this article but it is food for thought at a time when university studies more and more resemble a particularly inefficient way of schooling.

For companies, the major implication at first was that the new managerial type had a deep aversion to everything from the past. Even today, managers of this generation tend to niggle about every attempt to present something historical and regale the unsuspecting archivist with remarks like “we are focused on the future, not the past”. This most unintelligent comment is doing little more than unmasking the shallow emptiness from which these people suffer. Instead of understanding the business, they ruthlessly, and with little regard for the complexity of problems, made their way to the top. They are using their company as a tool rather than serving it. Academically trained to focus only on one manageable issue at a time and analyse it from every perceivable angle – the standard procedure in natural sciences – they usually never get the full picture. This complete disregard for the difference between a huge global company and a microbe under the microscope results in diversion strategies in order to keep up a façade of being in control. More and more, the company starts to deal with home-made issues and loses perspective of customers products and markets. In short, entrepreneurship is replaced with a belief in the latest of scientific findings which heavily depends on the ever changing fashion fancied by bank analysts or fellow managers. Nobody can tell whether these measures will eventually improve anything or whether they will only incur cost and cause anger and frustration. Moreover, the projects are deliberately chosen to induce as little change as possible while stirring up as much dust as possible. It is as if a new chemical compound would be put on the market untested, without knowing for what disease it might work and immediately prescribed in large doses to the unsuspecting people.

Despite doing damage, the shift in the 1970s also had some positive aspects, of course. Finances were given a much higher importance and companies learned to live and operate on leaner capital stocks which was an urgent necessity in view of the productivity at the time, which left much to be desired. So the economy as a whole profited greatly from the more skilled and sophisticated approach companies adopted when dealing with their money. This said, it must also be mentioned that the causes of the current financial crisis very much originated at that time.

The paradigm shift in management during the 1970s yielded all in all catastrophic results among single companies as well. The demise of once great and important companies can be owed to the steady financial bleeding out caused by the often utterly incapable management teams that were installed in corporations at the time. Research-based companies saw CEOs at the top who challenged the necessity to conduct research altogether. The pharmaceutical industry still suffers heavily today from the restrictions placed on their research departments then. The worst part of the story is that the management of companies estranged themselves from their staff and the productive part of the businesses they were supposed to lead. To this day, the knowledge managers have about their own corporations – and we focus by no means only on historical knowledge here – has often remained infinitesimal.

2 Roche Case Study

When the Roche Historical Collection and Archive was founded in 1990, Roche was right in the middle of the process described above. Although still populated by many long-time employees who fought hard to preserve company traditions, the research department had already been conquered through steady attrition imposed by the management. As is so often the case, the Archive was founded in order to provide a basis for the company’s 100 year jubilee which took place in 1996. Many ordinary employees who were due to retire during that decade were worried about the collections of documents, printed matter, objects and photographs they had accumulated over the years or taken over from predecessors. The constant restructuring processes made it impossible to count on successors being prepared to handle historical artefacts in addition to their daily chores. Furthermore, many positions were abandoned altogether and – in a time when skilled personnel was available in droves at comparatively low salaries – the old mutual respect between the company and its staff started to evaporate. This process was speeded up if not caused by an invisible management who had taken up residence behind fortress-like doors that were insurmountable for non-managers and signaled to the employees: there is a battle line in between us and you!

The Archive was supposed to be shut down again after the festivities of the 100 year jubilee. My predecessors tried to circumvent this by taking over many of the smaller historical collections and archives held and built up over time within the Group as a whole.

These collections often reached back right to the foundation of the company in 1896, an astonishing fact that can be explained by the sometimes extreme emotional connection employees had cultivated with Roche. By gathering these collections, the Archive started to make itself indispensible and became a place of last resort for many employees who wanted to make sure that their collection was properly taken care of. In 1995, the Swiss government installed an official group of historians investigating the behaviour of Swiss companies in World War II. While the research activities of the so called “Bergier group” (named after the leading historian Jean-François Bergier who was appointed president of the group) finished around 1999, they were still working on the final report when I took over the Roche Historical Collection and Archive in late 1999. The claims made towards Swiss and German businesses at the time quickly became very interesting in regards to securing the long term survival of the Roche archive. For the first time, as a result of a recent development in the jurisdiction of the United States, it became clear that shifts in public ethics can cause legal actions even if the events under scrutiny have taken place in the past and even if legal timelines have expired. Suddenly, there were hard facts at hand which clearly indicated that it makes sense to invest in a well-kept archive which allows the company to prove how it acted in the past. The help provided by the Roche Historical Collection and Archive to prove that Roche had done everything it could to act fairly during World War II was important in making the Archive’s case, but not nearly enough.

The Archive first set out to brand itself. This allowed it to implement a marketing strategy for the services the Archive could provide. By doing this, the Archive became a preferred partner for many internal departments in dealing with knowledge in general. In achieving this, we were greatly helped by the fact that we had the unique advantage of our own archival records at our fingertips. We also organised guided tours through the Archive on themes like art and architecture. All this played an important role in establishing the Archive as an important additional tool in carrying out public relations. Special exhibitions of little known archival treasures were also key factors in generating interest in our holdings and work. By issuing new publications on the company’s history, it became possible to correct misconceptions of Roche history and to have them replaced with hard facts underpinned by our own factual research.

All these measures aimed at “history marketing” would not have worked if the company had not been in management turmoil at the time. Old management structures were challenged and a new crew of people took over the helm of the company. The new management crew had a thorough understanding of the pharmaceuticals business and set out on a mission to bring Roche back on a sustainable path of growth. It soon became apparent that these measures had the effect of a rejuvenation process for the more than 100 year old Roche. For most employees at the time, it was totally unclear what “Roche” meant in terms of company culture or values. The previous decades had resulted in a group which was by all means still a strong market player but essentially torn between market demands, still extant traces of the original culture and the concepts left behind by former generations of management. These concepts can sometimes only be described as operational schizophrenia in action, as the words never match the deeds.

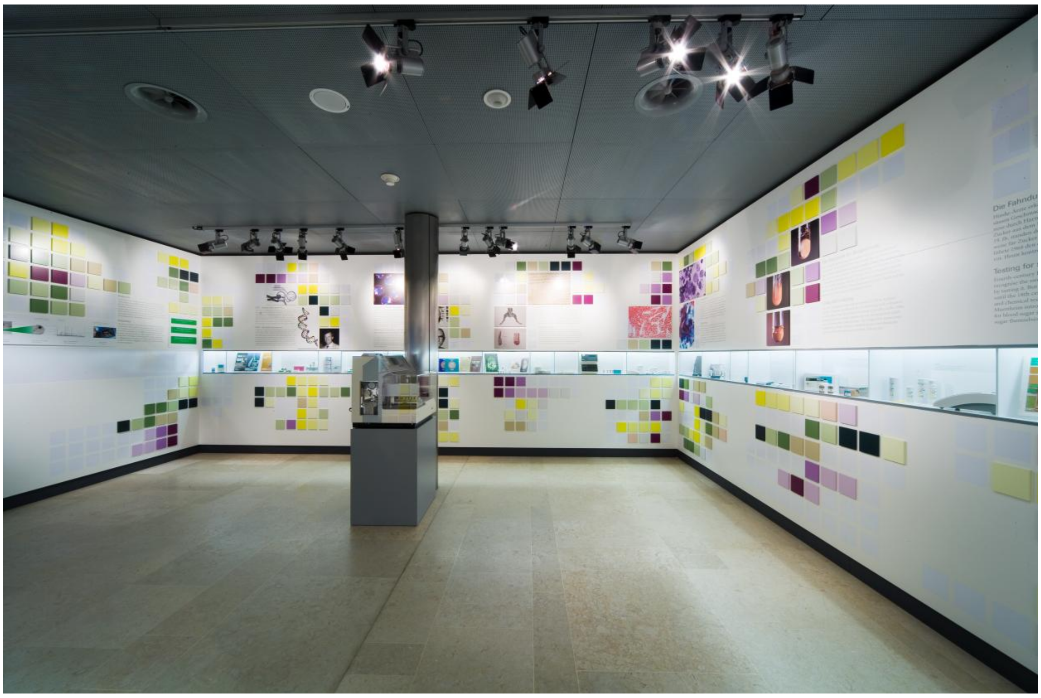
The Roche Historical Collection and Archive saw therein a unique chance. As specialists on the history of the company, we felt uneasy when comparing the spirit of openness and quirkiness typical of Roche in the past with the stiff and stuffy atmosphere present at the time. For us, it was pretty clear what had made Roche big in the past and we realised that we had both an obligation and a chance to help Roche find its way back to what can be described as the corporate “DNA”. Archivists are in a uniquely privileged position. They are the only ones who know in detail about the past and are therefore capable of differentiating and putting events into the right perspective. We understood that it was up to us to reintroduce lost traditions that were clearly key factors in attaining future success. Sometimes these traditions do not seem very positive at first sight. Contextualised correctly, however, it is possible to show that they have been important in building success stories in the past and can still do so today as well.

Like so many companies, Roche is proud to attract the “best and the brightest”. However, it is a peculiarity in the history of the company that for a long time it had to be content with staff from all walks of life. What looks like a disadvantage at first sight proved to be a huge advantage as Roche employed men and women who really thought “outside of the box” and could contribute from a vast background of experience. Many stories point out Roche’s special stance towards human resources policies. Even today, many Roche employees are surprised to learn that Roche was one of the first companies to appoint a woman in the position of director. In 1925, Dr Alice Keller was even appointed general manager of Roche’s affiliate in Japan, one of the first women to occupy such a position. Dr Keller remained celibate all her life, travelled extensively and – as a keen photographer – left many interesting photographs to the Roche Historical Archive before she passed away. Other stories recall how products made it to the market only because employees had an intrinsic belief in their own work and challenged management decisions. By citing stories such as these which are very telling in terms of the traditional Roche culture, we slowly but steadily started to challenge the view of employees towards the company they work for and also eradicate false assumptions and bad experiences of the past.

An important early breakthrough in this process was the opening of our new historical exhibition in 2006. Since then, all new Roche employees as well as many visitors to the company are guided through the exhibits which come in the form of picturesque assemblages. For the first time, the company history is told from the viewpoint of the product

Image 2 – Roche Historical Exhibition (1)

Image 3 – Roche Historical Exhibition (2)



lines rather than structured around the tenures of CEOs. Controversial themes are particularly important as it was our intention to create an environment in which dissent, discussion and critique flourish. At the beginning, it was not taken up too enthusiastically. Today however, this exhibition is one of the most popular venues at Roche’s Basel site and is even beginning to look a bit tame as the company has outpaced our vision. Therefore, we have now embarked on a new project in order to refurbish the exhibition and hope to live up to Roche’s company culture once again and provide a startling and provocative space for discussion and learning.

Another point in case is Roche’s interest in architecture and fine arts. Roche has traditionally fostered both since the 1930s and even had its own architectural style developed by one of the leading modern architects at the time, Professor Otto Rudolf Salvisberg. The interiors he created for Roche were shockingly bare and industrial to his contemporaries. Even today’s managers often find some of his original designs too stark for their taste. In the 1970s and 1980s managers fiddled around with the original designs and wanted to make the rooms both warmer and more imposing in atmosphere by introducing precious, non-industrial materials and darker colours. Roche’s architecture and art collection were always fabled among specialists but the company went to great lengths to keep everything as secret as possible. One can speculate about the reasons for that but the fact is that in 1999 the company was very much against publicizing its decades-long achievements in both fine arts and architecture.

Undeterred, the Archive started to give tours on art and architecture to groups in secret, camouflaged as factory tours for doctors. These select few wanted to take something printed home as a souvenir and it took some courage to publish a little brochure but this is what we did. After a couple of years and with changes in management, Roche grew comfortable with the very positive publicity it gained through its remarkable long-time commitment to architecture and art. It even started to embrace the modernist approach predecessors in the 1930s had so boldly implemented. The traditional meeting room of the executive committee of the company originally had been one of the most interesting and beautiful rooms designed by Professor Salvisberg. Especially during the 1970s and 1980s, this unique 1936 room had been “improved” by a wooden ceiling and dark colours which very much compromised the original design. Eventually, management decided on a full restoration to the rooms’ original, starkly modernist glory, and even reinstated the historic chairs which still were extant in the archives’ furniture collection. This is the clearest indication to date of how much Roche is again at ease with its original company culture. And it would have been unthinkable only ten years ago.

Today Roche is again the strong research-based healthcare company it was intended to be right from the start of business in 1896. As a research company, the group's most valuable asset is the creativity of its employees. During the changes in management after World War II, especially during the 1980s and the following structural changes in the European economy, Roche lost trace of what originally made it one of the most successful and original pharmaceutical companies. Management reacted to the faults that showed within the organisation by focusing strictly on the core business of Roche: To provide novel solutions for unmet medical needs. To support that process, the Roche Historical Collection and Archive built up a broad selection of measures which led to the re-establishment and uncovering of the original company "DNA". This not only provided a new basis for trust between management and the workforce, but also made Roche's inner workings understandable to the public and has helped considerably to sharpen Roche's image both within and outside the company. The extensive use of "history marketing" thus had a direct effect on the business and we can clearly say that the company has greatly profited from the venture to get to know itself better.

Chapter 5

Business Archives in France, A Tool Serving Management: The Saint-Gobain Case

Didier Bondue
Saint-Gobain Archives

April, 2012

Didier Bondue

Director,
Saint-Gobain Archives

Didier Bondue has been Director of the Saint-Gobain Archives since November 2001. He studied History (PhD, Paris-Sorbonne University) and Political Science (Institut d'Etudes Politiques, Université Lumière Lyon) and worked, mainly in the Saint-Gobain Group, for 22 years, occupying various positions in sales and marketing. He is also the past chairman of the Business Section of the *Association des Archivistes Français* (AAF) and the Chair of the Section for Business and Labour Archives of the International Council on Archives (ICA/SBL).

Saint-Gobain Group (France)

Saint-Gobain was established in 1665 by Prime Minister Jean-Baptiste Colbert under order from Louis XIV. Their goal was to challenge the supremacy of Venice's glass makers on the European stage. Over the centuries the company was transformed through numerous mergers and takeovers and expanded from glass manufacturing to other fields as well as expanding geographically throughout Europe and beyond. Saint-Gobain is now one of the top 100 most innovative companies in the world and employs nearly 190,000 people in 64 countries across four main sectors: construction products, innovative materials, building distribution, and packaging.

The Saint-Gobain Archives is the hub of the Saint-Gobain Group for the management of records and archives. The Archives is based in Blois in the Loire Valley in central France. The Blois Centre has two sections, one for records and archives (about 70 linear kilometres) and the other for documentation (movies, pictures, books, etc.)

Image 1 – Exterior of the Saint-Gobain Archives (Photograph: Alain Dovifat)

Image 2 – Interior of the Saint-Gobain Archives (Photograph: Alain Dovifat)

Business Archives in France, A Tool Serving Management: The Saint-Gobain Case

Didier Bondue
Director, Saint-Gobain Archives

Business archives have less than a century of history in France. The Business History Society was already in existence in the United States when the French historian Marc Bloch wrote to Lucien Febvre on September 20, 1929 about the urgent need to begin a study of the archives of private companies. The study would be published as "The Rational Organization of Businesses: Private Archives and History" in the first issue of 1930 of *Annales*. The article included an introduction by Lucien Febvre and a note by Charles Schmidt, Inspector General of the Archives.[1]

In 1949 the Department of Economic Archives was created in the National Archives by the General Manager Charles Braibant. This was done to safeguard economic archives, both private and public, under the control of the administration. In 1957 the first inventory was published by Bertrand Gille to give a list of the historical archives thus saved.

It was not until the 1970s, however, that there was real movement in the creation of archives in private sector companies. The subject of business archives in France was taken up at this time and a large number of studies have appeared since.[2] This article attempts to demonstrate the original and pioneering role of the Saint-Gobain Archives; how it stimulated the creation of archives within a large number of major French companies early on and, even more, how it continues to be influential today as the Blois Centre is one of the only archives in the world to be organized as both a profit centre and a service company.

1. The Pioneering Role of Saint-Gobain

> Companies make history. It is simple reciprocity that historians help them in their constant quest for the future.[3]

Roger Martin, the first Chief Executive Officer after the merger of Saint-Gobain and

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[1] Febvre, Lucien, and Schmid, Charles. "L'Organisation Rationnelle des Entreprises: Les Archives Privées et l'Histoire," *Annales d'Histoire Économique et Sociale*. 2.5 (1930): 64-66.
[2] For example: Hamon, Maurice. "Les Archives d'Entreprises en France." *Rassegna degli archivi di Stato*. 44.2-3 (1984): 480-487.; Nougaret, Roger. "Overview of Business Archives in France." ICA/SBL, December 2006.; Zuber, Henri, and Nougaret, Roger. "Les Archives d'Entreprises en France." *Gazette des Archives*. 204 (2006): 171-186.
[3] Martin, Roger. "Le Président Directeur Général et l'Archiviste." *Revue Française de Gestion*. (Sept-Oct, 1988): 122-126.

Pont-à-Mousson in 1970, used the above lines to conclude an article in the *Revue Française de Gestion* (French Journal of Management) in 1988. The title of the article, "*Le Président Directeur Général et l'Archiviste*" (The CEO and the Archivist), underlines the importance of the function of the archives within the large international group of which he was head. In the article he recounts all the contributions of history to his professional career, in particular the links between management and the history of the company, and also discusses the establishment of an original system of management for the archives.[4]

This system was made necessary by the merger of Saint-Gobain and Pont-à-Mousson in 1970 and was described in 1972 by the following:

> Our Group has two sets of important archives… The time has come for us to rethink the question of our archives in order to avoid excess clutter and above all to improve the opportunities for use of the very rich collections they represent. But the historical value of these holdings obligate us to call on people of great ability.[5]

In July 1973, accompanied by Roger Fauroux, Roger Martin met Guy Duboscq, the Director General of the French Archives, and expressed to him their hope that "one of his archivist-paleographers might be willing to leave the administration to bring their expertise to serve Saint-Gobain-Point-à-Mousson."[6] On April 1, 1974, Mr. Hamon joined the company.

A note written the very next day makes reference to a document by Mr. Hamon that established "the duties of the company's archives." From this note Roger Martin drew two main principles, that: 1) "it is necessary first and foremost to treat the day-to-day and very real problem of the impact of the archives on the company's overhead costs, the archive's contribution to history will be an added benefit," and 2) "the proposed pragmatic approach corresponds well with the structure of the Group and the complexity of the problems."[7]

In these few lines can be seen the spirit of the organization that was just beginning to be formed at the time, an organization that has continued to develop over the course of the past quarter of a century in response to the evolution of the scope of the Group.

In his introduction, Maurice Hamon discussed the three stages of records and argued that the role of an archives can be summed up as follows:

1) "Monitor the production of current records,"
2) "Ensure the collection and management of intermediary records,"
3) "Develop access to historical records for historians."[8]

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4 Ibid.
5 Letter. May 17, 1972. CSG 00426/22, Saint-Gobain Archives.
6 Martin, Roger. *Patron de Droit Divin*. Paris: Gallimard, 1984, 447.
7 Note. April 2, 1974. CSG 00426/22, Saint-Gobain Archives.
8 Ibid.

Consequently, he proposed that the Archives should present itself to the Group "as a true service company with the facilities and qualified staff to deal with all archival problems."

In April 1976, Maurice Hamon took stock of his first two years with the company, during which time three tasks had been undertaken:

1) The preparation and dissemination of a manual of business archives,
2) Studies of the problems posed by new types of media (microfilm, digital technology, etc),
3) An archival exhibition accompanied by historical commentary within the framework of the company's management and economic training sessions in Menars.[9]

Having organized an archives, the next step was to examine the issue of a dedicated archives building. It was necessary to "build, somewhere in France, a specialized building where the historical and semi-historical records of the companies of the Group could be centralized."[10] It was thus decided to locate the archives in Blois, at the center of the Group's French activities. The goal was realized in December 1979 with the inauguration of the distinctive building of the Blois Centre, which would become a model for business archives throughout France.

2. The Development of Archives Since 1980

In 1981, the coming to power of François Mitterrand and a leftist government led to two important events in arena of business archives in France. The first was the nationalization of the banking sector and of large industrial companies in 1982. Their archives thus came under the scope of the Archives Act, established in 1979. Then in 1983 came the project to create 5 regional centres for labour archives. Over the course of time and due to budget constraints, the scope was reduced to one single centre in a former textile mill in Roubaix in northern France, in the heart of an industrial region affected by global developments.

Inaugurated only in 1993, this political tool of the national archives was named the Centre des Archives du Monde du Travail (Centre for Archives of the World of Work, CAMT). "The name, 'Archives of the World of Work,' tries to cover the entirety of documents be they public or private in nature, born of activities economic or social, from the archives of industrial, commercial, craft, or agricultural companies; or those of banks, insurance companies, professional organizations, employee or miners unions, or organizations created as part of working life."[11]

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[9] Martin, *Patron*. 447. Along with Neuilly in Paris and Ars Castle (Château d'Ars), Menars was one of the three locations for archival storage.
[10] Ibid.

While the privatization movement in 1986 reduced somewhat the state's influence on the private sector, the management of business archives had already gained momentum. Other initiatives further reinforced this situation. In particular, was the creation in 1983 of the Centre Rhénan d'Archives et de Recherches Économiques (Rhine Centre for Archives and Economic Research, CERARE) in Mulhouse to safeguard the archives of industrial businesses of the Upper Rhine as part of a tripartite undertaking between the city, university, and chamber of commerce. At the same time in Lyon, Paul Berliet, following the sale of his truck business to the Renault Group, founded the Marius Berliet Foundation to promote the work of his father in the history of French trucks. In 1985 in Creusot, the cradle of the Schneider family, the François Bourdon Academy was founded to conserve the history of the region's steel industry.

True business archives began to develop in parallel from 1990. It consisted in the first part of managing the issue of intermediate archives but also to mange historical legacies as a central function of the archives.

Most large French companies now have an in-house archives. Examples cover a wide range of activities including:

- Aerospace: European Aeronautic Defence and Space Company (EADS), Safran Group;
- Automotive: Renault, Peugeot-Citroën, Michelin;
- Banking: Bank of France, Caisse des Dépots Group, Cetelem, Crédit Agricole, Banque Nationale de Paris (BNP), Société Générale;
- Construction Materials: Lafarge, Saint-Gobain;
- Pharmaceuticals: Sanofi-Aventis, Laboratoires UPSA, Quintiles;
- Energy: Charbonnages de France, Atomic Energy Commission, Compagnie du Rhône, Électricité de France (EDF), Gas de France (GDF);
- Services: Assurances Générales de France (AGF), France Telecom, La Poste, Maïf;
- Metallurgy: ArcelorMittal;
- Transportation: Aéroports de Paris (ADP), Air France, Régie Autonome des Transports Parisiens (RATP), Société Nationale des Chemins de fer Français (SNCF);
- Other Sectors: Altadis (tobacco), Veuve Cliquot Champagne, Martell Cognac, Louis Vuitton, Canson (paper), Société d'Emboutissage de Bourgogne (SEB);
- Chambers of Commerce: linked with the business world, they are also a source of information on economic history

The situation varies depending on activities and covers the entire scope of archives and heritage. Only the Saint-Gobain's archives is organized as a profit centre, an example that is nearly unique throughout the world.

The attachments of the archives are very different: general services, administrative and financial management, legal… The business culture also considerably influences the scope of activity.

In the oil sector Total merged with Fina and Elf Aquitaine. Banks were not spared either as the Banque National de Paris took over Paribas and Crédit Agricole took over Crédit Lyonnais. Major industrial activities also unified their markets and the steel industry followed suit. Usinor merged with its principal competitors to become Acelor, which then became the property of the Indian Mittal. The aluminum manufacturer Pechiney fell under the influence of the Canadian company Alcan. Through its successive acquisitions of Synthelabo and Aventis, Sanofi has become a leader in the global drug market.

In each case, the archives adapted to the new configurations. The development of records management within companies has contributed for a number of years to the understanding of management in the use of archives. In some cases archives have become true tools of management. The strategic role of archives no longer needs to be proven especially in large private companies.[11]

This visible face of archives hides the activities of medium-sized companies, who manage their archives as best they can and often rely on archiving companies for assistance. A large number of such providers have developed since the 1970s. The services they offer are often limited to the handling and storage of records but the market tends to focus on and is moving towards the global management of a business's information resources. The principal archiving companies came together to form an association, PAGE, to share suggestions and work together on how to improve their activities.

To support their development, business archives professionals created a sub-section within the Association des Archivistes Français. Currently more than 300 members strong, the sub-section's dynamism has allowed for the development of some important reference materials, in particular a guide to the retention periods of common business documents.[12] A system of professional standards is also currently being developed with the goal of outlining the role of the business archivist in the context of the information profession.

[11] Bondue, Didier, and Boisboissel, Olivier de. "Les Archives au Service du Management et de la Strategie de l'Entreprise: Les Approches Innovantes de Saint-Gobain et de Sanofi-Aventis." *Comma*. 4 (2005), CITRA.
[12] Association des Archivistes Français. *Les Archives dans l'Entreprise, Guide des Delais de Conservation des Documents Communs aux Entreprises*. Paris: Association des Archivistes Français, 1997.

3. The Organisation and Function of the Saint-Gobain Archives Today

The Blois Centre is not only a place where archives are conserved, it also operates as an Economic Interest Group (EIG). An EIG is a French legal structure, created by ordinance number 67-823 dated 23 September 1967, enabling individuals or companies to assemble to manage a common objective – in this case an archive service. This service, covering archives from living to historical, is offered to all subsidiaries of Saint-Gobain in France.

As far as the international stage is concerned, the Saint-Gobain philosophy has turned towards decentralisation and respect for the different cultures within the Group. Degrees of storage exist; not everything attracts the same interest at a central level. What is important is to preserve documents that have real historical value whilst creating an international network to manage archives at a local level.

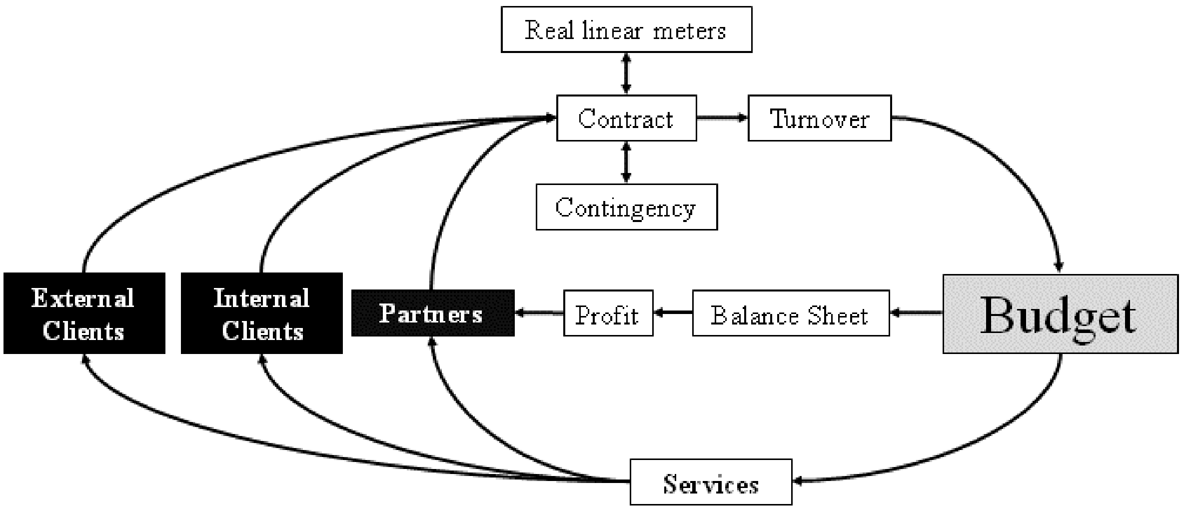
It is essential for the Blois Centre to break-even or make a profit financially. To do this, a budget must be worked out each year. This is approved by an AGM of the partners. The Blois Centre is thus organised around the double concept of a profit centre and service company.

A) Profit Centre

Who are the clients ?

They can be represented in three major categories (illustration 1) as follows:

Illustration 1 – Clients of the Saint-Gobain Archives EIG



- **Partners** – pay for an annual contingency in linear metres at a maximum price fixed at the A.G.M. However they also share the profits in relation to the size of their contingency.
- **Internal clients** – are invoiced at an lower rate than partners but do not receive a share of the profits.

- **External clients** – may be companies that are no longer members of the group but who want their archives to continue to be managed by the EIG, or other unrelated companies that want to have their archives managed by the Blois Centre for an agreed-upon price.

In all cases, agreements are signed and the fee charged covers all services offered by the Saint-Gobain Archives. The turnover generated from all clients allows the EIG to operate and produce a financial result. Each year it is necessary to prospect new business either from existing clients or newly-acquired ones.

B) Service Company

The services that Saint-Gobain Archives provides to its customers can be separated into two categories: simple searches related to everyday management and strategic or complex searches. The former are mainly financial, human resources, or legal searches. In the case of a simple search, the Blois Centre can reply within 30 minutes. In 2004, the Centre responded to 2690 such searches. The latter type of searches are more varied and complex and can be related to environmental issues, intellectual property and research and innovation, human resources, legal issues, fixed assets and patrimony, corporate management, sales and marketing, or corporate culture.

A few examples of strategic or complex searches are as follows:

- **Environmental issues:** Who is the last owner of a factory ?
  In the 1930s Saint-Gobain ran a few chemical factories. These ventures were sold in 1970 but, as the site has since been discovered to be polluted, it is important to know who was the last owner.
- **Intellectual property and research and innovation:**
  A competitor thought they had invented a new type of coloured glass but the Blois Centre was able to provide a photograph proving Saint-Gobain use of the glass many years prior.
- **Legal issues:** The collapse of the Berlin Wall
  After the collapse of the Berlin Wall it was necessary to very quickly research Saint-Gobain plants in Eastern Europe before 1945 in order to recover lost property.
- **Legal issues:** The Saint-Gobain flirtation with nationalization
  When Saint-Gobain was privatised in 1986 after only 4 years of public ownership, it was decided that every employee of a subsidiary where Saint-Gobain was the main shareholder should have the right to buy shares. Very important research was conducted to satisfy this objective.

- **Corporate management:**
  When Saint-Gobain decided to build a new glass factory in Romania, the Blois Centre provided files on the Saint-Gobain presence in the country before the Second World War.

In addition to performing both simple and more complex searches for clients, the Blois Centre also carries out various other services as follows:

- **Doctrine**
  At the hub of the Saint-Gobain Group is the Doctrine Department, where the legal rules governing the parent company and subsidiaries are prepared. Archives management is an integral part of the formation of Group doctrine.
- **Records management**
  Records management, in all its traditional aspects, is the principal activity of the EIG.
- **Organising archives**
  A team is sent from the EIG to each new client to organise its archives and to establish a management table for each department, in particular for legal, finance & accounts, marketing and human resources functions. Saint-Gobain has set up its own conservation limits for certain types of documents.
- **Training and provision of services**
  These activities also include those that the Centre carries out either for subsidiaries of the Group or for outside companies, such as maintaining archives or producing films.
- **Research**
  As a result of the long history of Saint-Gobain, the Blois Centre is a considerable database of industrial history. A large number of university theses and student dissertations have been based on the Centre's collections. Each year, the Centre welcomes researchers who can even be lodged in the purpose-built bedrooms on-site.
- **Exhibitions**
  The production of exhibitions also constitutes an important activity for the Centre. Themed exhibitions on the history and representations of the work, publicity, and international image of Saint-Gobain are offered to Group subsidiaries. These exhibitions often play a centralizing role in a group which is not only growing rapidly but also encompasses different cultural backgrounds. The latest such exhibition was on the history of logos within the group. This theme was the result of a campaign in the international press in 2002 and aimed to place the present-day message alongside those that had preceded it.

The Centre has also collaborated on a third-party exhibition. In 2006 Saint-Gobain held an exhibition devoted to business at the Musée d'Orsay.[13] The exhibition chronicled the period from the creation of the Manufacture Royale des Glaces in 1665 up to the 1937 Paris International Exposition. The exhibition was visited by more than 100,000 individuals and was honored with the top prize at a festival for communication devoted to businesses in everyday life.

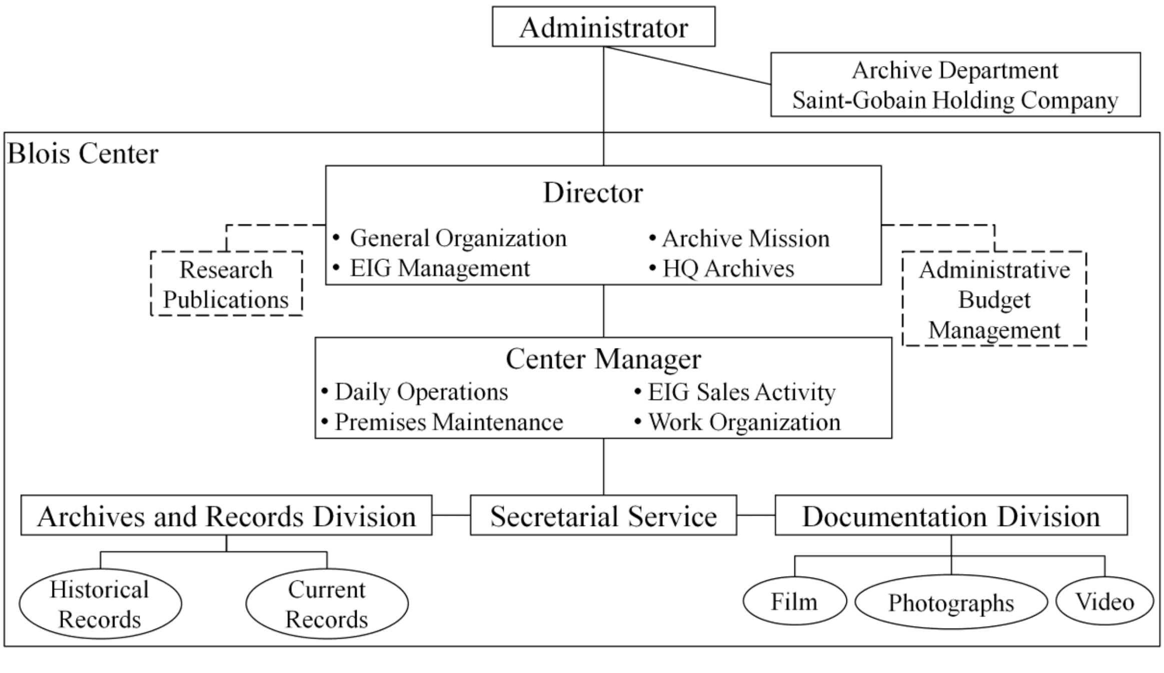
- **Publications**

  The Blois Centre also produces various publications, an important source for communication and company culture.

C) Organisation

The Centre's sole administrator is connected to the holding company, the Compagnie Saint-Gobain, at the highest level. The Centre's director is responsible for general, administrative, and budgetary matters as well as heading research and publication activities. The centre manager, meanwhile, manages the daily business of the Centre including the organisation of the work and the sales activities of the EIG. The Centre's thirteen professional staff are divided into two sections. The first section manages the intermediate and historical archives while the second is engaged in documentary management such as that of photographs, films and videos.

Illustration 2 – Organization of the Saint-Gobain Archives EIG

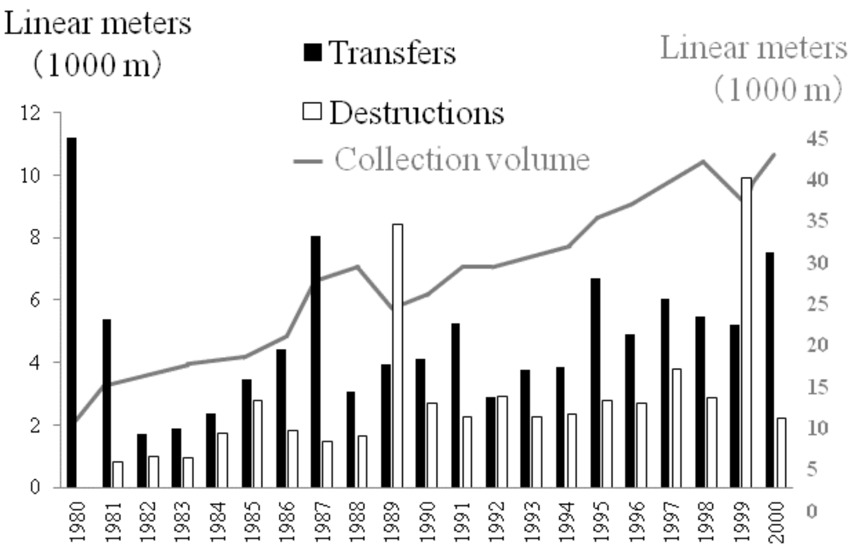


13 *Saint-Gobain, une entreprise devant l'Histoire, Musée d'Orsay, Paris 6 mars-4 juin 2006. Catalogue*, Editions Fayard.

D) Policy

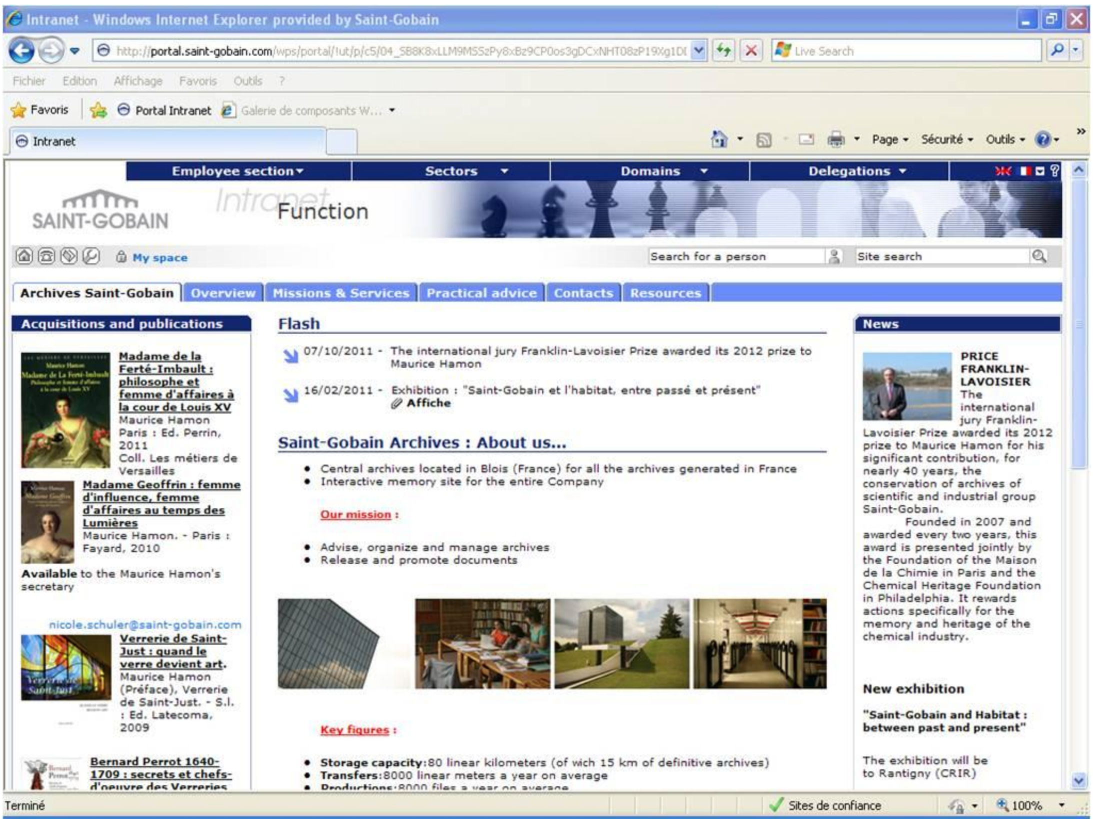
The EIG's policies have been adapted as a result of changes in the size of the Group and developments in the technological context. For example, the evolution of linear-metre contingencies since the creation of the Centre is very revealing (illustration 3).

Illustration 3 – Evolution of Linear Meter Contingencies



The Centre has also developed software known as Gobana for the management of archives and documentation, as well as use as a portal in the Group's intranet. (image 3).

Image 3 – Intranet Portal



In conclusion, the economic interest group has proved to be a very efficient method of managing archives as a whole. The profit generated provides for both its clients and for its own activities. This allows the Blois Centre to be constantly developing and working on new projects. One such focus is on the management of electronic archives. A working party has been set up by the computer department management to this end. The Centre is also looking to respond to a newly emerging trend that involves applying various memory resources to help shape corporate social responsibility. Despite all of these changes, however, as image 4 illustrates, the "Sun King" still watches over the Saint-Gobain Archives.

Image 4 – The Sun King, Louis XIV (Saint-Gobain Collections)

Chapter 6

The Ansaldo Foundation:
Archives, Training and Culture

Claudia Orlando
Ansaldo Foundation

March, 2012

Claudia Orlando

Consultant,
Ansaldo Foundation

Claudia Orlando was born in Genoa on 15th November 1982 and graduated in July 2005 from the University of Genoa with a degree in Foreign Languages and a specialization in English and French. In March 2008 she completed her Master's Degree in Foreign Languages and Cultures for International Communication. Since 2004, she has been teaching English and French extramural courses at Genoa University and for several private schools. She is a free-lance translator and has been working for the Ansaldo Foundation since 2006, where she is the web-editor, liaison for relations with the ICA/SBL and part of the editorial staff of the online magazine *Cultura e Impresa*.

Ansaldo Foundation (Italy)

The Ansaldo Foundation is one of Europe's most creative and dynamic institutions dedicated to business culture. It was set up in 2000 by Finmeccanica S.p.A., the Genoa City Council, the Province of Genoa and the Liguria Region after the transformation of the Ansaldo Historical Archives. The Foundation is a nonprofit incorporated institution that promotes scientific research; technical and professional training; cultural events; and the valorization of its historical and archival patrimony, formed by large collections of records, films, pictures and artifacts coming from many different Genoese and Ligurian private companies and other economic players. In fact, at its headquarters, the Foundation provides access to over 15 kilometers of corporate records dating back to the middle of the 19th century including accounting, administrative and technical documents. The large patrimony of the Foundation, constantly updated through new acquisitions and donations, was declared of high historical interest by the Italian Ministry of Cultural Assets.

The Foundation is also a certified operation center for professional training activities.

Image 1 – Exterior of the Ansaldo Foundation

The Ansaldo Foundation: Archives, Training and Culture

Claudia Orlando
Consultant, Ansaldo Foundation

Introduction

The Ansaldo Company, an Italian engineering company founded in 1853 and engaged in railway component construction and repair, shipbuilding, and aircraft design and manufacturing, celebrated its 125th anniversary in 1978. To celebrate the anniversary, the director of public relations decided to organize a historical exhibition and collected 50 thousand records and 2 thousand photographs to that end. These records became the core of the Ansaldo Historical Archives, the first regional archives in Italy. It is important to point out that, at the time in Italy, archives were not considered a cultural asset and therefore companies were not obliged by law to preserve records or entrust them to dedicated institutions. On the contrary, records were considered a burden and their preservation an additional cost to be avoided. This is why the Ansaldo Historical Archives had such remarkable success when they asked companies directly for records. The number of records grew after the opening of the Archives to the public and again after extensive research conducted by the Archives of the company and its personnel. They continued to grow as business enterprises, even those with no link to Ansaldo, and private citizens started donating records to protect them from the risk of dispersion and destruction.

In 2000 the Ansaldo Historical Archives were turned into the Ansaldo Foundation through the cooperation of Finmeccanica with three levels of government: the Genoa City Council, the Province of Genoa and the Liguria Region. The Finmeccanica Group is an extremely important business group in Italy and abroad with a focus on aerospace, defense, and security. Their involvement in the newly created Ansaldo Foundation ensures the involvement of the many companies of its Group, but other private companies in the Liguria Region, as well as important organizations such as the Italian Ministry of Cultural Assets, the University of Genoa, the Genoa Area Chamber of Commerce, and the Genoa section of the General Association of Italian Industry also provide institutional and financial contributions.

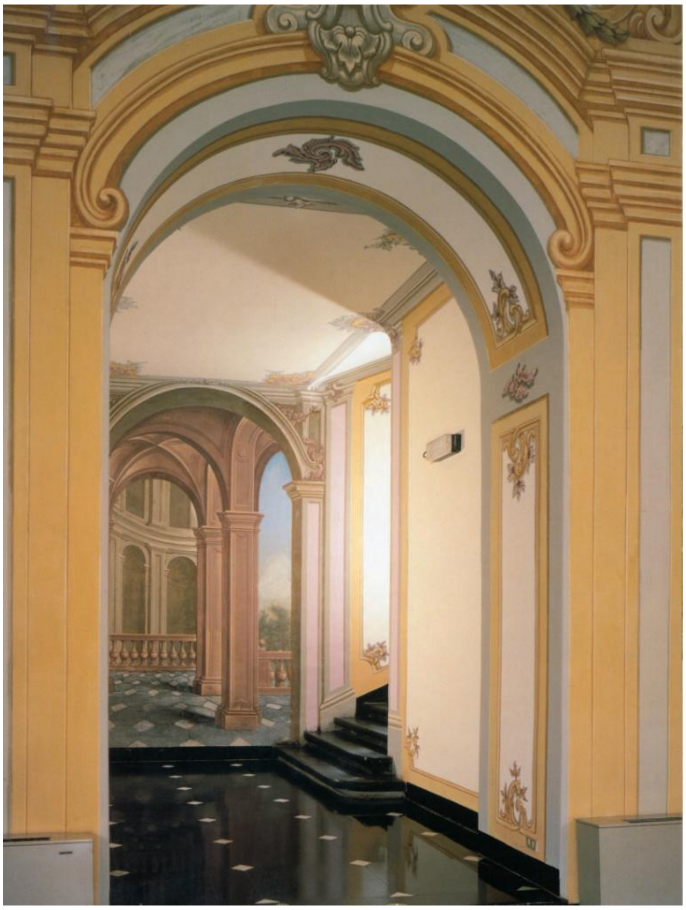
In general, the Foundation is dedicated to issues of economic, business, and labor culture. In particular, it promotes research, events, and professional training, and is involved in the preservation and utilization of the archival heritage generated by private companies as well as other economic players.

1) Villa Cattaneo dell'Olmo

The Foundation has its headquarters in the seventeenth-century Villa Cattaneo dell'Olmo, a successful example of the reutilization and reclamation of a historic suburban Genoese house. The land was originally owned by one of the most important Genoese noble families, the Grimaldis, who obtained the land in the second half of the 15th century and built a villa there a century later. In the 17th century, after the property had changed hands several times, another important noble family, the Cattaneos, rebuilt it, creating the house as we know it today. In 1978, the villa was purchased and completely restored by Ansaldo. It currently belongs to Finmeccanica S.p.A.

The layout of the interior of the villa shows the separation between the first floor, with the private chapel and other communal spaces, and the second floor, with private spaces such as private rooms and the banquet hall. The interior of the villa is painted with frescoes dating back to the 18th century, in particular to the neoclassical period. Restoration of the internal and external spaces was carried out using techniques that preserved the original structure and frescoes and made it possible to use this extraordinary building for the headquarters of the Foundation.

Image 2 – Entrance Hall of the Ansaldo Foundation



The building now contains offices, laboratories, repositories, IT rooms, large halls, auditoriums and study rooms. It is equipped with state-of-the-art technology including: ISDN and ADSL videoconferencing systems, digital systems for linear and nonlinear audio-video elaboration, touch screen interactive blackboards, and 16 and 35 mm film editing machines.

2) Archival Heritage, Cultural Activities and Research

The Ansaldo Foundation provides access to over 15 kilometers of corporate, accounting, administrative and technical records dating back to the middle of the 19th century.

The Photographic Archives preserve around four hundred thousand original images from the late 19th century onwards that document technological transformations, industrial landscapes and the connections between business culture and social communication. The Film Archives preserve about five thousand original films showing many important Italian industries and various aspects of the economic, social and cultural life of Genoa and Liguria from the 1920s to the present day. In particular, the collection includes institutional documentaries, educational films, newsreels and promotional and fictional films. In February 2011, the Foundation gave life to the project “Cinema and Industry,” an initiative to safeguard and valorize industrial film records, restoring and digitalizing more than one thousand films preserved in its film archives.

Image 3 – Film Archives, Ansaldo Foundation

In addition to these collections, the Foundation has a considerable collection of vintage artifacts, memorabilia, scale models and other objects from industrial society. Moreover, we preserve a large collection of oral histories, technical drawings, periodicals, stock certificates and naval registers.

The preservation and provision of access to archival materials carried out by the Foundation is currently done so in cooperation with the General Direction for Archives of the Ministry for Cultural Heritage and Activities, which declared the archives to be of high historical importance. In addition, we are part of many other archival institutions such as the Italian Association for Industrial Archaeological Heritage, the Italian Archival Association, the European Conference on Archives, and the International Council on Archives, and cooperate with a number of labor and business museums.

Image 4 – Ansaldo Foundation Study Room

Our archives is open to the public every day. Use of materials in our collections, however, requires an appointment and submission of prospective research intent as there is only one archivist responsible for the Records and Photographic Archives and another archivist for the Film Archives.

In particular, our institution is interested in researching business history and culture as well as the features and evolution of policies in industrial systems and markets. To help us achieve our research goals, a Scientific Commission was established in 2008 and three main research projects were started, all with the support of Finmeccanica and various Italian universities. The projects focus on economic changes in Italy, the role of the state in large companies and the technological evolution of Italian companies.

In addition to these activities, the Foundation also supports the research of others, welcoming numerous scholars and students every year to conduct research in our archival collections for academic theses, scientific research and to gather images and videos for the production of documentaries and films. An outstanding example of the results of this research is the film “La Bocca Del Lupo” which was created using numerous clips taken from the Film Archives of the Ansaldo Foundation and which won, among other prizes, the Turin Film Festival in 2009, the Teddy Award at the Berlin Film Festival and the 2010 David di Donatello for best documentary film.

Our archival collections, therefore, support researchers but are also used in the organization of cultural programs such as publications and exhibitions. Among the Foundation’s most important programs, an outstanding example demonstrating the use of our collections to support Finmeccanica S.p.A., is the photographic exhibition “A Legacy to the Future” held in 2008 to celebrate Finmeccanica’s 60th anniversary. The exhibition comprised 170 photographs from antique pictures of ships and foundries to modern photographs of trains, power plants, airplanes, laboratories, radars, helicopters, control centers and satellites. These images illustrate the stages of development in the process of Italian industrialization and the present role of Finmeccanica in Italy and around the world. The exhibition was accompanied by a bilingual catalogue, edited by Fondazione Ansaldo Editore, and by a video covering the history of Finmeccanica from 1948 to 2008.

We are constantly contacted by the most important companies in Genoa and Liguria to provide materials for exhibitions. Examples include materials provided for the visit of the President of the Italian Republic to the Ansaldo Energia plant and for other smaller, but nevertheless interesting, events that promote business culture. This year, our collections have been used by many institutions, companies, trade unions, schools and universities who organized exhibitions, events and publications to celebrate the 150th anniversary of the Italian Republic.

In 2008 the Ansaldo Foundation established its own publishing house and published a biography of one of the most important Genoese managers, Enrico Albareto, and a catalogue of the exhibition “A Legacy to the Future.” Publishing continued in 2009 with inventories of the three main fonds in our collections.

3) Training

The Foundation aims to be a center of excellence for professional, managerial and technological training and its headquarters has been recognized by the Liguria Region as an accredited institution for advanced and permanent professional training. In particular, under the patronage of the Central Human Resources Department of Finmeccanica, the Foundation has acquired all the necessary organizational and methodological tools to operate in this field.

At the Foundation we host courses and master's degrees organized by Finmeccanica and other companies of its Group. One example is the first session of the Master's degree Fhink, organized by Finmeccanica for graduate students from around the world with the objective of preparing them to analyze complex international economic scenarios. In addition, the Foundation supports the organization of training activities by other institutions and companies. We were directly involved in the organization of a Master's degree in "International Business Leadership" together with the University of Genoa and other local companies and organizations. This master's program ended in June 2010 and was completed by 20 middle managers working in high-technology-profile companies who wished to develop their managerial skills so as to better operate in international markets.

Looking to the future, we are currently studying and planning new training initiatives aiming to increase and strengthen the cooperation between companies (such as Finmeccanica) and their main suppliers.

Through all these different but equally important activities, the Foundation creates new resources and makes information available to the scientific community while contributing to the promotion of the image of Italy as a country of solid know-how in the industrial field. Business culture is therefore a way to add value to the entrepreneurial system and the world of labor.

Part III

Archives:
A Tool for Change

Chapter 7

Proud Heritage:
The Use of Heritage Stories in Post-Acquisition Integration

Becky Haglund Tousey
Kraft Foods

March, 2012

Becky Haglund Tousey

Associate Director, Archives & Information Resources, Kraft Foods

Becky Haglund Tousey is Associate Director of Archives and Information Resources at Kraft Foods. Before coming to Kraft Foods in 1991 she worked in a state government archives, a university archives and a manuscript repository. At Kraft Foods Becky oversees a corporate archives program which includes staff and repositories spread across several geographies.

Becky is a member of the Academy of Certified Archivists. She is actively involved in the Society of American Archivists and other related organizations in the U.S. She serves as Secretary for ICA/SBL and has participated in many U.S. and international archives conferences, including a Japan-U.S. conference titled “Access to Archives: Japanese and American Practices” held in Tokyo in May of 2007.

Kraft Foods (USA)

Kraft Foods is the world's second largest food company, making delicious products for billions of consumers in approximately 170 countries. The portfolio includes 11 iconic brands with revenues exceeding $1 billion - Oreo, Nabisco and LU biscuits; Milka and Cadbury chocolates; Trident gum; Jacobs and Maxwell House coffees; Philadelphia cream cheeses; Kraft cheeses, dinners and dressings; and Oscar Mayer meats. Forty-five of its brands have origins dating back more than 100 years. Its world headquarters is located near Chicago in the United States.

The Kraft Foods Archives was established as a corporate function in the early 1980s. Our mission is to responsibly leverage the company’s information assets to meet current and future business needs and to enhance brands’ and company reputation. We do this by identifying and preserving a dynamic continuum of company records having enduring business value.

Image 1 – Interior of the Kraft Foods Archives

Proud Heritage: The Use of Heritage Stories in Post-Acquisition Integration

Becky Haglund Tousey
Associate Director, Archives & Information Resources
Kraft Foods

1. Introduction

Heritage storytelling is an important part of many corporate cultures. These stories often center around the legacy of an individual founder and feature examples of overcoming obstacles, innovative thinking, ethical principles, and so much more. They are part of the fabric or personality of a company and can be communicated and leveraged in different ways. Companies proudly pass down heritage stories to each succeeding generation of employees and share them as well with external stakeholders like consumers, stockholders, and media. The stories can serve to instill pride, foster inspiration, and maintain or enhance the reputation of a company or a brand.

Companies turn to their archives and archivists to find these heritage stories. And whether the stories are only communicated internally to employees, or whether they are disseminated broadly through media channels, it is important from a professional and reputational standpoint that our company and brand stories be authentic. Companies depend on their archives to identify, preserve, and provide access to accurate and defensible information. This is especially true when it comes to heritage stories.

This article focuses on the recent acquisition of Cadbury by Kraft Foods, which provides an example of how heritage stories can help facilitate the integration of two companies into one new company. We even refer to the pre-integrated companies as “legacy Cadbury” and “legacy Kraft Foods.”

2. Kraft Foods

Kraft Foods is the largest food company in North America and the second largest food company in the world. It is not a holding company with many independent subsidiaries, but rather one global company which markets over 70 food brands. The company’s name traces its origins to a Canadian-born entrepreneur named James L. Kraft who moved to Chicago in 1903 and began a one-man cheese selling business. His business grew over the next 20 years primarily as a result of his patent for processed cheese. This patent involved heating and blending natural cheese to make it more shelf-stable and to reduce the waste and inconsistent quality found in natural cheese at that time.

In the 1920s, Mr. Kraft decided to expand his cheese business into another food category, namely salad dressing. So, he acquired several local and regional U.S. salad dressing companies and integrated them into his organization. James L. Kraft's company became the global, dynamic company it is today by continuing this model of growth through both innovation – organic growth – and acquisition – purchasing and integrating other food companies. The Kraft Foods of today is the result of many formerly separate companies – each with a founder and a unique history – coming together as one.

The Archives program at Kraft was established in the early 1980s. With the acquisition of each new company, the Archives staff has encountered a similar situation. In most cases, the acquired companies had preserved some historical records, but they had no in-house archive program or trained archivist. Old records stored in-house at headquarters or manufacturing facilities likely had an unofficial caretaker, a well-meaning employee who recognized the importance of preserving some company history, but whose own full-time responsibilities left little time for history. Uncatalogued, the records were barely accessible and endangered by less-than-optimal physical protection.

Whatever the volume and condition of an acquired company's existing historical documentation, the Kraft Foods Archives staff performs a "deep dive" into the history of each acquired company. We conduct detailed research into the origins and evolution of the company using all sources available to us, including internal records and external published sources. We seek to understand the structure and scope of the company and its products. We find out where historical records are housed, whether they are in company-owned facilities or external repositories. We review inactive records to identify what has ongoing business value. At the appropriate time, in-house historical records are transferred to their new home at one of our Archives locations, to be catalogued, preserved, and referenced. In doing so, we integrate the records, those heritage stories, and the company and brand history into the fabric of our overall company history.

3. Acquisition of Cadbury

In February 2010, Kraft Foods acquired iconic British chocolate brand Cadbury. This acquisition differed from previous acquisitions in several ways. First of all, in over 100 years of Kraft Foods' history, Cadbury was the first acquisition to transpire as a "hostile takeover." Cadbury did not invite the attention of Kraft Foods, and 45,000 Cadbury employees, as well as the British general public, resisted the acquisition during the five months of negotiations.

Secondly, once the acquisition was a "done deal" on February 4, 2010, the pace of integration, especially given the large global scope of the Cadbury business, proceeded more rapidly than the integration of any previous Kraft acquisition: the process began immediately, on Day 1.

And, finally, the Cadbury acquisition came with a substantial historical archive based near Birmingham, England, and staffed by two people. So, from an Archives perspective, we immediately had the advantage of knowledgeable colleagues whose roles and responsibilities mirrored ours. We thus gained immediate access to the rich Cadbury history and to staff who were familiar with the sources, the records, and the stories.

It was clear from the months of media attention prior to the acquisition that Cadbury employees are very proud of their company's heritage and the ethical values of its founder, John Cadbury. John Cadbury, a Quaker, opened a coffee, tea, and cocoa shop in Birmingham in 1824. He based his business on an ethical approach to capitalism. Following his example, his descendants built a model village for their workers, moving them out of the pollution and grime of Victorian Birmingham to the clean air and green, open spaces of Bournville. What the Cadbury family began in the 19th century grew into a multibillion dollar global business of iconic chocolate, gum, and candy brands with operations in 60 countries.

Several Kraft Foods' brands are household names in the U.K. – *Terry's* chocolate, *Dairylea* cheese, and *Kenco* coffee. But leading up to February of 2010, Cadbury employees, and most consumers in Britain, knew little about the corporation called Kraft Foods and its heritage. Nor were they aware of the company's 80-year presence in the U.K. and Kraft's own pride in the ethical values of *its* founder, James L. Kraft. So, understandably, Cadbury employees feared losing their heritage in the wake of being acquired by an unfamiliar American food company.

The Kraft Foods Archives' role during the months prior to February 2010 was to support our corporate communication efforts around the rumored acquisition. We provided heritage information and images in response to a large number of media inquiries, though, in most cases, they did not request in-depth heritage stories. They asked for just the "top line" – a picture of James L. Kraft and one or two sentences about his founding a cheese business. Our future colleagues at the Cadbury Archives responded to similar requests for pictures and information about Cadbury's origins.

4. "Coming Together"

Internally, the Archives role was more pro-active and substantive.

The first step of the integration was a new "Coming Together" intranet site which contained important news and information for employees of both companies. The entire website was designed and populated in a very short time by the Kraft Foods Employee Communications team. It launched on the morning of February 4, accessible to all Cadbury and Kraft Foods employees globally. One of the key sections of that integration site was Heritage, populated with information obtained from the archives of both companies. We were able to respond to the very short design timeline because we could repurpose heritage content that already existed on our respective websites. The Heritage section included biographical information about John Cadbury and James L. Kraft, key historical milestones, and iconic advertising images, all of which began to tell the heritage stories that would be shared in more detail as the integration process continued.

As our sharing of information gathered momentum and we learned more about the history of Cadbury, we were excited to see many parallels to the Kraft history. Common themes and values resonated in the lives of the two founders and in the two companies' heritage stories. John Cadbury and James L. Kraft were both religious men who brought their personal moral values to their business dealings. They valued their employees at a time when employees were often seen as a commodity. And they were committed to creating quality products and giving back to their communities.

After the "Coming Together" intranet site was up and running, the Archives staff then focused on transitioning heritage content from the legacy Cadbury websites to our Kraft Foods "History" intranet site by adding historical timelines for Cadbury chocolate, gum, and candy brands; advertising images; and bios of John Cadbury and other brand founders. Our "History" intranet site contains a large amount of carefully researched and immediately useable information about our predecessor companies, the founders of those companies, and dozens of detailed histories of brands such as Oreo biscuit, Maxwell House coffee, Ritz crackers, and now Cadbury chocolate and Halls candies, among many others. Our site also links to a database of photographic, advertising, and packaging images.

Concurrent with this project, we revised an existing illustration that graphically depicts, using a road-map theme, how our several predecessor companies came together as one company. The road-map illustration was revised to include a Cadbury "road" and is appropriately titled "Growing Together." As you can see, this is an attempt to demonstrate the familiar saying "one picture is worth a thousand words."

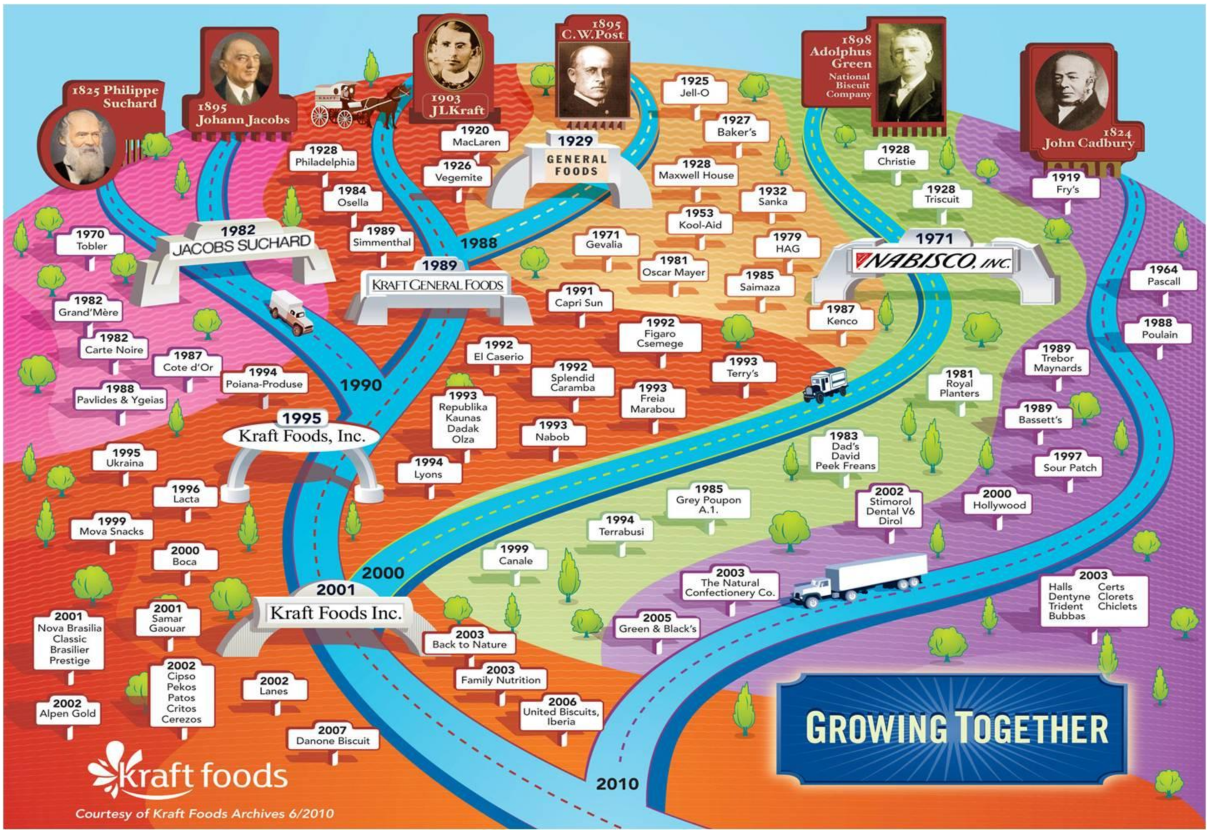


Image 2 – "Growing Together"

The next phase in the integration included face-to-face and virtual meetings where legacy Cadbury and legacy Kraft Foods employees met for the first time as a team. These meetings provided a great opportunity to communicate messages and visuals around our shared values. The Archives staff worked with meeting planners to produce presentations and video clips telling the stories of company founders and the history of the brands that related to each specific location and function. We also provided lists of "fun facts" for groups to use as "get to know you" exercises and trivia games. And we used, and continue to use, the road-map graphic I just described in presentations to both internal and external audiences.

5. Conclusion

So the archives staff at both companies became involved and worked together from the very first days of the integration to educate legacy Cadbury employees about Kraft Foods' history, and to educate legacy Kraft Foods employees about Cadbury's history. Because both companies had preserved their past and their heritage stories, we could share them accurately and effectively across different platforms and in different venues to show the similarities in the both companies' origins and values. We like to think it helped employees find common ground and, in a small way, enabled them to overcome some of the anxiety and suspicion that an acquisition can bring on. Without the archival documents and images, and without the staff to research and contextualize events and images, it would have been difficult to communicate these common themes and values and leverage those stories to bring the two companies together.

As for the integration of the archives staffs and repositories, located in four different counties, we are continuing to share information and to get to know each other. We are integrating our processes and procedures, our catalogs and databases. We are building a better and stronger team, well equipped to serve the information needs of our clients in the new Kraft Foods.

Chapter 8

After the Mergers Wave:
Change Management and the Building of the Intesa Sanpaolo Group Archives

Francesca Pino
Intesa Sanpaolo

March, 2012

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Director, Group Archives, Intesa Sanpaolo

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Intesa Sanpaolo (Italy)

Intesa Sanpaolo – Turin

Intesa Sanpaolo is a leader in domestic banking in Italy; with subsidiaries, branches and representative offices spread throughout the world. A direct branch was established in Tokyo in 1972. The Intesa Sanpaolo Group has recently published a historical map on the Internet that includes 250 pre-existing banks of different types such as: commercial banks, savings banks, public chartered credit institutions, regional and local banks. The Group's earliest foundation dates back to 1539 and refers to the Banco di Napoli, which acted as an issue bank as well.

Group Archives, Intesa Sanpaolo – Milan

The Historical Archives started as an office in Milan in 1984 for Banca Commerciale Italiana's records collections relating to international banking, credit, and the promotion of culture (since 1894). Nowadays the documentary heritage of 4 banks are managed directly while an additional 17 historical archives are scattered in various Italian locations. The Group Archives is in charge of coordinating historical information services and the overall safeguarding of documentary heritage. The Archives are frequently used for scholarly reference (over a hundred users annually in the reading room) and for inquiries from both inside and outside the banking Group.

Image 1 – Exterior of the Intesa Sanpaolo Group Archives

After the Mergers Wave: Change Management and the Building of the Intesa Sanpaolo Group Archives

Francesca Pino
Director, Intesa Sanpaolo Group Archives

Introduction

Change has invested the world and human lives. Interactions in the global economy have affected the way businesses perform their activities. Information and communication technologies have changed know-how – the way we do things – and have powerfully contributed to remove a sense of continuity with the past.

In the banking sector, the so called ‘merger mania’ has caused the formation of giant banks. The growing size has resulted in simplification in products and services, less specialization (wholesale banks) and less proximity to society, in comparison with the ‘embeddedness’ of traditional small banks like savings banks, cooperative or people’s banks, in their territories.

The new groups are really very important players for the destinies of our communities (local, national, and global). In their efforts to face the challenges of the future, however, many of them may not consider historical roots as a priority, or they simply cannot know in depth the past vicissitudes of a huge number of pre-existing credit institutions.

Therefore, one of the primary tasks of a group archives consists in raising awareness of the rich heritage (both material and nonmaterial), and offering examples of past managerial and banking experiences which can be valuable for present banking business. So the historical archives, the so called ‘historical mission’, has to be proactive both in identifying the records of historical and/or legal value, and in providing services to meet current corporate needs[1].

Many vital records are lost in repositories or inside office cabinets, without inventories. A sound appraisal policy must go on without delay. If not, the archives will not be effective in helping to defend the rights of the Group and in preserving meaningful records.

External communication has become a great opportunity for archivists as well. People,

[1] The Intesa Sanpaolo experience on this issue was shared in 2010 at the International Symposium, “Corporate Memory, a Tool Serving Management”, held in Blois (France), at the Saint-Gobain Group Archives.

clients, do love history and memory, much more than before. Oral witnesses and storytelling are very popular as well. Thus the general perspectives of group archives are brilliant.

Consequently, the daily duties are heavy and various. The new figure of the group archivist must be very well trained and acquire diverse professional attitudes. The two souls of the work (administrative duties, on the one hand, and research and communication, on the other hand) have to be merged efficiently.

Will the group archivist of the future be **less scholar more manager**? Surely. But the core of the profession remains the capacity to assess the historical value of the records. And the final aim remains building a sustainable group archive structure in order to transmit legacy records to future generations, that is: guaranteeing their intelligibility and accessibility.

1. Coping with mergers at Intesa Sanpaolo

The Intesa Sanpaolo Group encompasses 21 historical archives, spread over various regions of the country, created by very different types of banks but all unique witnesses for their territories. Four of the archives are directly managed, an additional five are entrusted to cultural foundations and open to the public. The remaining archives have to be safeguarded in a sustainable way.

For all of these archives there is a need to locate and appraise especially the records of the second half of the 20th century, which are really bulky. Italian legislation protects some of our archives, which have been declared as “of relevant historical interest”, so we are literally obliged to comply with legal requirements.

For our profession worldwide, it is vital to learn from case reports. Not only in order to circulate successful practices or viable solutions to the major challenges but also so that “true stories from our professional lives” can help to enhance the evolution of archival theory as well.

My thesis is that – especially in the case of big mergers – the basis of the profession itself is transformed in depth. We have to learn from recent experiences and to adapt the training of younger generations of archivists to present and future needs.

2. The traditional professional profile of business archivists

If you consider the historical archives of a **mono-brand company**, the archivist acts as the custodian of corporate affairs and values. Top managers see themselves as the followers of former generations and are aware of, and grateful for, the benefit they gain from the efforts and achievements of their predecessors. There is a widespread sense of continuity from past to present to future. And there is also a shared brand pride, as well as a consensus on corporate values.

In this situation, the historical archives is well-considered, being seen as a meaningful part of ‘corporate values and affairs’. In the job description you will find:

- administrative and legal inquiries in order to meet corporate needs
- records and content surveys
- appraisal – a very hard, intellectual task
- arrangement and description
- managing of non-traditional records
- fixing the rules of the entire life cycle of corporate archives (including current, electronic-born records)
- reference services and outreach
- external communication – a rather easy task, carried out in cooperation with the media relations team.

Corporate (‘mono-brand’ archivists might not be immediately ready for the new challenges presented by a merger as their job description will show radical change.

3. The Functions of a Group Archives

In a **group archives** the archival tasks are manifold:

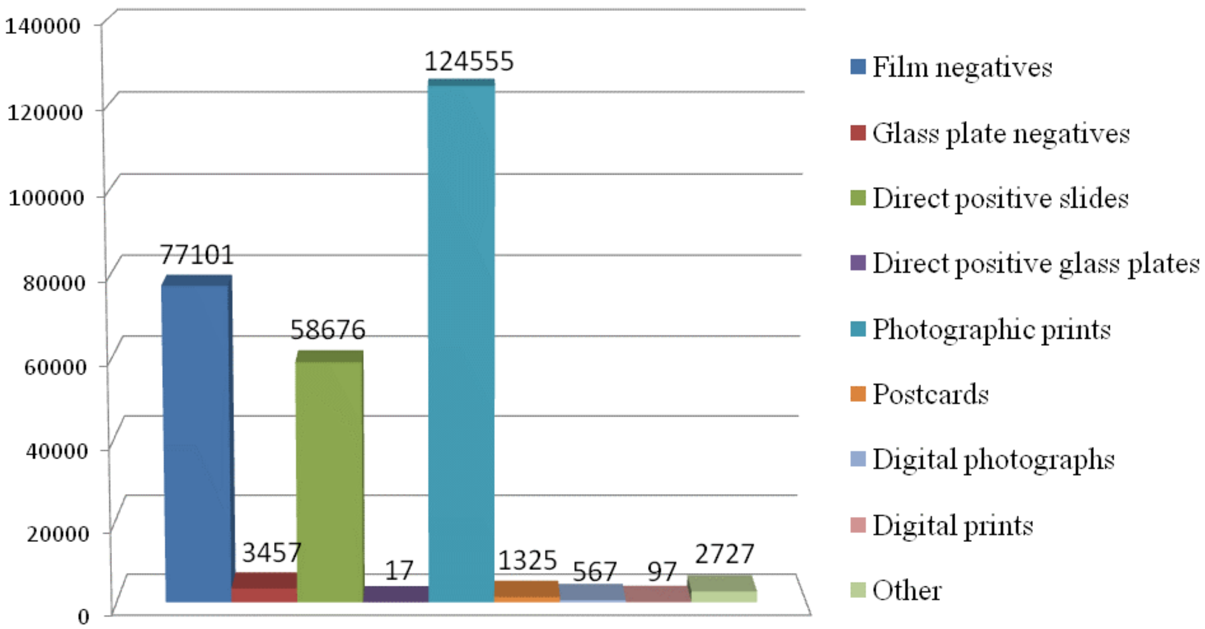
1) Your job has become “history in the plural”. Be careful not to privilege just one particular bank, otherwise you might raise jealousies. In general, the archivist must know much more about general history, and about a large number of different corporate stories. Time span, geographic scale and diverse types of credit and savings institutions will require research capabilities as well.
2) Contact with the head office can change very quickly because reporting lines are not clear-cut and stable for historical archives. Reporting lines can vary among different parts of the corporate organization: the general secretariat, the external communication, or internal communication and training department, or logistics. In each of these locations, the importance of the archival function might be perceived in radically different ways. In addition, unfortunately many managers, who have entered the group from outside, think that the archives are not a priority to the company.
3) Physical and intellectual control of the many tens of miles of shelves will absorb a lot of the energies of the archives’ senior staff. Within the overall documentary heritage of the

group many archives will be included, each one with its own stage of control, very few well arranged and the majority either poorly arranged or not gathered together.

4) Time is always very critical. The same can be said with regard to the **size** of each operation and project. Size matters a lot: the size of records storage and also the size of special collections, like the photographic section (currently half a million photos identified) of the Intesa Sanpaolo Group Archives.

Let me illustrate our case report in brief: at Intesa Sanpaolo's Group Archives we decided to promote a special project in order to build some photographic galleries in connection with a thorough general survey of all existing materials. In the near future, we foresee a lot of work in order to process (that means evaluate, discard, condition and catalogue the valuable parts of the heritage), under the scientific guide of our internal archivists, the single-archives curators. So this will not be a purely technical work, but a research venture and we are starting by printing a series of photographic monographs.

Image 2 – Results of the general survey of the photograph collections (2009)



The group archivist, indeed, will spend a lot of effort evaluating, comparing and coordinating, setting priorities, motivating a heterogeneous staff and updating working schedules very frequently: every month, and sometimes every two weeks.

The gigantic size of collections requires decisions, decisions and decisions every day. There is the need to study and identify which parts of the collections deserve an analytical rearrangement and description, or a special project. Simplification in records' processing is also vital in order to survive (like in the professional debate we have read in the pages of *The American Archivist* in recent years: “More product, less process”).

4. The Group Archivist: A Tentative Profile

In comparison with the profile of mono-brand business archivist, described beforehand, the additional **professional profile requirements** for a group archivist are therefore:

- an open-minded, good historian,
- flexible and energetic, with coordination and team-working skills
- technical training in electronic records and new media fields
- very competent in fixing and applying structural rules.

That means, someone who is fearless and cautious at the same time and who does not have a bureaucratic attitude.

Internal staff training, records selections, cost reductions, budgets, and project management will fill the job description, while the direct processing of collections may be delegated to external or internal specialists.

His or her mission will be labour-intensive and sometimes under-recognized by the employer, but we are all aware that this planning and coordination work, dense with professional choices, is really crucial and meaningful for the entire society, and for future generations.

5. Final suggestions

To conclude, for each country of the world it is very important to strengthen and update the training of business archivists in order to reach a consensus on evolution of the profession in changing and stressful scenarios.

One very important ‘trick’ is to trust in the evolution of corporate settings: you should try to remain confident in positive chances, waiting for the right moment to take (or not to take!) initiatives, in order to not overburden your staff. If you cannot hire professional staff, then external collaborators and sometimes even interns or volunteers can help to meet urgencies or to test new pilot projects.

Even the frequent change of reporting lines will give marvellous opportunities to learn new professional skills (legal, logistic, IT, general secretariat, external or internal communication).

In this way, you will become able to **find internal clients**, that is, to get frequent commissions for historical work from various corporate departments. In our case, such internally-generated projects have become a very important part of our tasks: we have recently built a historical interactive map of the 250 pre-existing banks, to be published on the corporate website, and now we are producing documentary movies on the history of the Intesa Sanpaolo Group, to be used in corporate training of managers.

Chapter 9

The Shaping of History in a Corporate Setting: The Godrej Scenario

Vrunda Pathare
Godrej Group Archives

April, 2012

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Manager,
Godrej Group Archives

Vrunda Pathare is the current head of the Godrej Archives of Godrej Group – a leading business house in India. She began her career as a research assistant in a project on 'A History of Governor's residences in Maharashtra' (India) and a Museum Project, with the Oil and Natural Gas Corporation Ltd, Dehradun (Uttaranchal, India). Before coming to Godrej, she worked as an Assistant Archivist at the TIFR Archives of the Tata Institute of Fundamental Research, Mumbai (India). She has an MA in History from the University of Mumbai and got her archival training from the National Archives of India. She has presented papers at national and international conferences, and has participated as a resource person in numerous national workshops on archives.

Godrej Group (India)

Established in 1897, Godrej is one of India's most trusted brands. Its founder, Ardeshir Godrej, a lawyer-turned-locksmith, was a persistent inventor and a strong visionary who could see the spark in the future. Ardeshir went on to make safes and security equipment of the highest order, and then stunned the world by creating toilet soap from vegetable oil. His inventions were the foundation of today's Godrej empire. His brother Pirojsha Godrej carried Ardeshir's dream forward, leading Godrej towards becoming a vibrant, multi-business enterprise. It was during the chairmanship of Sohrab Godrej, the eldest son of Pirojsha, that the Godrej Group made conscious efforts towards conservation of the environment and wildlife. Among many international honours, he was decorated with the 'Order of the Rising Sun, Gold Rays with Neck Ribbon' by HM the Emperor of Japan in 1996.

Today, with 7 major companies with interests in real estate, FMCG, industrial engineering, appliances, furniture, security and agri care – to name a few – Godrej's turnover surpasses 3.3 billion dollars. Present in 60 countries, 25% of Godrej business is done overseas.

Image 1 – Building under construction that will house the Godrej Archives

The Shaping of History in a Corporate Setting: The Godrej Scenario

Vrunda Pathare
Manager, Godrej Group Archives

1 Introduction

Corporates are often seen to mimic the individual need for self actualisation through socially acceptable achievements, particularly through the processes through which they seek to establish their legacy. This paper explores such processes, taking as its case study the Godrej Archives located in Mumbai.

The institutionalization of information is quite a rare phenomenon in India. Though history takes on numerous cultural forms traditionally, the keeping and archiving of records is not as common as one wishes it to be. Business houses are no exception to this. Business records form the most valuable yet the most under-utilised sources of business history. The reason for their lack of availability is twofold: First, the indifference, on part of business houses, towards the upkeep of records and information; Second, records, if existent at all, are closely guarded and hence seldom available to researchers. This makes investigation of the evolution of business all the more difficult.

Over the last decade we have observed a steady growth in the general awareness of preservation and the use of business records and more and more companies are contemplating setting up archives. Undoubtedly, such archives will not only assist a company to sort, select and store historically important records but they can also play an important role in communicating to the outside world the contribution of the business house to the country, its society and people.

Business archives in India are still in a nascent stage of development. Establishing the value of an archives in the business environment is a major challenge for business archivists in India. My paper proposes to explore the Godrej experience.

When I started assessing the role of the Godrej Archives in its corporate setting, I wondered what would be the best way to determine the value of a budding business archive that is just five years old. Is value best described as an intrinsic quality? Or is it best described in monetized form? In beneficial outcomes? In meaningful relationships? How do we go about evaluating the archives? I propose to use these parameters to assess the role that this upcoming archives has been able to play or can play in a corporate setting.

This paper will investigate the value of the archives through its 'inherent quality', that is the quality of the records management services that have been established to gain the confidence of donor units. My paper will bring forth the challenges faced in building-up the records management programme and integrating the Godrej Archives with the fast paced business practices of today.

Taking value to be 'the worth in usefulness or importance to the possessor', I will deliberate upon how useful the Archives is for the company's day to day business as a tool to serve management, including publicity, advertisement, and brand management. I will also present the various initiatives taken and innovative thinking that we have applied to increase the Archive's worth, its utility and its visibility in the business environment.

The paper will also assess the value of the Archives through the tangible and intangible benefits that it has so far accrued in return for services provided. Such value can be determined by the meaningful relationships it has built with the customer/end user.

2 Godrej Archives: The Beginning

The idea of setting up an archives was first mooted in 1995 – when preparations began for the '1997 centenary celebration' of the Godrej Group. The late Shri Sohrab Godrej, in a note to the Centenary Committee dated 19th December 1995, envisioned an archives as a heritage centre offering invaluable archival material for reference and research. He spelt out the objectives of archives as follows:

1. To help people understand the company's ethos and growth;
2. To appreciate the quality of the men who shaped these;
3. To trace the company's values and commitments from the founder's vision to present-day technological advances.[1]

The Godrej Archives was thus entrusted with the task of creating resources for understanding the business and its evolution over time through the efforts and experience of generations of the Godrej family and generations of workers.

When the search began for old records in the form of documents, products, advertisements etc, an archives committee was set up. In March 1996, through a newspaper advertisement, an appeal was made to the general public to donate any old Godrej products, advertisements or any documents referring to Godrej's past. This got an overwhelming response. Mr. Pesi Muncherji, an ex-employee of the organisation dedicated himself to the

[1] Centenary Year (1997) Archives File, 1995-1996, File No. OFF/ARCH1, Godrej Archives.

task of collecting and listing old documents and photographs. Based on these documents, *Godrej – A Hundred Years 1897-1997* (2 Vols.) authored by Mr. B K Karanjia, was published.

The need was then felt to appoint an archivist to sort, arrange and catalogue the material that could then be housed in the Godrej Archives. However, it was only in February 2006 that a professional archivist was appointed to systematize the process of archiving Godrej corporate history. ***The Godrej Archives*** is now envisioned ***"to be an institute preserving Godrej history – an institute of life-long learning to create awareness about business history and archives."***

In consonance with Sohrabji Godrej's dream, the mission statement outlined the following tasks for the Archives:

- To collect, document, preserve, interpret and communicate to people the history of Godrej.
- To create resources reflecting not only on the history of Godrej as a business enterprise but also on the position of Godrej in a national/international perspective.
- To make these resources on Godrej's past available to researchers, students, the business world and people in general
- To promote awareness about business history and archives.

Thus started the journey towards creating a corporate memory of the Godrej Group… The word 'archives' itself was an unfamiliar term for the Indian business world. One had to face questions like 'Why an archive?' or 'Why do we need to delve into the past when business has to look forward?' Even though management conceived the concept, it had to percolate both vertically as well as horizontally within the Group. It certainly wasn't a cakewalk for the Archives.

Once in 2006, when we had a visitor, the security personnel at the industrial complex where we are located seemed completely oblivious of our presence and called not only to ascertain our location but also asked rather naively, "What do you manufacture?" I explained to him that we collect 'old' records and 'old' products related to our company. His immediate reaction was: "Oh! You are a scrap yard?" Bewildered by his reaction, I could only say, "Please send the gentleman to the archives." This was an indication of the Herculean task ahead of us.

Four years later, in the year 2010, we received an email from a senior manager that underlined the changed scenario:

> *"I have begun to realise the worth of the Archives dept. by your recent communications. Keep it up and continue to enlighten us on our glorious past. I am sure it will motivate us to continue some of our rich traditions which we seem to have lost partially over time. Obviously, there is a lot to learn from the past…"*
>
> (Mr. B K Rajkumar on December 9, 2010)

This, in fact, was a response to a small online exhibition that the Godrej Archives had put up delving into the cricketing past of the company. Through documents and photographs, the presentation showcased how sports activities helped bring together managers and workers on the same platform and create a bond among employees. Mr. Rajkumar found this very inspiring for today's managers and also suggested reviving "such a practice which is conspicuous by its absence these days".

The email assured us that the Godrej Archives was able to strike a 'history' cord with management by the end of five years of existence. It was a reaffirmation of the value of the Archives as a 'guide to the future', something that is slowly becoming entrenched in Godrej's corporate culture. We achieved it through a simple process of 'communication' and by focusing their minds more on why we do than what we do.

Our experience, in fact, has shown that the realization or affirmation of the value of business archives is a two way process, where both management and the Archives have to work on finding common ground to communicate with each other. Each party brings important contributions to the relationship and together they create enhanced value. In order to make the business community realise the worth of archives as a vital facet of corporate life, 'archivists need to become more "proactive", more oriented toward "adding value" within the corporation they serve'.[2] How have we achieved this at Godrej?

3 Building the Intrinsic Value of the Archives

Firmly institutionalised archives are a pre-requisite for gaining the confidence of the donors of records, in this case the various business units among the Godrej Group. The first task therefore was to build up the necessary infrastructure, build up the collection, establish work processes, simplify procedures, and study the organisational structure for formalisation of record groups. We soon realised that the whole exercise of building up the collection would be futile if the Archives remained an esoteric group within the organization. Hence, it was deemed necessary to forge a relationship with the organization by integrating the Archives with the organizational structure.

[2] McDowall, Duncan. ""Wonderful Things": History, Business, and Archives Look to the Future." *The American Archivist*. Society of American Archivists, 56.2 (Spring 1993).

Here I would like to state that appropriate reporting relationships are absolutely critical for the internal working of the archives to achieve the independence, objectivity, and organizational stature necessary to fulfil its obligations. At Godrej, the archive is an independent unit within the Corporate Human Resources Department of Godrej & Boyce Mfg. Co. Ltd., the parent company of Godrej Group. Incorporation of the Archives as a part of the organisation provided the necessary mechanism to collect records from different business units and departments therein. It also provided the necessary infrastructure for day to day administration.

The archivist reports to the Executive Director of the company for administrative interface and support, and reports to the archives council[3] for strategic direction and accountability. At the same time she is independent in terms of taking decisions pertaining to archival processes and procedures. This strengthens the sustainability of the Archives. This initial positioning of the Archives within the organisation ensures not only access to information but also facilitates communication at all levels with management.

3.1 Reinforcing the Value of Archives in the Business Community

The challenge was to reinforce not only the Archives' historical value but also its business value to the company. Records-keeping is a low priority for business people. Moreover, the introduction of technology, changes in organization structures, and changes in policies have affected the proper upkeep of records of yesteryears.

A decision was therefore taken to put in place an archive policy providing a framework for record keeping practices, processes and systems that will protect records as assets. It was believed that the existence of such a policy will not only promote a record-keeping culture but will also create a climate that will ensure the ongoing integrity and accessibility of records, in turn guaranteeing the continued contribution of records to the Archives. The policy was also to define the nature and scope of the collection as the question of what should be collected is extremely important. Otherwise the Archives might end up accumulating records that are out of its scope and, in turn, put enormous strain on human resources, space and also the budget.

While doing the exercise, we started with a functional analysis of the company where we studied the organizational structure and activities of the Godrej Group. At the same time,

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[3] The Archives Council is an advisory board that includes representatives from the Godrej family, Human Resources Department, Construction Division, Personnel and Administration Division and Corporate Communications Team.


Images 2 and 3 – Interior of the Godrej Group Archives

a historical analysis was undertaken to help understand the milestone achievements of the company. This helped in streamlining our searches of records first by concentrating on the location of records pertaining to milestones. Our findings complicated the task rather than simplifying it, however, as the Godrej Group consists of 10 separate companies plus overseas establishments. On top of that, we had to cover more than a hundred years of history.

Considering such a vast expanse of companies and their activities, it was decided to begin with the parent company, Godrej & Boyce Mfg. Co. Ltd. Again, within Godrej & Boyce Mfg. Co there were different business units such as Locks, Security Equipment, Interio, Tool Room, Prima, Appliances, Material Handling Equipments (MHE), Precision Engineering Systems, Precision Components Systems, Process Equipment, Electrical & Electronics, Storage Solutions, Personnel & Administration and Retailing.

To understand the nature and scope of records within each of these business units, a preliminary survey of the material available was conducted. As a first step, enquiry forms were sent to all business heads to enquire about the kind of records their business units might have in form of documents, old products, catalogues, any other significant records. These primary inquiries revealed the vast genre of records that we had to tackle.

It was therefore decided to concentrate on one division at a time and design a programme for transfer of non-current records of that division to the Archives and that would serve as a template for the other divisions. 'Precision Components and Systems' (PCS) Division, the youngest among all the divisions, was chosen for the survey assuming that most records would be available for this division.

Through this survey an attempt was made to assess the documentation system at PCS. Considering this exercise as a mock-up, we hoped to get an idea of the documentation process followed in the various divisions of Godrej and point out the strengths and lacunae of the existing systems. The findings were to be used further to help design a process for transferring historically important records to the Archives.

The Archives team started interacting with officials not only to understand the business activities but also to identify sources of records of archival value. This close interaction helped build mutual trust and, as a result, access was also given to records of a confidential nature. On the other hand, a closer interaction with the department heads and the business heads helped to make them realise the worth of records as a vital corporate asset. In addition, the business also realised the practical benefits of having an archive to ensure efficient storage and swift retrieval of records. As a result, more than 700 files dealing with manufacturing processes and technologies involved in the aerospace industry, covering the period from the late 1970s till the present date, have been transferred to the Archives. This helped in breaking the myth that for records to be historical they need to be 40-50 years old. The Archives, thus, also has to assume the role of a records' room, storing even current and semi-current records to avoid the risk of losing out on important records. In such instances, policy guidelines regarding confidential records are applied to such records and they are kept closed till the time prescribed by the business. Records such as MOMs of General Manufacturing Council meetings, where all the business heads meet every Friday, are immediately sent online to the archivist. The value of the archives to the company can be articulated by the fact that the company is now confident enough to share sensitive records with the Archives.

4 When the Value of an Archives Reaches Beyond…

The intrinsic value of records is not enough to make claims to the inevitability of an archives to a business. "Business archivists who aspire to maintain the corporate memory and business historians who want to make a living interpreting it have a common interest in articulating the use to which the corporate archives can be put in the ongoing life and operations of the firm."[4] The archivist can never relax. It is essential to ensure the sustainability of the archives otherwise it may be reduced to an attic room in the offices of the business organisation. Hence it is important for the archivist to breathe life into otherwise inanimate records. To achieve this several promotional tools were employed by the Godrej Archives.

4.1 Keeping in Touch

To begin with, it was felt important to sensitise employees about archiving the past and hence a series of presentations were made to all business units and their business heads from the year 2007. The Archives team also visits branches to spread the word about the Archives. The object of these presentations was to communicate to employees how history can be used as a vital resource for supporting current corporate activities and how archives can be put to use for business management. Such presentations not only helped the Archives to communicate its activities but also helped expand the collection as employees from the audience come forward to gift the archives items they possessed related to Godrej history.

4.2 Staying Visible

It is also very important for the archives to stay visible as managers tend to overlook the past as they are too focussed on ensuring a better future for the business. Hence, the Godrej Archives developed various communication channels to remain 'visible'. Some of them are discussed below:

4.2.1 Online Visibility

In this information age, no archives can afford to stay 'off line'. Websites and company intranets definitely give archives a technical interface to connect and stay in touch with people as well as communicate effectively. Right in the first year of its existence, a website on the Godrej intranet site was launched to educate Godrej employees about the Archives. In September 2007, the Godrej Archives launched its website www.archives.godrej.com under the domain of the Godrej Group website.

Features such as an interactive timeline and the 'Document of the Month' communicate the history of Godrej and draw a large audience. To keep employees informed

[4] Smith, George David. "From Dusting off the Cobwebs: Turning the Business Archives into a Managerial Tool." *American Archivist*. Society of American Archivists, 45.3 (Summer 1982): 288.

about recent developments within the company, the ‘Milestones’ link was added to the intranet site. Here, separate tabs are assigned to different business units and information about their current achievements is uploaded biannually. Another feature, called ‘From the vaults’, aims to showcase the interesting collections received by the Archives and also unfold the stories behind our collection. The website is updated regularly to keep interest alive.

Nevertheless the website, howsoever visible, does not ensure the participation of employees. For this, the Archives has to make a constant effort to amplify involvement. Some of the initiatives introduced by the Archives using the website that helped us to make an instant connection with employees were ‘Be an Archivist’ and ‘Contribution Drive’. ‘Contribution Drive’ was launched twice in the year 2010 to make an appeal to employees to contribute material related to the history of Godrej. ‘Be an Archivist’ was to seek their help in identifying photographs in our collection. ‘Be an Archivist’ got an enthusiastic response among employees and it helped the Archives to identify their the collections. However, our observations at the Godrej Archives spell out the need for personalised follow-ups with employees to ensure the success of such initiatives.

Besides these regular features, the Archives occasionally uploads stories from the past. For example, on International Women’s Day on 8th March 2011, the story of the first female employee of the Delhi branch was posted on a bulletin board. It received a spontaneous response from employees who shared stories about the earliest female employees of their respective branches. Besides direct responses, these regular titbits from the past sometimes work as reminders to employees about old records in their respective businesses and we were contacted by 3 business units about old records lying with them.

4.2.2 Visibility Through the In-house Magazine

The in-house magazine is another invaluable tool and an effective way by which the Archives communicates with Godrej employees all over India. The articles use archival materials to tell ‘their’ story. The articles explore historical aspects of the theme decided for each issue of the magazine such as manufacturing, selling, design, visionary leadership etc.

4.3 Making Records Visible Through Periodic Exhibitions: ‘Where can we see these historical records? Are they displayed somewhere?’

For the first 4 years the Archives focused on building the collection and websites, in-house magazines and presentations were the only means that were used to reach-out to the business community. Soon it became evident, especially through the feedback that we received at each interactive session with new recruits, that everyone wanted to see the original documents, advertisements and products that were used in presentations on the Godrej Story. It was in the year 2010 that the Archives decided to exhibit records for employees on the occasion of the celebration of 113 years of Godrej. The purpose was threefold:

1. To introduce employees to and assist familiarization with the Archives/archival collection;
2. Not to narrate the chronological history of the Godrej Group, but to draw visitor attention to important documents reflecting the history of the company and held by the Archives;
3. To organize an exhibition that can serve as a mock-up exhibition to assess visitor response and behaviour towards the Archives and its collection as well as emotions towards the Company.

Considering the space constraints of the Archives, a minuscule exhibition titled 'Celebrating 113 Years: A Commemorative Exhibition' was planned. Arranged in our conference room, it displayed the first patent of 1909 received for the springless lock, a handwritten note by Ardeshir Godrej on how to make safes, MOA from 1932, a 1955 special newspaper supplement on Godrej marking the company's launch of the first Indian-made typewriter and other documents.

A small note was sent to all business heads and all employees inviting them to the exhibition and notifying them that we had started manufacturing locks on 7th May 1897. The note instantly triggered interest as 7th May had never been celebrated as an anniversary before then. The relatively small attempt was hence magnified.

A bookmark with pictures of the old Lalbaug factory sent with the note was an instant hit and persuaded the Chairman of the company to come down to visit the exhibition. In spite of the deliberate limited publicity and a lack of awareness of the activities of the Archives, the turnout for the exhibition was moderately good and surprisingly out of 150 visitors a large number of visitors belonged to the 25 to 35 age group. We also realised that no strategy works better that the 'push' strategy to market history within the organisation and a constant blitzkrieg of reminders and personalized mails were sent. This helped, to a great extent, in pulling crowds to our exhibition.

I would like to share here an interesting incident to show how an exhibition can help managers to think about the use of heritage. A senior manager (marketing) from Interio visited the Archives and was particularly interested in a special supplement on Godrej brought out in the year 1955. The supplement had advertisements of a wide range of our products. One particular advertisement that interested him was of hospital furniture. He was surprised to find that we had been in the business of hospital furniture in 1955. He shared his astonishment with me and I told him that we had been in the business for a while but then we discontinued the business. I showed him the hospital furniture catalogues held by the Archives. Since Godrej was reentering the hospital furniture arena, he wondered how these old advertisements could help in establishing the credibility of the company.

The incident definitely helped the Archives to appreciate how exhibitions could provide an opportunity to demonstrate the commercial value of records and in addition there was an increase in the interest of employees in the Archives. Exhibitions that followed enabled the Archives to gain a wider acceptance within the organisation.

4.4 "Sensitising Community": Annual Lecture Series

One cannot ignore the relationship between business archives and the development of business history, the disciplinary implication of the archives. Hence within a few months of starting operations, the Godrej Archives started an annual lecture series to encourage further research in business history and to introduce new areas of research, such as the history of technology and manufacturing, to academicians and businessmen.

This lecture series has attracted distinguished historians, such as Prof. Douglas Haynes, Prof. Dwijendra Tripathi, Dr. Amiya Bagchi, Prof. Ross Bassett and Prof. Ritu Birla to name a few. The encouraging response has helped the Archives to reach out to a larger audience and build a network with academicians, historians, journalists and people from the business world.

All such initiatives continuously help the Archives to build bridges with internal as well as external business communities and the academic world. The Archives has, over the past five years, flourished in an environment of confidence. However, the value of the Archives should not be restricted to a 'nice to have' feature. More emphasis is needed on the business value of records instead of just the nostalgic value. With this in mind, archives should also try to encourage businesses to realise the utility of archives in day to day business.

4.5 Making the Past Public

Business archives are expected to play a role of information provider within the organisation. However, willingness on the part of business houses to open their records for scholarly consultation is also very crucial for the sustainability of their archives. It also helps archives establish a connection with academia, which provides archives an opportunity to explore interdisciplinary approaches to the study of business history.

Records at the Godrej Archives are accessible to bona fide research scholars. Since 2006, many foreign as well as Indian scholars, academicians and people from the media interested in Godrej history have consulted the Godrej Archives. Prof. Douglas Haynes from Dartmouth College, USA, used our soap advertisement collection as a major source for his book-length project: 'Consumption and Capitalism in Western India: The Purchase and Use of Everyday Things in the Bombay Presidency, 1880-1940'. Prof. David Arnold of Warwick University consulted the records related to Godrej typewriters – the product that he was researching for his upcoming book on everyday technology. Prof. Ross Bassett from North Carolina University, USA, had a unique request for his project to develop a database of Indians who had studied at MIT. He was particularly keen on information about Dr. K. R. Hathi, a Sloane fellow at MIT, who had served Godrej for many years. Fortunately, the Godrej Archives had recorded the reminiscences of Dr. Hathi before his death. Among others, a researcher named Janhavi Nandan from Paris was particularly interested in tracing the genesis of Indian interiors and the role of Godrej in influencing patterns. Among others who seek consultation are journalists from leading newspapers as well as authors scripting book on Parsee families.

5 Archives: An Organisational Intelligence

History can, in some very obvious ways, become a kind of vital resource for supporting current corporate activities. In order to be future-proof, archives must ensure that the company recognises its history as a unique corporate asset and recognises the role that archives play as a centre for knowledge and information. The information contained in business records can be appropriately used for supporting promotional activities organised by corporate communications, employee engagement, writing brand and product histories, innovative ideas for business development, display and publicity, presentations, legal evidence etc. However, the business world is oblivious to the importance of archives as a useful resource in facilitating business decisions. Here I will cull out some incidences showing the various ways in which users have exploited the Godrej Archives.

5.1 Recording the Present

While preserving the past the Godrej Archives has also developed the mechanism whereby even the present is being documented. Every month, information covering their achievements of the month is gathered from each Business Unit. The milestones are thus prepared for each and every division so that information about the Company's activities can be made available for each financial year. Internally, corporate communications, businesses and employees often use this information as well as images for internal project presentations or for websites. Information like a biography of the founder; company profiles; advertisements; logo development; speeches; and images of owners, products, and industrial townships are much sought after. A query from an employee about the founder for developing a leadership module or information about different models of refrigerators for a R & D presentation are a few examples. The Archives' help is often sought for planning anniversary celebrations as these occasions call for looking back at history. Many times, business records can also be useful as legal evidence. General queries that we have received so far in this context have been about patents and trademarks, land related queries, the year of incorporation, etc.

Apart from this, the Archives' help is sought in documenting the closures as well as investitures of new plants. The Godrej Archives was requested to document the closure of a typewriter manufacturing plant in Shirwal near Pune in the year 2009. Godrej was the last manufacturer in the world to stop manufacturing typewriters. It was indeed a significant occasion that needed to be recorded. The Godrej Archives Team not only did a photo documentation of the plant but also recorded the reminiscences of those associated with the plant for 20-25 years. Manufacturing records such as technical drawings right from the late 1950s along with sales reports, export data etc. were then sent to the Archives.

The same year, a request came to retrieve documents from a plant in Malaysia soon after their closure. Documents like production certificates; pioneer certificates; manufacturing licenses issued from time to time for different products such as furniture, safes, etc; relevant correspondence; board resolutions; presentations/critiques discussing the closure of the manufacturing plant; employee lists; and lists of export customers of Godrej Malaysia as of 31/03/2009 were sent to the Godrej Archives. Apart from these, files related to construction were also received.

However, archiving is not always about closures. The Archives Team was asked to document the recent relocation of a Godrej Interio chair manufacturing plant to Bhagwanpur (Uttaranchal, India). It was felt necessary to record the event as and when it happened instead of waiting for 10 years so as to avoid the risk of poor memory and poor record keeping. The documentation started with an oral history interview of Mr. Zurwan Marolia (Head – Projects, Godrej Interio) who was associated with the project right from its planning stage. This interaction also helped us to gain perspective about the thought process behind the setting up of the Bhagwanpur Plant. Presentations done during the planning stage of the project were shared with the Archives. As current records cannot be parted with, scans of documents like the MOU and land related documents were sent to us as the business was confident that they will be safe with the Archives.

Any innovation or introduction of new technology is nothing but the coming together of old and new knowledge systems. Realising this, Godrej Locks approached the Archives with a unique request. They are planning to set up a locks museum that will also be a learning centre for their R & D team. Their locks collection includes as many as 1500 locks and their R & D team often turn to these locks as an inspiration for innovation. The variety of locks kept in their R & D room needed to be sorted and documented. The work was taken up by the Archives in the year 2010 and the conceptualisation of the museum started the following year.

It is a positive gesture on part of the company as it shows a commitment towards preserving records for posterity – in a way the right step in preserving its own history and heritage.

5.2 "Catch them Young": Using the Archives as a Human Resources Tool

"Increasingly, people move from business to business, taking their valuable skills with them but losing the sense of continuity and tradition, as well as the informal knowledge about the business that they work in, which holds companies together… corporate archives in particular can be extremely helpful in instilling this ingrained understanding of what a business is, where it has come from and where it is going."[5]

The Godrej Corporate Human Resource Department was quick to recognise the usefulness of an archives in orienting new recruits to the company's history and successes as well as its values and principles. A session on the Archives became an integral part of the induction and 'Know Your Company' programmes for new recruits from the year 2007. The objective of such sessions is to give new recruits a sense of continuity and an understanding of the legacy that they are required to carry forward as well as informal knowledge about the business they will soon be part of. These sessions have no doubt helped the Archives to create an initial curiosity about the company's past and the role of the Archives in preserving organisational intelligence.

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[5] Smith, George David, and Steadman, Laurence E. "Present Value of Corporate History." *Harvard Business Review*. 59.6 (1981): 164-173.

Besides the history of the company, during these sessions the Archives team discusses with new recruits the value of historical records and how, by restoring and reflecting on history, they will be in a better position to re-imagine the future.

5.3 Storage of the Experiences of Former Employees

The experiences of former employees can also come in handy as they constitute a formidable knowledgebase from which future-managers can draw inspiration or learn. The history of any organization is incomplete without those individuals who have significantly contributed to the success of the organization, those who have actually initiated the thought processes. Business has always impacted the lives of its staff, customers and shareholders as well as the communities in which it operates. Therefore, the Godrej Archives is also creating new resources for the history of ‘Godrej’ in the form of oral history interviews of individuals associated with the company for decades. These interviews record biographical information about the interviewee, their years with Godrej, details of their work, inter-personal relations within the company, their relationship with the Godrej family and so on. The Godrej Archives record how the lives of interviewees have been affected and changed. These interviews help the Archives understand how the company has evolved over a period of time as witnessed by the interviewee. Such oral memoirs also help researchers to fill in facts that might have gone unrecorded in the files. These interviewees also share with us any records that they may have.

5.4 “Selling the Corporate Image”: Historical Branding

Some examples where the Archives was used for historical branding:

The Corporate Showroom situated on the ground floor of Plant 11 on the Godrej Campus uses historical timelines of all product ranges in displays and thus demonstrates a confluence of the past and the present in a very subtle way. The showroom can be seen by customers and visitors during normal business hours.

In the year 2010 at the prestigious Kala Ghoda Art Festival in the city of Mumbai, Godrej Interio decided to celebrate the undying Spirit of Mumbai by creating an artistic replica of “The Gateway of India” using Godrej Interio Furniture. The replica brought together two of the most poignant symbols of Mumbai’s undying heritage – The Gateway of India, and the Godrej Almirah. Renowned designer Krsna Mehta created a 25-foot high artistic installation of the iconic “Gateway of India” using 40 Godrej Interio Storwels and other Godrej Interio products. “After all that Bombay has gone through in the past year, the idea for us to make something which depicted the heritage and spirit of Mumbai came very naturally; and to combine Mumbai's most iconic structure "The Gateway of India" and the "Godrej Interio Storwel" which has been a part of each and every Mumbai home was the perfect way to go about it" said Krsna Mehta at the event. Given it was such a prestigious event, the Godrej Interio Team sought the Archives' help in bringing together pieces of the storwel history. Old catalogues and advertisements were enamelled on the storwels along with its story.

Two years prior to this, at the launch of our new brand identity in the year 2008, a walkway was created using images and advertisements from the past to demonstrate that in going forward to build a brighter future, we believe that "the history of Godrej" is one of our prime strengths and a real differentiator.

This idea of 'history as our prime strength and a real differentiator' can also be seen in the Godrej future office prototype 'S P A C E'. The aim of the prototype was to create a young and brighter working culture. The words 'young and brighter' are not normally associated with history. We were a bit puzzled and asked Darshan Gandhi, a young architect working on the project, what made her come to the Archives. She explained, "We want to keep this reference (history) alive so that in any work we do in the present or future we always stick to the roots in anything we offer or practice. Hence we want as many people to experience our DNA when they visit our working spaces and we want to create more touch points like these so that this precious material does not just become a document but can really be used to flaunt what we are today and what we want to be tomorrow."

It is on this note that I would like to end my article as it aptly explains that history is as important to a company as DNA for a living being.

6 Conclusion

The establishment of the Godrej Archives demonstrated that the positioning of an archives within the organisation and a well-established records management programme are pre-requisites for gaining the confidence of the donor, which in this case is the organisation, and thereby establishing the value of the archives. Our experiences with the Godrej Archives also made us realise that the success of the relationship between an archives and the business relies on the ability of both business and archives to move beyond the established boundaries of their relationship. On one hand, the archivist needs to actively engage with the various functions of the business, rather than waiting patiently to be sought out, and on the other hand, the business has to learn to make creative use of the archives in protecting their products and/or business.

At the same time, an archives should go beyond its conventional service role to the organisation. The archives should attempt to forge a relationship with the community outside the organisation as the history of the company is also a narration of a story of business in India and therefore it is considered to be national corporate heritage. At the Godrej Archives, we are exploring this potential value of the archives by enhancing relationships with the business world as well as intelligentsia.

Part IV

National Strategies and Business Archives

Chapter 10

Reserve Bank of India Archives:
A Historical Resource and Corporate Asset

Ashok Kapoor
Reserve Bank of India Archives

April, 2012

Ashok Kapoor

Chief Archivist / General Manager, Reserve Bank of India Archives

Born in New Delhi in 1951, Ashok Kapoor graduated from the graduate school of Delhi University in 1972. He has been in the archives profession for almost 35 years, having worked in various capacities in the National Archives of India and Reserve Bank of India. He is a member of the Indian Historical Records Commission and the National Digital Preservation Committee and a bureau member of ICA/SBL. He has contributed articles on archives and records management to various national and international journals.

Reserve Bank of India Archives (India)

Reserve Bank of India
The origin of the Reserve Bank can be traced to 1926, when the Royal Commission on Indian Currency and Finance recommended the creation of a central bank to separate the control of currency and credit from the government and to augment banking facilities throughout the country. The Reserve Bank of India Act of 1934 established the Reserve Bank as the banker to the central government and operations began in 1935. Since then the Reserve Bank's role and functions have undergone numerous changes—as the nature of the Indian economy has changed. Today's RBI bears some resemblance to the original institution but the mission has expanded along with the deepening, broadening and increasing globalisation of the economy.

Reserve Bank of India Archives, Pune
The Reserve Bank of India Archives was established on 24th August 1981 with the following vision and mission:

Vision – To excel as an archives that adopts the best standards of scientific preservation of all permanent records of the Reserve Bank of India, including those in electronic form, for posterity.

Mission – To preserve the invaluable records of the Reserve Bank of India as part of its archival resources and make them available for reference and research to present and future generations by leveraging the experience of competent and committed employees, and to make available state-of-the-art technology.

The Reserve Bank of India has in-house facilities for the repair, rehabilitation, microfilming and scanning of records. The RBI Archives is regarded as one of the best medium size archives in India.

Image 1 – Staff of the Reserve Bank of India Archives

Reserve Bank of India Archives: A Historical Resource and Corporate Asset

Ashok Kapoor
Chief Archivist / General Manager,
Reserve Bank of India Archives

The Reserve Bank of India Archives was established on 24th August 1981 with twin objectives to serve as: (i) the Central Archives of the Bank and (ii) a repository of non-current records of enduring value to research scholars. This was a pioneering effort taken to preserve the invaluable archival heritage of the Bank from being irretrievably lost to posterity.

The functions of the Reserve Bank of India Archives are the:

(i) Receipt of non-current permanent records having historical and legal value closed more than 12 years previously;
(ii) Scientific conservation and preservation of records, photographs and paintings.
(iii) Supply of information for internal use within the Reserve Bank of India;
(iv) Maintenance of the Archival Library to keep all publications brought out by the Reserve Bank of India;
(v) Provision of research facilities for research scholars and students;
(vi) Digitisation and microfilming of records;
(vii) Actualisation of the Oral History Programme, to record on tapes the reminiscences and recollections of those who have contributed to the history of the Reserve Bank of India.

The journey of the Reserve Bank of India since its establishment in 1935 has been a journey through the constantly evolving contours of the Indian economy. In this context, the establishment of the Reserve Bank of India Archives was a significant step to centralise all the records scattered throughout the country. The Reserve Bank of India Archives was the first corporate or institutional archives in the country. Over the past 29 years, the Reserve Bank of India Archives has been engaged in identifying, acquiring, preserving and making accessible to research scholars and staff of the Bank, non-current records of enduring historical and legal value. The Reserve Bank of India Archives has earned the reputation of being one of the best equipped and well maintained archives in the country.

1 RBI Archives as a Historical Resource:

The history of RBI is replete with interesting events and developments. Some of the records in the custody of the RBI Archives predate the establishment of the Central Bank of the country. Cancelled securities and bonds that were in possession of the East India Company and then with the Government of India's Department of Currency were handed over to RBI. These records pertain to the period 1777-1894 and are very important source materials, indicative of interest rate prevalencies, economic conditions and the section of society holding those bonds and securities. The records in the custody of the RBI Archives are not only meant for administrative purposes but are also a rich source of historical information. According to Dr. D. Subbarao, the Governor of the Reserve Bank of India, "The historical records and documents in the possession of the Archives provide visuals and vignettes that transcend time and help us to go down our institutional memory lane."

Corporate archives are established for many reasons. Common factors include the compilation of a history of the company or biography of its founders or celebrations of some landmark anniversary. With the passage of time, the records that once served the administrative needs of the creators become or assume importance as a rich source of history and many other disciplines. The records in the custody of the RBI Archives are open for access to research scholars and students. In addition, the RBI Archives has contributed immensely to the writing of the first three volumes of the *History of the Reserve Bank of India*, and the 4th volume, for the period 1981-97, is currently in progress. An obvious advantage of establishing a corporate archives is to ensure the preservation of records of vital importance required for writing history. The preparation of an objective history may produce an important corporate tool but establishment of corporate archives primarily for historical study would have limited success.

1.1 Record Holdings of the RBI Archives:

The record holdings of the RBI Archives are diverse and interesting and consist of 23,000 files and 11,516 registers that have been received from various offices of the Bank. The Archives also has 2,700 books, 74 oral history tapes, DVDs and CDs. Some of the interesting and important records include the collection of RBI logos, the RBI Act of 1934, designs for currency notes, a letter from Smt. Indira Gandhi requesting the release of foreign exchange for her son Rajiv Gandhi's studies abroad, documents illustrating the reasons for the closure of the RBI office in London and the devaluation of the rupee in 1966, and RBI share certificates and the first balance sheets of RBI.

1.2 Oral History Project:

With a view to supplement paper records with oral evidence as a historical resource, the RBI Archives has taken up a project to record on tape the reminiscences and recollections of those who have seen the history of RBI made or have played an important role in its history. Under this programme, interviews were conducted with previous governors, deputy governors, and executive directors of RBI as well as finance secretaries and finance ministers. These interviews will supplement and complement paper records in writing the history of the Bank for the period 1981-97. These interviews are a source of tacit knowledge and oral history would make them explicit and transferable. The importance of these oral history interviews lie in the fact that many unknown facts, which could never become part of files, become available for writing the *History of the Reserve Bank of India*.

1.3 Research Facilities:

The records available in the RBI Archives are a rich historical resource for research. Traditionally, these records have been used heavily for topics in banking and economic history and they continue to attract scholars researching in areas such as financial systems, monetary policies and industrial and economic growth. Files, registers, books and audio-visual materials constitute the evidence scholars need to investigate, document and shed light on new perspectives. All records more than 30 years old in the RBI Archives are open for research and reference purpose. The RBI Archives attracts research scholars from banking, finance, economics and history and, keeping in view their diverse requirements, we are in the process of digitising records so as to streamline storage, access and retrieval of paper records for research. In addition, we keep a constant watch on trends in historical research and, through our journals, provide information on the acquisition of new records to attract scholars who may want to consult them.

2 The RBI Archives as a Corporate Asset:

An archives is regarded as the backbone of the information system of any organisation and, in order to remain a valuable asset to the organisation, the archivist has to be prepared for changes in corporate governance in the following ways:

(i) Control the flow of records from the creating agencies to the archives, keeping in view the space, man-power and resources available. Only records of vital importance are to be transferred to the archives – archival and records management policies should be formulated.

(ii) Ensure records are kept in usable, retrievable and accessible form at all times.

(iii) Formulate plans to assimilate the latest information technology to keep paper as well as electronic records.

(iv) Preserve original records as they provide evidence to the activities of an organisation and hence the most effective means of exacting responsibility.

(v) Provide records when required as records in the custody of archives are treated as primary evidence in the court of law under the Indian Evidence Act.

(vi) Formulate a comprehensive plan for the preservation and migration of records of vital importance to meet regulatory and compliance requirements.

(vii) Supply information in the time stipulated under the Right to Information Act.

The records of the RBI Archives are a corporate asset for multifarious reasons and help in the smooth functioning of the Bank. The following are some of the reasons that make records a corporate asset:

(a) Administrative Use of Archives:

Records are a storehouse of precedents. In the complex modern world it is necessary for corporate management to look back constantly and see what has happened before in order to avoid going over again what has already been threshed out and thus wasting time, energy and resources. Besides, it is always useful to use archives as a precedent to ensure that nothing is done in flat and unwarranted contradiction to earlier decisions, regulations and laws, ending in embarrassment. Records perform an important function for management in serving as the tangible memory of the organisation.

Records are tools of vital importance for efficient planning and fixing accountability and responsibility. Records help us in reconstructing past deliberations and decisions. Left to memory alone there may be unconscious or deliberate misinterpretation of facts. A complete record is the most objective reporter and hence an important means of exacting responsibility, which is so essential for governance.

Archives are not only about long term memory, history, heritage and corporate governance but also provide immediate help for their organisations in ensuring proper management and retrieval of information whenever required. Archives see to it that the organisation preserves only those valuable records that are manageable, retrievable and usable. In doing so, an archives helps to ensure better decision making by management. Archives not only provide us information about our past but also guide us to the future.

(b) Archives and the Right to Information Act:

It has been aptly said that information is oxygen for a democratic society. It is now widely recognised that openness and accessibility of information about public institutions is a vital component of democracy and good governance. Keeping this in view, the Government of India enacted the Right to Information Act in 2007 with a view to eradicate corruption from public life and bring transparency and accountability to administration. As a watchdog of the financial system, RBI is always under the public gaze. The Right to Information Act is seen by RBI as an instrument that supports our policy to provide efficient banking services to the nation and the common man in particular.

The number of queries requesting information under this Act has been steadily increasing from 2,455 in the year 2007-08 to 3,333 in 2008-09 and further to 4,350 in 2009-10. The RBI Archives uses information from its records to help management reply to public queries within the stipulated time. A good records management system and an efficient storage and retrieval system are key factors in achieving transparency, accountability and fixing responsibility, prerequisites of corporate governance.

(c) Archives and the Platinum Jubilee Celebrations:

RBI was established in 1935 and recently, on 1st April 2010, it celebrated 75 years since its establishment as an institution. The Platinum Jubilee was a befitting occasion for casting a glance back at past performance and a look ahead to see how the central bank of the country might make a difference in the lives of the people. The last 75 years have seen far reaching political and economic changes in the country, which have greatly influenced the policies and responses of the Bank. From the Archives we can describe these happening as well as the responses of the Reserve Bank of India in tackling these issues but we leave it to historians to judge the quality and nature of the responses to these changes. During the Platinum Jubilee celebrations the RBI Archives provided interesting documents and photographs for events such as “down the memory lane”, the creation of a brochure and coffee-table book and exhibitions on records. These events gave employees a sense of security and stability. The contribution of the RBI Archives in the Platinum Jubilee celebrations was recognised all over the Central Bank and the role of the Archives as an asset of the Bank was demonstrated to corporate management.

(d) Archives as Legal Evidence:

Original records are treated as primary evidence in the court of law under the Indian Evidence Act. Records are an authentic source of information and provide management with a good defence when their actions in an official capacity are subjected to unwarranted criticism and good faith is questioned. An archives can save an institution a great deal of money by providing evidence for legal cases.

(e) Archives and Public Relations:

Recently the RBI Archives established the Archives Museum in order to create awareness among the general public about the history and evolution of the Reserve Bank of India. The exhibits in the Museum consist of archival documents and photographs which take the viewer on a journey through the history of RBI since its inception in 1935. Some of the documents even predate the establishment of the Bank, dating to the time when the idea of having a Central Bank for the country was first mooted. The exhibition also attempts to bring out many unknown or less known facts about RBI, providing snapshots of the interesting role played by the Bank in pre- and post-independence days.

Correspondence exchanged between the top management of the Bank and prime ministers, finance ministers and senior government officials in matters relating to the country's economic stability, growth and development and international financial relations, are also on display and bring to fore the concern and involvement of RBI and leaders of the day in the economic health and development of the nation. In short, through these exhibits the viewer can catch glimpses of the nation building process and role of RBI within it. The exhibition has attracted visitors from all walks of life including school children and college students.

Image 2 – Exhibits of the Archives Museum

(f) Administrative Value of Records:

Good record-keeping is an essential element of good governance. Records are produced by the creating agency or individual in conduct of a specific activity or transaction. They reflect the origin and growth of an organisation and are the main source of information on all activities. They constitute the basic administrative tools and means of financial and legal commitments of the organisation. They embody the great fund of official experience that an organisation needs to give continuity and consistency to its actions, to make policy determinations and to handle economic as well as organisational and procedural problems. In short, records are the foundation on which the structure of an organisation is built. But it is also true that many records are lost because of wanton destruction to save space or through wrong appraisal and lack of preservation facilities thus resulting in losses to historians, corporate management and posterity.

3 Challenges Ahead:

(a) Electronic Records:

The present generation of archivists is facing a new phenomenon – electronic records. The slow and gradual disappearance of paper as a physical entity is one of the most intriguing and fascinating aspect of the digital era. Paper records are being replaced by invisible electronic records in the same way as centuries back paper records replaced palm leaf and parchment records. Archivists in corporate archives should upgrade their skills and knowledge in related areas to build a bridge between paper and electronic records. Archivists should be able to demonstrate the ability to capture, manage and deliver evidence through time. Archivists should be able to specify what to keep, how long to keep it and, most importantly, how to retrieve information so as to enable them to manage records as a corporate asset.

(b) Need to Concentrate on Core Activities:

It is generally observed that in corporate archives energies are directed towards playing a supporting role in writing history, public relations and advertising campaigns; issuing brochures or booklets on anniversaries; and providing historical data for inclusion in annual reports while the core activities of the archives are kept on the back burner. It is of the utmost importance that the corporate need to manage records is met in order to deal with the array of legal, fiscal and administrative requirements.

(c) Archival Consciousness:

There is no denying that in the corporate world archives occupy a low priority as most companies are pre-occupied with competition, financial bottom lines, legal and other regulatory compliances. Corporate archivists should make a concerted effort to make management understand that not only can the archives help with: meeting external requirements, regulatory compliances, historical research and understanding past events but that it also constitutes institutional memory, can help in fixing accountability, provide evidence for decisions taken and bring efficiency and economy into working practices. Keeping this in view, archives should be regarded as an asset to corporate governance rather than a financial strain.

(d) Need to Change Management Outlook towards Archives:

Archives are expected to deliver immediate results by those without an understanding of the tremendous pressure and constraints under which archives suffer. The working environment is often bad, they lack staff and financial allocations and are treated as an insignificant activity. Corporate archives should set their priorities and concentrate on core activities, i.e. the transfer of records of vital importance to archives, proper storage and maintenance of records in ambient conditions, preservation and rehabilitation of records and instantaneous retrieval of information.

In nutshell, it can be said that records are the means by which public officials in a democracy are held accountable by the people. Records are the tools of administration, memory of an organisation, embodiment of experience, protectors of legal rights and sources of many kind of information. All these features make an archives an important asset to corporate governance in any society.

Chapter 11

The National Business Archives Strategy: England and Wales

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April, 2012

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Alex Ritchie is currently the Business Archives Advice Manager at The National Archives of the United Kingdom. He has had a long involvement with business history and archives during his career at The National Archives and, before that, the Royal Commission on Historical Manuscripts. He is best known as the author of *The Shipbuilding Industry: a Guide to Historical Records* (1992) and has been a major contributor to the *Oxford Dictionary of National Biography*.

The National Archives (UK)

The National Archives is a government department and an executive agency of the Ministry of Justice. As the official archives of the UK government, it cares for and makes available a vast collection of over 1,000 years of historical records, including the treasured *Domesday Book*. In addition to its role as custodian of government records, The National Archives also manages current digital information and devises new technological solutions for keeping modern records readable now and in the future. It provides world class research facilities and expert advice, publishes all UK legislation and official publications, and is a leading advocate for the archive sector.

In recent years The National Archives has worked with partners to formulate a National Strategy for Business Archives in England and Wales. Since the launch of the strategy in 2009 and the appointment of a dedicated Business Archives Advice Manager, it has sought to encourage businesses to make proper provision for their archives, to raise awareness and promote the use of business collections, and to raise standards in the care of corporate archives by promoting best practice, principally through the Managing Business Archives website.

Image 1 – Exterior of The National Archives (Photograph: The National Archives)

The National Strategy for Business Archives (England & Wales)

Alex Ritchie
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In the summer of 2009, the National Strategy for Business Archives was launched at a parliamentary reception in London, attended by a wide range of business and archival representatives. The speakers included Sir Mervyn King, Governor of the Bank of England, Sir Stuart Rose, chairman of Marks & Spencer, the major British food and clothing retailer, and Dame Stella Rimington, former head of the British Security Service (MI5), who started her career as an archivist. The launch was the culmination of five year's work by interested parties, including the Business Archives Council and The National Archives of the United Kingdom, to produce an agreed plan to promote the care and to increase awareness of the value of business records. The year 2009 marked the transition from the planning phase of the strategy to the implementation phase.

My own involvement with the national strategy only began at this time, though I have had a long association with business records, particularly in the shipbuilding industry, and I became the dedicated Business Archives Advice Manager at The National Archives. As such, I am responsible for taking forward the strategy with our partners and in such matters in which The National Archives is best equipped to act.

In January 2011 a parallel National Strategy for Business Archives in Scotland was launched at a reception in Edinburgh and since that time there has been close co-operation between the implementation groups of the two strategies.

Before we consider the goals of the strategies, let us look for a moment at the current state of the corporate archive sector in the UK. The number of businesses that are known to make some provision for their archives is around 80. Among the 100 largest companies, as defined by the London Stock Exchange, about 20 companies have such arrangements, although the so-called FTSE 100 is perhaps not such a good representation of British business since it includes so many giant corporations that are essentially foreign concerns, but which have opted to list on the London Stock Exchange. Corporate archives are particularly strong in the banking and retail sectors, especially in the area of luxury goods. After that, with the exception of beverages, there is no other single, strong sector. Increasingly, businesses are employing qualified, professional archivists. However, there is still a strong tradition of long-serving employees, with a passion for the history and heritage of their company, who bear the title of archivist on a courtesy basis or act in that role under some other designation.

Many business archivists are members of the Business Archives Council, the Business Records Group of the Archives and Records Association, or are members of an informal group of retail archivists that meets occasionally. But some business archivists find themselves isolated either by geography, because they do not belong to any of the bodies mentioned above, or because the sector in which they operate is so small. Insurance company archivists used to have a dedicated group, but now there are only two such companies with archivists in post. Outside of the known world of business archives there may be further arrangements for the care of archives, of which we remain unaware. Several interesting developments have been revealed through contacts with business archivists who passed on information that a certain person in a company was active with their archives. This led to an approach by me and the start of an ongoing dialogue about how the heritage assets of the company could be looked after in a sustainable way.

So the UK corporate archives sector is not uniform, not always robust and not always connected within itself. The UK archive sector as a whole is small and corporate archives exist on the edge of it. Nevertheless, there are some signs of healthy growth.

Strategic Goals

The two strategies share four strategic goals:

Raise awareness among businesses of the value of their records and archives, and provide guidance and support from the professional archive community

There is strong evidence that many companies have realised that their history, and therefore their archives, represents a huge resource to be exploited, especially where the celebration of anniversaries are involved. Thus Marks & Spencer made much of their 125th anniversary in 2009. Following on from that, the company will open a new purpose-built archive repository on the campus of Leeds University in November 2011. A less-developed, but nonetheless interesting archive, underpins the 75th anniversary of Butlin’s holiday camps (1936-2011), and their anniversary brochure exploits the huge nostalgia and affection felt by their customers. That archive is still undeveloped, but until recently its very existence was scarcely known and it offers an important source for the history of the changing character of British seaside holidays. As one business exploits its heritage effectively, this can lead to emulation by other businesses, especially if they are competitors in the same market.

Image 2 – The Michael Marks Building, new home of the M&S Company Archive.
(Photograph provided courtesy of the M&S Company Archive)

Increase the number of corporate sector business archives and of business collections in public repositories.

This is a particular challenge for two reasons. There are few incentives one can deploy to encourage the average business to run their own archives operation if they are reluctant to do so. But where the idea and the desire already exist within a business to exploit this resource, the strategy can guide companies in a positive way. A good example of a business re-discovering its archives is that of Selfridges, the London department store. Some years ago the archives were looked after in-house by a retired employee. Then it was decided to deposit the collection with the History of Advertising Trust. By 2010 Selfridges decided that it wanted to have the collection back under its own control and readily accessible. Later this year, the company will open a new archive facility within its flagship London store. In this case we can see some of the themes of the strategy in operation: the renewed appreciation and re-use of past heritage in today's conditions, the desire of the business to use the archive as a dynamic resource to inspire future innovation.

However successful the strategy is in encouraging businesses to make their own arrangements, it will still be necessary for many collections to be looked after by the network of the UK's national, local and university repositories. These vary in the provision that they make for business records. Until now, they have been an effective safety-net against outright loss of records. But in the current financial climate, we cannot assume that they will continue to welcome large collections with potentially low usage. The fear has always been that, at a time when some businesses are most likely to fail, the repositories that might save the records will themselves be unable, through financial pressures, to respond. Local authority repositories in England and Wales, who hold around 75% of all deposited business records, are particularly under strain in the present climate. It will be necessary to encourage new entrants in the field or to hope that significant institutions, with more secure funding, will take greater responsibility.

Raise the profile of business records with the public, and throughout the national archival network, while promoting wider usage and exploitation

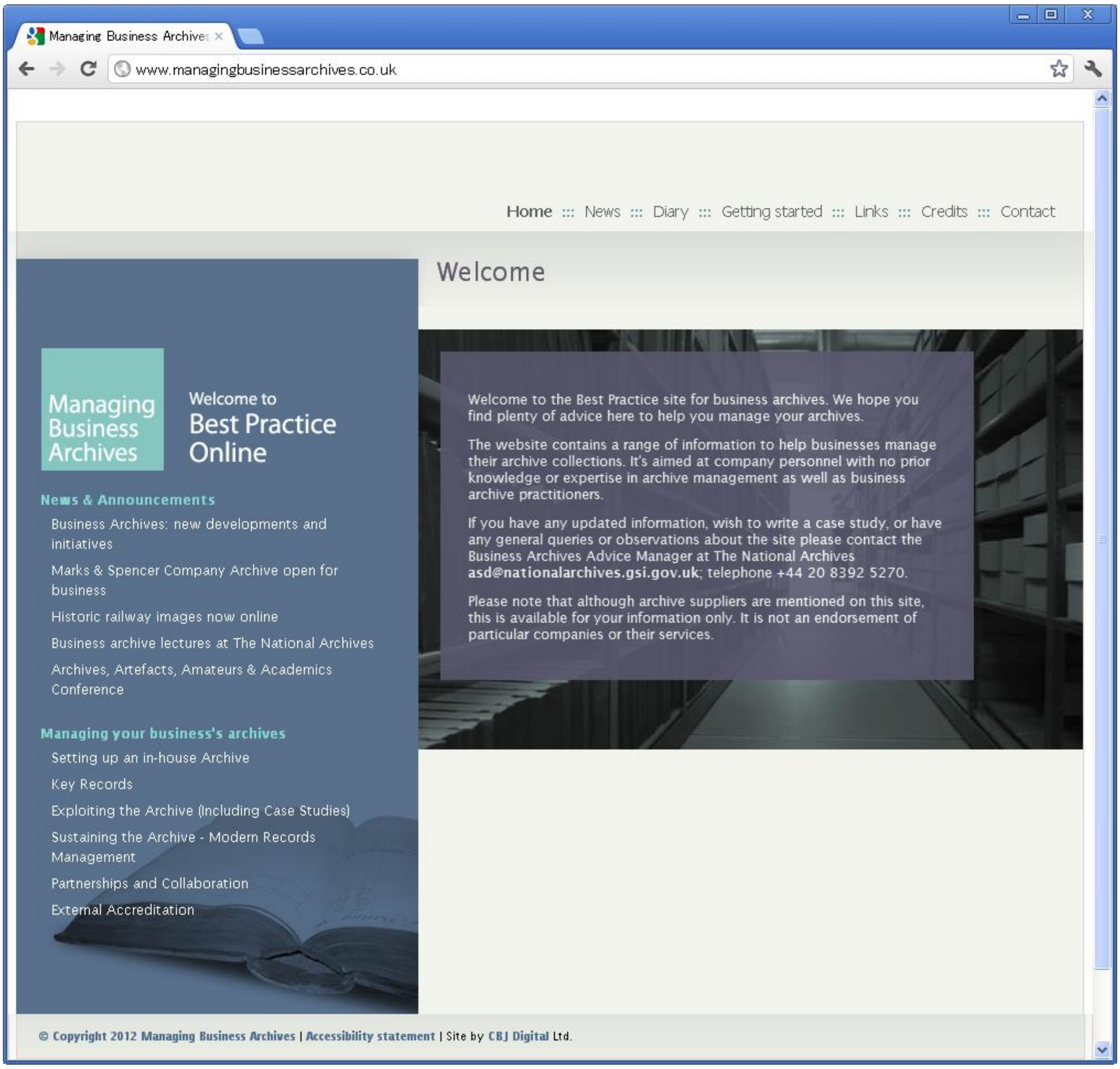
In the UK, business history has existed as a specialist discipline of interest to a very small number of practitioners. Yet business records chart wider trends in history and society and can be used in a variety of ways. This was recently illustrated in a television programme by the distinguished historian Niall Ferguson. The programme concerned the adoption of western modes of dress throughout the world. The example he used was taken from the customer records of the London tailor, Henry Poole & Co, effectively the founders of the Savile Row tailoring tradition. Their famous customer was none other than the Emperor Hirohito, when he was Crown Prince of Japan. So, Professor Ferguson made a point of global significance on the basis of the records of a small London firm, showing that business records can break out of the narrow field of use to which they have often been confined in the past. Professor Ferguson is perhaps unusually well equipped, by virtue of his past research in business history, to make such a point, but others may be encouraged by such an example to look beyond the normal range of sources used by mainstream historians.

At a more everyday level, several features of the Managing Business Archives website promote awareness of business archive news and events. The news section reports stories such as significant deposits of business records or the recent announcement by UNESCO of new inscriptions in the UK Memory of the World Register. Business archives, either as items or whole collections (such as the Bank of Scotland archives), contribute six out of the twenty new inscriptions. Also, there is a diary of business archive events, which maps out the year ahead in terms of local, national and international conferences, lectures and exhibitions. This information is also useful for planning purposes. It may seem a very obvious initiative to have such a diary of events, but it was only in recent months that the idea came to maturity.

Raise standards in the care of business archives through best practice exemplars, professional training and an improved funding and support infrastructure

This has been the goal that has been most quickly addressed by the strategy. A best practice website (Managing Business Archives) was launched at the same time as the strategy. The website contains a range of information to help businesses manage their archive collections. It is aimed at company personnel with no prior knowledge or expertise in archive management, as well as more experienced practitioners. The site features case studies of the use of business archives, a table of companies with professionally-managed archives, a diary of business archive events, as well as a range of other links and professional information. There is currently considerable activity by companies in the construction of new accommodation that fully meets standards for archive storage and further details are given below.

Image 3 – Managing Business Archives Website



Progress

Finally, I would like to consider what has changed and what has been achieved since the launch of the strategies.

First, the strategies exist and that in itself is important. Issues that have been discussed randomly in the past, and often in response to a sudden crisis, have now been properly defined and addressed. The final strategy is a product of long discussion and refinement and while implementation may present certain difficulties, there is a least unanimity of purpose from the outset. The number of people with an interest in business archives and history is modest and their influence has been further weakened by the fact that they often exist as separate groupings. Now they have something that binds their interests together and, through the strategy, their views acquire greater weight.

Second, in my experience, business has been flattered and business archivists helped by the recognition, at a national level, of the value of their archives and by the interest and concern of The National Archives. Until now corporate archives have existed at the edge of the archive sector, now they may feel that they have the new and higher status that they have long sought. There is still an issue over how corporate archives can adapt themselves in order to be eligible to apply for grant funding, but progress is being made here also.

Third, UK corporate archives are moving forward. There are more of them and they are making better provision for their archives. Both the London-based banking giant HSBC and Marks & Spencer will shortly have new premises for their archives. The major retailer, the John Lewis Partnership, is in the early stages of planning new premises that will bring together the records of the main business and their Cummersdale Textile Collection (presently widely separated) on a single site. Another old-established business, Clarks Shoes, is in the middle of a £1.5 million project to construct a new museum and archive store for the Clark family and business heritage collections, administered by a family trust, the Alfred Gillett Trust. The scale and ambition of these building projects underline the commitment of the businesses behind them. The appointment of professional staff and the construction of archival storage to modern standards confirms the arrival of business archives as full members of the UK archive sector.

In spite of a challenging economic climate, businesses are more likely to establish or enhance their archives rather than to consider closure as a cost-saving measure. It would be optimistic to believe that we will manage to preserve indefinitely all the corporate archives that exist at present. It is not in the nature of business for that to happen. A perusal of the published *Directory of Corporate Archives* (1997), produced by the Business Archives

Council, and a comparison with the corporate archives currently listed on ARCHON, the online directory of repositories maintained by The National Archives, shows much change. However, that may reflect nothing more than the constant evolution that there is in business, which is inevitably reflected in arrangements for the care of their archives. The closure or merging of one corporate archive is often balanced by the creation or enhancement of another. So the overall situation may have changed over fourteen years, but that does not necessarily mean that the change has been for the worse. Arguably, there has been a positive shift in sentiment, with businesses increasingly recognising their archives as a resource to exploit rather than a cost to bear.

Fourth, there has been a co-ordinated response to business failures, administrations and takeovers. The strategy has seen the creation of a six-person crisis management team, who keep in touch by email and gather intelligence and co-ordinate action when business records are seen to be at risk. Swift intervention has ensured that administrators are aware of the wider interest that attaches to these assets and that advice and practical help about options for deposit is on offer, should they ask for it. The team is designed to provide a breadth of coverage across the United Kingdom and there is naturally close co-operation with local archive services, where necessary.

A Final Thought

There is one area that was overlooked in the preparation of the strategy. It was perhaps so focused on being a national strategy that it had nothing to say about global companies, headquartered overseas but with operations in the UK. Recently, the archivist of the Swiss pharmaceutical company F Hoffmann – La Roche Ltd came to The National Archives and lectured about their history in the UK, going back over 100 years. There is much in their central archives in Basel of relevance to British business, architectural and social history. How much may we find in the records of Japanese businesses that have been so prominent in Britain in recent years? It would be a welcome development if, as a result of the ICA Symposium in Tokyo, contacts were developed with Japanese colleagues such as the Kao Corporation and Toyota Motor Corporation.

Chapter 12

The Introduction of the 'Assets' Concept and its Effect on Business Records Management in China

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April, 2012

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Lan Wang earned his PhD from the Renmin University of China in 2001 and is the Deputy Director of the Records Supervision Department, SAAC. He has more than 20 years experience in the field of business records administration. He was a member of the editorial board of the ICA journal *Janus* (later *Comma*) for about six years and is now a member of ICA/SBL.

State Archives Administration of China (China)

The State Archives Administration of China (SAAC), established in 1954, is in charge of archival work and records administration for the whole nation. The SAAC's work includes overall planning of archival work, drafting regulations on archival and records management, coordinating and overseeing the transferring of the records of government agencies to the archives, introducing unified systems and standards to be adopted, and supervising and guiding the records management of central government agencies and provincial archives administrations. There are several departments within the SAAC. The Supervision Department on Economic, Scientific and Technological Records is responsible for nation-wide supervision and direction of business records management in the fields of industry, enterprise, commerce, R & D, etc. Since the establishment of the socialist market economy system in China 20 years ago and the advent of information technology, the Department has focused on guiding business records management towards a goal of adapting to the market-oriented and IT-based approach, which emphasizes management effectiveness and efficiency; and overseeing electronic records management. The SAAC has recently adopted a professional standard, the Requirements of Business Records Management, which is the first to require overall consideration within an enterprise in regards to the management of its records.

Image 1 – Exterior of the Central Archives of China

The Introduction of the "Assets" Concept and its Effect on Business Records Management in China

Lan Wang
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State Archives Administration of China

1 Transformation of the Economic System and the Effects on Records Management

Since 1992, with China beginning to move from a planned economy to a market economy and a technical revolution, especially evident in the advent of IT, the archival and records management community in China began to rethink their professional development. This resulted in rapid change and the introduction of many new ideas.

For example, a private economy developed very quickly as more than 90% of enterprises in the country were privatized. Their output now accounts for more than half of the national GDP. Effectiveness and efficiency oriented reforms meant that, with the number of publicly-owned enterprises shrinking, the number of records managers decreased as well. On the other hand, foreign-funded and joint venture corporations brought about new approaches for Chinese business records management. Thus the principles, methods, and even scope of records management had to be adjusted to adapt to a rapidly-changing situation.

What follows is an overview of the evolution of: the basic cognition of the function and use of records, compliance requirements, and information technology over the past 50 years. The goal of this article is to demonstrate the changes in core concepts and the effects these changes have had on business records management in China.

1.1 Evolution of Basic Records Cognition

In the 1960s China began to regard records as necessary for research and production in the socialist construction due to their unique ability to document the course of research, development, and construction. The focus was placed on scientific and technical records management.

In the 1980s, in addition to the previous awareness of records, an awareness of records as resources of information developed in both library and archival sciences after Deng Xiaoping wrote about "tapping information resources and serving the course of modernization" in the Economic Reference Daily.

After 2000, when international consensus about the role of records as an asset was adapted into the ISO 15489 International Standard on Records Management, China began to regard information as an “essential productive factor” and an “intangible intellectual asset,” as stated in the “Suggestions on Tapping and Utilizing Information Resources” issued by the government in 2004. Archival and records management communities in China began applying the concept of “essential productive factors” and “intangible intellectual assets” to records, especially business records. Now it is widely believed that tangible business property must be documented, evidenced, and protected with records, while most intangible business property, i.e. intellectual property rights, are also believed to reside in and be represented by the records.

For example, during a business meeting, the director of a provincial branch of a famous bank is said to have said that records should be taken as seriously as cash and thus the construction of records repositories be as scrutinized as that of the coffers of a bank.

1.2 Compliance requirements

A second major event that affected business records management is the Enron & Anderson bankruptcy of 2001 and the resulting compliance requirements. These requirements were due to the court’s discovery that electronic documents had been willfully destroyed and resulted in the Sarbanes-Oxley Act (SOX) of 2002, which governs public companies in the United States. The requirements were made into amendments to the U.S. Code TITLE 18: Crimes and Criminal Procedure, PART I, CHAPTER 73, Section 1519 – Destruction, alteration, or falsification of records in Federal investigations and bankruptcy: “Whoever knowingly alters, destroys, mutilates, conceals, covers up, falsifies, or makes a false entry in any record… shall be fined under this title, imprisoned not more than 20 years, or both.” Section 1520 – Destruction of corporate audit records: “The Securities and Exchange Commission shall promulgate… such rules and regulations, as are reasonably necessary, relating to the retention of relevant records… (including electronic records) which are created, sent, or received in connection with an audit or review.”

Similar legislation to regulate listed companies was considered in China and in 2008 the Chinese Ministry of Finance, China Securities Regulatory Commission, National Audit Office, China Banking Regulatory Commission, and China Insurance Regulatory Commission jointly announced the Basic Rules for Internal Enterprise Control, also referred to as the “Chinese-SOX” or C-SOX. The Rules first required about 2000 companies listed on the Shanghai Stock Exchange, as well as other state-controlled entities, to embrace risk management, including records management. From 2009 onwards all listed Chinese companies were required to comply and make substantial changes to the way they controlled electronic information and managed records. For example, Article 32 of C-SOX requires enterprises to establish management systems, as well as records of property and goods, to safeguard business assets. Article 47 requires enterprises to document procedures of internal control and keep related records or materials to assist inspections by concerned agencies.

1.3 Information technology

A third event is the introduction and spread of information technology through all sectors of society and the widespread understanding of this technology. The management of electronic records has altered the way we carry out the obligation of documenting our actions for the future. The challenge of doing so is fundamental for the archival community, especially for business records management due to the role of enterprises as both the creators of IT products and pioneers in the competition of market demand.

Demand in the market economy, regulation compliance, and information technology are clear drivers for change within the evolution of ideas and concepts related to records management. The first two emphasize a variety of business records that document production, operation management, and sales, while the third emphasizes management change and new records – electronic records management.

This development led Chinese archivists and records managers to begin to explore and reevaluate records and their management based on compliance and the evolution of concepts. In addition they began:

- using the concept of records and archives as intellectual assets and resources or information to reconsider afresh the value of records, archives and the effective management of both;
- increasing the value of records by applying information technology;
- renewing workflow to emphasize management effectiveness and efficiency with new IT approaches;
- recognizing records management as an important base for corporate compliance;
- collecting business assets, property rights, contracts and agreements, certificates, and other records that, 20 years ago during the planned economy period, were not regarded as records but were seen instead as business materials and therefore kept by their creators.

In 1994, the SAAC adopted “Guidelines for the Evaluation of the Benefits of Tapping Information Resources from Scientific and Technical Records.” The Guidelines encourages business archives to realize the profits that can be gained through the use of scientific and technical records, particularly in regards to information gathering. This can further reduce losses through the timely provision of records evidence and references with precise timing.

Change and the renewal of ideas are what lead an endeavor, a fact that is constantly being proved since how far you can go is decided by how broad your field of vision and how deep your insight may be. For example, Kodak was listed 18th in the Top 500 Companies in 1989 but fell to 411 in 2004, 483 in 2005, and dropped off the list entirely in 2006 due to their neglect of the strength and potency of science and technology and their reliance on the legend of a large and famous company. Having paid for their obstinance on the capacity of the fledgling digital chip 20 years ago, Kodak has been transformed from a “film company” to a “camera company.”

The professional lesson to be learnt is absolutely clear: we must pursue and accept the new while maintaining archival and records management fundamentals in order to develop new approaches in electronic environments. As Dr. Larry E. Greiner, professor at the University of Southern California, said, however, “Management practices that work well in one phase may bring on a crisis in another.” In other words, a solution for one situation may often cause a different problem in new circumstances. This is similar to a Chinese proverb where stubborn individuals “nick their boat seeking a lost sword in the river.”

2 Exploration Based on New Concepts and Technology

Although changes to concepts arise through collaboration within the archival and records management community, the key issue is real action and the acknowledgement by others, especially those in leadership and higher managerial roles.

The responsibility and role of the SAAC is to help enterprises understand the function of records through management that is both effective and compliant with regulations. In December 2009, the SAAC published the Requirements of Business Records Management, standard DA/T 42 (see Appendix 1). The goal in doing so was to adapt to a changing situation, utilize experiences gained through our work on business records management, and also to replace older obsolete requirements. Compliance with the Standard is not mandatory but it does provide a good example for all enterprises wanting to optimize and consolidate their business management.

2.1 Standard DA/T 42 – Requirements of Business Records Management

The design of the Standard was based on 50 years of experience in business records management in China. Some systematic management principles (customer focus, leadership, involvement of people, process approach, system approach to management, continual improvement, factual approach to decision-making, and mutually beneficial supplier relationships) were borrowed from the ISO 9001 Quality Management Standard and the modern concept of records as assets came from the ISO 15489 Records Management Standard, which also outlines 13 benefits of good records management.

The Standard was the first example in China of a standard using systematic management and the concept of records as a business asset as the basic premise, in-line with modern management principles and the needs of business development. The Standard also included the following situational observations based on a rethinking of records management:

- Archival resources: “Assets” concept – to develop and deepen the understanding of records as a valuable resource of knowledge and business information.
- Institutional organization: Leadership first. The effect and results of any systematic work is decided by the leaders’ awareness and focus. Records management is systematic work that deals with almost all aspects of an enterprise.
- Staff accountability: Responsibility is held by all employees. Any systematic work needs the contribution of all staff to be able to succeed.
- Process approach: Focus on the creation of records. The product of records management is service, but quality input is a premise so the front end of records and data creation is key.
- Strategy direction: “Informationization” (new IT based approach) – comprehensive national strategy to direct electronic records management in an IT environment.
- Systematic method: Applies to all aspects of records management. Different from technical standards such as filing, classification and arrangement of records management the systematic method is the basic and fundamental guide for understanding and implementing the Standard.

These observations reflect the combination of the experience of Chinese records management in recent years with modern management ideas. They are also embedded in the chapters of the Standard. Compared to previous SAAC standards that usually dealt in detail with only one part of records management, the most outstanding aspect of the new standard is the systems, which not only focus on records management itself, but also on business leadership and the institution of records management.

The Standard’s main considerations and significances are the shifts:

- from a focus on records management itself to one on servicing the business;
- from an emphasis on individual standards and records management techniques to one on overall business structure and environment;
- from a focus on preservation to one on servicing corporate needs, such as assisting the evidence and information needs of businesses, added value, operation, production, maintenance, and management;
- from only dealing with paper records to including those based on information technology.

The Standard’s timeliness can be shown with two examples. One is that the Standard complies with government rules. In April of 2010, five government departments issued guidances implementing the rules: the Applying Guidance, the Assessing Guidance, and the Auditing Guidance for Enterprises Internal Controls. The guidances clearly require corporations to set up records management according to the Standard. For example, the Applying Guidance is divided into 18 chapters: organizational structure, development strategy, human resources, social accountability, corporate culture, capital investment, assets management, purchasing management, sales management, research and development, construction projects, credit business, business outsourcing, financial reporting, overall budgets, contract management, internal communication, and information systems. Some of these chapters clearly demand enterprises produce relevant records.

Article 27 of the Assessing Guidance requires enterprises to establish records management systems for internal control, assessing works to preserve relevant documentation, working drafts, and evidence.

Article 34 of the Auditing Guidance requires certified public accountants to compile working drafts and fully document auditing procedures.

The second example of the Standard’s timeliness is that it contributes to CSR. Although the draft of the ISO 26000 Guidance on Social Responsibility (2009-09-14 version) did not mention records requirements, its seven principles (accountability, transparency, ethical behavior, respect for stakeholder interests, respect for the rule of law, respect for international norms of behavior, and respect for human rights) all demonstrate the need for good records management to support, demonstrate, and prove that a company has observed the principles in governance and performance. Thus we can see that systematic records management also assists enterprises exercise CSR.

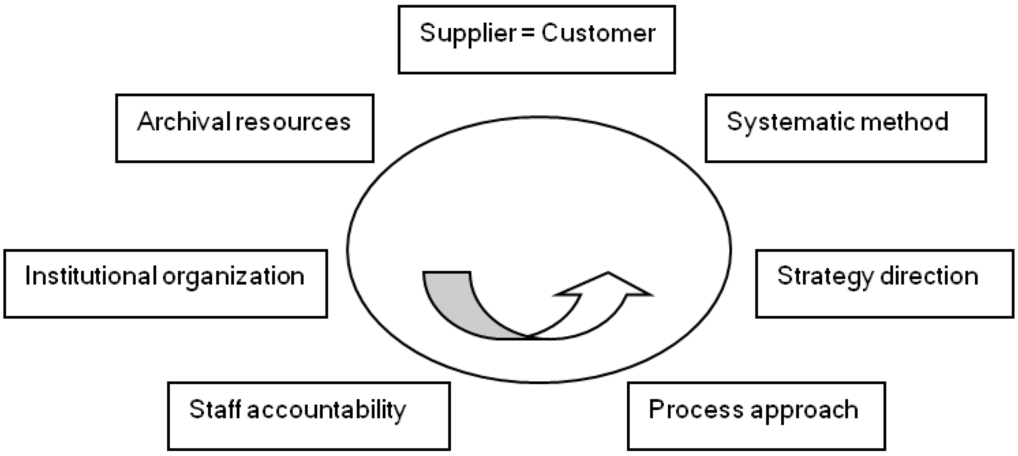
2.2 Promotion of the Standard

An important step in the implementation of the Standard is to promote and publicize it among enterprises where top leaders, managers, and staff are aware of and understand the significance of records management in consolidating the company's basic management and in sustaining development.

On the one hand, it is imperative to convince business leadership and managerial staff of the value of records by precipitating a change in core concepts and by presenting examples of benefits as well as other persuasive facts. We need to let them know that good records management benefits leadership, staff, and the business as whole and not just individual records managers.

- Business records are not only an account of what companies have done, but are also business assets, provide evidence of performance and accountability, and form a basic support for business compliance and sustainable development.
- With the advent of IT, the archival and records management community needs to meet the challenge of electronic records to survive in the new electronic environment.
- A quality management approach means leadership and overall awareness of and responsibility for document accumulation and archiving.
- Compliance and internal control means that enterprises must abide by the law and keep records showing their operation accountability.
- Establishment of a market economy requires effective and efficient compilation of records as a source of information and business assets.
- The Standard includes requirements not only for records management, but also for leadership and staff, who are the ones who send documents to the records office.

On the other hand, however, the roles of business leadership and managerial staff in records management need to be clarified. By comparing the concepts and principles of ISO 9001 and DA/T 42 we can see that while the former is linear, that is the supplier and customer never meet nor are they related, the latter is circular (see diagram below), and the supplier and customer of records management are in fact the same body. If you and your department or project do not archive the documents you should, then you and your successors will not enjoy information services effective in satisfying your needs. That is to say, the information or evidence you want to gain from the records is also, or even, is firstly the responsibility you have to fulfill by filing and transferring to the business records office documents you created and received. So, when implementing the Standard, we need all



The idea and principles of DA/T 42**:** the supplier is also the customer of records management and shares the same fundamental interests

leadership and staff to understand the benefits of strict adherence to the Standard and also to know that it is their responsibility to do so.

Last year the SAAC held two meetings on disseminating and implementing the Standard, one for provincial records administrations and the other for central state-owned enterprise groups. The former are responsible for guiding local enterprises to carry out the Standard while the latter are responsible for the same to affiliated enterprises scattered around the country. The Standard’s implementation will be the major task for all enterprises in China over the next five years.

3 Examples of Business Records Management

Based on new ideas, information technology and new situations, records managers in many enterprises in China have endeavored to meet varied challenges and developed strategies in such activities and areas as service, archival informationization, integration of documents and records management, evaluation of records management, models for modern enterprise systems, PDM, ERP database archiving, and others.

The consensus on the managerial value of records in many enterprises is that, with good management, records contribute to business information, knowledge and assets, and can offer the enterprise value and profit.

3.1 Comprehensive Archival and Records Service

The Chongqing Iron and Steel Group (CISG is an enterprise that has 120 plus years of history. Their archival and records management have been subject to the vicissitudes of time but through the efforts and achievements of records management initiatives appreciated by all sectors of the CISG over the past few years, they realized that service is the never-ending theme for archival and records management. But how is the value of their records service to be felt and shared by all staff of the company? The archives of CISG discussed the issue and concluded that:

- Records are not a dead past but have been accumulated as business assets and resources of information that can be tapped for the benefit of the company.
- Effective records management also creates economic and social benefits both in terms of money and effects.
- A transformation is needed from traditional passive acceptance of documents and provision of access to a new entrepreneurial and active participation in the market and creation of market needs.
- Creative records management usually creates internal customers that support the business and, in turn, create external customers and markets.

In practice, CISG is proactive in records creation and believes that records management should be improved and perfected according to the method of production. In addition, they hold that the belief "making archives is like a factory providing information service products" should guide the renovation of the working process.

CISG set up such platforms as a historical research center, a family records club, photographers' networks, a mobile records service vehicle, an industrial relics office, and a digital archives service to respond to the need for or interest in records management and products.

Under the guidance of the new idea of "records service as a product," CISG elaborated upon the service procedure with the goal of "discovering needs, accepting requests, producing, and improving." This procedure has been applied to all of CISG's activities to satisfy information needs with records service products. In some cases the records service products have even been branded or gained influence by being published in series. (See Appendix 2 for a list of archival products)

Now the archives has transformed from preserving, safeguarding, and keeping value to utilizing, sharing, and adding value under the guidelines of "improving the grade of service, creating service features, and presenting a service brand.")

3.2 Records Based Knowledge Management

Creative management also creates value for and delivers value to different staff in similar situations. Records managers who advocate for innovation will not be satisfied by simply providing the records they have received and collected. They must try to not only gather but also digest records to promote appreciation for the business because, being regarded as assets, records must garner profits. With advanced IT capacity and convenience, some business records managers have begun to explore new ways to utilize records by tapping and extracting data from archival resource assets.

COSCO Bulk Carrier Co., LTD. is an example of a company that makes use of records for profits and the benefit of the company. The company provides shipping services and has more than 50 years of business records. With the help of IT they digitized all their records and have developed software to analyze the data and make diagrams and dynamic charts based on historical deals and contracts in the records.

They ship a wide range of items including iron and steel, coal and charcoal, cement, fodder, chemical fertilizers, minerals, grains and oil, textiles, equipment, etc. Each of those categories includes a wide variety of items as well, for example within grains are corn, beans, rice, and wheat. Business records include information about trade such as the delivery of different cargo, shipping lines, regions, countries, dates, and seasons. Once the records have been digitized and all kinds of data gathered from the records by Optical Character Recognition (OCR) software, the application can display business history on demand, showing cargo categories, shipping lines, historical data and prices, as well as calculated trends. The application was widely applauded by all staff who interact with clients about freight rates on a daily basis. The reference chart for historical deals is very convenient for sales managers who handle regular international shipping as it assists them to negotiate and bargain freight rates.

Besides records service, they surpass the professional records limitation and actively collect shipping-related information and data or materials from outside to set up a database for business reference. Records managers also ask staff for specific archival information, i.e. a certain topic, trend, data collection, date or season, statistic, report, or contract in the records, which is called “creating records needs.”

Outreach consolidates the records based knowledge platform with abundant messages, data, and information, which was previously managed by a different section. For COSCO now the first step in any business deal is to consult the records based knowledge platform to make the best bargain in an effective and efficient way, which results in an increase in profit and added value for the company just by taking advantage of potential, intangible, and intellectual assets, that is records, databases, and other information.

3.3 In-depth Exploration of Data Archiving

A lot of structured and non-structured data is produced in the course of business activities. In theory it should be treated as records but often this is not the case because of inadequacies in terms of the IT skills of business archives management. Thus structured data is generally treated as databases while non-structured data is treated as electronic records when they are being set aside. Whether data and databases, such as ERP (Enterprise Resource Planning), PDM (Product Data Management), SCM (Supply Chain Management), and CRM (Customer Relationship Management), should be considered to be records or not has been a subject of discussion between IT managers and records mangers for a long time.

Although a lot of Chinese enterprises developed or purchased and adopted records management applications, few of the applications deal with database archiving. There is, however, an institute that has attempted an in-depth exploration of data, specifically structured data, as a management approach since it introduced a PDM application.

In adapting PDM application processes for local use, the institute set up a task force and established five groups: System Integration, Workflow Optimization, Data and Documentation, Standards Planning, and CAPP (Computer Aided Process Planning). The Data and Documentation group is responsible for electronic documents, digitization of records, data and document security control planning, and document server maintenance and backup.

As the core of the Data and Documentation group, the business archives' responsibilities are:

- Discussing implementation: deciding on the role of the records manager in the PDM system;
- Discussing the rights held by all members to assess data and documents in the system;
- Drawing up regulations and standards for the duties of all members;
- Collecting, processing, and sorting data;
- Taking part in the integration and disposition of CAD with PDM to support the upload of data;
- Taking part in the implementation of training for the operation of the PDM system.

Changing times mean that what you learnt when you came in is almost always not what you teach others when you leave. In other words, those retiring in a decade or so will not have to teach newcomers to the profession about their achievements or pass along their knowledge of paper-based records management as the next generation will be faced with a new approach and methods to manage electronic records.

In 2011 the archival and records management community held “management and service innovation activities” throughout the country to collect and share noteworthy examples of archival and records management, including those from enterprises. The goal in doing so was to encourage the profession forward into a new era by demonstrating the exciting innovation and creation in business records management.

Finally, some enlightened thinking from Peter F. Drucker, who is widely credited with creating management as a formal discipline by publishing *The Practice of Management* in 1954.

We should remember and give thanks to Drucker for his saying that “The man who focuses on contribution and who takes responsibility for results, no matter how junior, is in the most literal sense of the phrase, ‘top management.’” That means that records managers, although they are not within the main sector of the enterprise, should consider themselves top management and, provided they do their best and think ahead, they should have confidence and self esteem.

Encouragement also comes from the three stonecutters’ metaphor presented by Peter Drucker to depict the three types of workers:

1. “I am earning a living”
2. “I am being the best stonecutter I can be”
3. “I am creating a cathedral”

The stonecutters have different objectives in mind although they are doing the same job. Drucker said only the third is a true manager who thinks about all while doing a part in detail. Using this model we can imagine three records managers:

1. “I am reluctant to be a document collector”
2. “I am skilled and understand technically every part of my work”
3. “I am administrating information, knowledge, and historical treasures that are essential to the running of the business”

So in a managerial sense, true records management obviously means that one must think beyond the current situation to be a real and qualified manager.

Appendix 1: The Requirement of Business Records Management (briefing of DA/T 42-2009)

1 Scope: large and medium sized business in industry, other trades for reference

2 17 normative standards (professional, national, and international) plus 5 regulations from governmental agencies.

3 Terms and definitions

- 3.1 Business records
- 3.2 Business records management
- 3.3 Electronic records
- 3.4 Informationization

4 General provisions

- 4.1 Properties and function of records: records are assets and a source of business knowledge and information making records management the basic management of a corporation
- 4.2 Management system: unified leadership, administration, regulations, and standards of records management based on links to the business' assets
- 4.3 Duties and objectives: provide records management and services to meet the company's operational needs for evidence, information, and responsibility
- 4.4 Management responsibility: compliance with laws, keeping records with integrity, accuracy, systematic approach, and safety

5 Establishment of an institution (managing business records)

- 5.1 Systems: leadership (embodying the Quality Management System principle two); administrative setup; personnel allocation; managerial networks
- 5.2 Corporate obligations: compliance at company level (leadership, regulation of records creation and filing, necessary measurements, rewards, and punishment)
- 5.3 Department and branch duties: department head, document creator, records manager (QMS principles one and eight)
- 5.4 Records management section: plans, direction, management, preservation (business archives)
- 5.5 Requirements for records managers: morality, educational background, professional knowledge, continuous training

6 Construction of rules and regulations (for business records management)

- 6.1 Corporate rules and regulations: deal with everyone (QMS principle three)
- 6.2 Administration and management: scope of document filing, time, responsibility, destruction, statistics, security, facility, application and use, etc. (QMS principle five)
- 6.3 Professional and technical requirements: operational level requirements for records managers such as classification, arrangement, appraisal, preservation etc.

7 Records Management (details of requirements and instructions on administration of business records, such as: records management and business activities, document accumulation, classification, filing, arrangement, records accession, preservation, appraisal, disposition, access, statistics etc.) (QMS principle four)

8 Informationization (requirements for electronic records management on principles, archival capturing, digitization, retention and preservation, network services, and applications) (QMS principle six)

9 Facilities and resources (repository facilities, processes, technology, preservation, and display of equipment and IT appliances

Appendix: reference example of a scope and retention schedule for general business records

Appendix 2: CISG Archives Archival Product List (Partial):

CISG annuals
CISG records management journal
Chronicles of leadership events
Blue working papers
CISG leadership business activity albums
Commemorative album on business activities
Public relations gifts
Specific case studies
Decision making references
Urgent information
Special data collection on steel plates
Streamlined retrieval service
Stories and anecdotes about the enterprise
Specialty documentaries
Recording service for key projects and events
Directions for records arrangement
Experienced integration of working teams and groups
Models and examples
Compilations of excellent investigative and survey reports
Compilations of working documents
Project logbooks
Corporate governance maxims
Special CISG records
Selection of rules and regulations
ROI (return of investment) analysis
CISG Centenary
History of CISG
CISG celebrities
Today’s events in history
CISG statistics materials
Selection of effective results utilizing the records
Safety production manual
Copies of records certificates
Transcriptions of the Chinese classics: *The Romance of the Three Kingdoms* and *A Dream in Red Mansions* (The Story of the Stone) done cooperatively by one hundred people
Models of family records files
Etc..

Name Index

The Name Index includes the names of people, places, companies, brands, organizations, institutions, and others. For general terms and concepts see the Main Index.

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Main Index

The Main Index contains general terms and concepts. For the names of people, places, companies, brands, organizations, institutions, and others see the Name Index.

Organization of the Main Index
Due to the differing circumstances of and vocabulary used in the various countries represented by this volume, multiple terms for similar concepts exist and have been preserved in the index as used by individual authors. For example, although the volume's title refers to "business archives," individual authors have also referred to "corporate archives" and "company archives," and all three terms appear separately (under the heading of "archives") in the index.

Some terms listed in the general index do not appear individually, but are instead clustered under a larger term. For example, current, electronic, and other types of records are all listed under the heading "records." Also, the various types of value that archives or records can provide, such as business, legal, or managerial, are listed under the heading "value (of archives/records)."

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ARCHIVES

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