

Corporate records and Archives, with a focus on Company histories

Yano Masataka

和文要旨

本稿は、2011年3月31日、ハワイ・コンベンションセンターで開催された、アジア研究学会 Association for Asian Studies (AAS)と国際アジア研究者会議 International Convention of Asia Scholars (ICAS) 共催の年次大会における社史グループ *Shashi Interest Group* セッションで、「企業資料とアーカイブズ」と題して口頭発表した内容に、加筆修正を施したものである。以下、和文の概略を付して参考に供する。

1. アーカイブズ資料を概観する場合、一般には公文書・私文書という区分がなされる。しかし、公文書とは国や地方自治体の行政に関わる文書であり、一方、私文書は私人名義で作成される文書を中心とするものであって、この区分では、企業資料のような民間の団体資料は位置づけ難い。一案として、この「公」を **public** の意味でより広義に捉え、これを「官」と「民」からなるものであると考えれば、企業資料も、公的な文書に含まれるものとして位置づけることが可能であろう。これは、企業資料を公共財産と見なす視点を得るためにも有効であると思われる。
企業資料の機能区分には様々な試案が提示されてきたが、文書の作成者・受信者が組織内の者であるか外部の者であるかが、一つのポイントとなる。本報告ではこれをさらに単純化し、文書作成者が想定する受信者の範囲という座標軸を設定した。例えば東京大学経済学部が所蔵する山一証券資料の場合、社史や営業報告書のように受信者を全く限定しないものから、会議の議事録や業務資料のように様々なレベルで限定しているものまで、多様であり、その度合いは当該資料の機能だけでなく、物的形態とも密接な関係を有する。
2. 上記のようにレベル分けした場合、より希少価値があり且つ保存が困難なものは、もちろん、受信者がより限定されたタイプの資料である。アーカイブズという言葉は資料そのものを指すとともに、資料の収蔵施設のことも含意するが、この資料収蔵施設は、資料作成現場と同一組織内にある「組織アーカイブズ」と、作成現場とは別組織の「収集アーカイブズ」の二つに区分できる。両者ともに、取り扱うのは非現用文書であるが、前者では、資料は現用-半現用-非現用のライフサイクルに組み込まれているのに対し、後者では、現用文書とは切り離されたものとして取り扱われることになる。これに伴い、両者における資料の管理や外部からのアクセス方法は、全く異なったものとなる。
3. この「収集アーカイブズ」の一例として、東京大学経済学部資料室を紹介する。資料室は東京大学経済学図書館の一部門として、古典籍や文書類、博物資料といった

特殊な資料を扱うが、その大きな部分をアーカイブズ資料が占める。図書館全体にある企業資料のうち、社史や調査資料といった、受信者が限定されないタイプの資料は、図書部門が管理するのに対し、資料室では、受信者が限定されるタイプの一次資料類を管理する。これは、資料の形態や内容による分掌区分であり、両方で収集方法、整理方法、アクセス方法が異なる。資料室が担当する、受信者が限定されるタイプの資料は本来非公開のものであり、もともと外部からの計画的収集には馴染まない。しかし「組織アーカイブズ」は所属する企業の浮沈に影響されがちである上、一般に、資料を公的な遺産として遺すという意識は希薄である。したがって、このような第三者的な「収集アーカイブズ」の存在は、非常に重要な意味を持つと思われる。

The theme for my presentation is "corporate records and archives". However, the terms "corporate records" and "archives" both have various meanings. So I will try to show how these words are used, and explore the relationship between "corporate records" and "archives". Before I begin, let me share with you the overview of today's presentation.

First, I will categorize corporate records according to their functions. Based on these categories, I will then explain the roles of two different kinds of archives, which are "Institutional archives" and "Collecting archives". Finally, I will introduce our collections and the activities of my office at the University of Tokyo.

While my work is in "Collecting archives", I'm not affiliated with any specific company. From this standpoint, I would like to discuss the actual situations and the potential of preserving corporate records.

1. Categories of “corporate records”

1.1. Definition

Kokaze Hidemasa once defined "corporate

records" as "the total substance created and accumulated by the corporate activities of a company". [小風2003: 73] This means "corporate records" would include not only documents, but also other materials like commercial products. Further, these would not only be generated internally, but also collected from outside the company. This definition may sound very broad, but let me use this as a starting point.

What is the social role of "corporate records"? Making profits is the main objective of corporate activity, but public interest also plays an important part for any company's long term profit. Corporate Social Responsibility or CSR is now an indispensable element of any corporate activity.

Among all kinds of corporate records, today I am going to focus on documents, information or data fixed in some form of media that are created by the company itself. These will always have public and private characteristics, more or less, and cannot be classified as one or the other. We do not consider them to be public document or "Kobun sho", in Japanese. The Japanese term "Kobunsho" generally means official documents from

government agencies. On the other hand, private document, or "Shibunsho" in Japanese, is a term for documents that are created by a private citizen.

Thus, corporate documents are regarded as neither public documents nor private documents, but have the characteristics of both.

In this context, instead of trying to force documents into "public" or "private" classifications, I believe a solution can be found in considering the "public" domain to be broader and encompassing both the "official" and "private" sectors. Importantly, this allows us to look at corporate entities which belong to the private sector as having a public role. If we extend this logic, we can see that the "corporate records" becomes one of the public properties.

The massive influence that corporate activities have in both economic and cultural aspects of the society is obvious. Therefore, it is by no means an exaggeration to say that the corporate records are "a national heritage which chronicles the social and economic progress of Japan". [松崎 2005]

1.2. Characteristics of "corporate records"

"Corporate records" can be divided into categories according to their creation process and

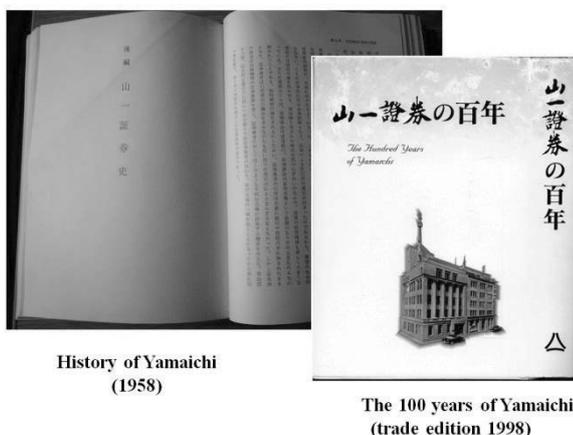


Fig. 1

their functions. Let me now walk you through various kinds of corporate records.

These are the corporate records of Yamaichi Securities Company Limited, (a securities firm) that went into bankruptcy in 1997. (Figure 1)

This company history book, "Yamaichi-shoken shi", was published at their 60th corporate anniversary in 1958. About 40 years later, during the 1990's Yamaichi was about to publish a newly edited company history for their 100th anniversary. However, due to their bankruptcy in 1997, work on the company history was also terminated. This book is the trade edition, not the main volume, published in 1998.¹

"The Yamaichi Securities chronicle" is the periodical survey material that was provided to clients as a part of Yamaichi's client services. (Figure 2) Yamaichi had always been well-known for their aggressive research activities and research services. [高島 2009: 50-51]

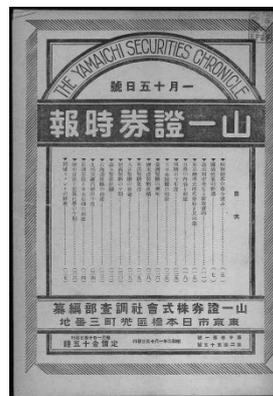


Fig. 2. The Yamaichi Securities chronicle

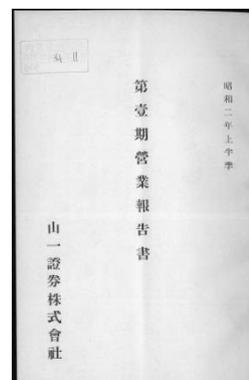


Fig. 3. Yamaichi's first Annual report

The "Annual report" is the report of corporate activities to their investors, issued every accounting period. (Figure 3) The name of the annual report in Japanese was changed from "Eigyohokokusho" to "Jigyo hokokusho" in 2006 with the enforcement of the Companies Act.

These materials are rarely found in regular

bookstores, but it was always assumed that these would have been basically made open and available to anyone.



Fig. 4. Draft manuscript of *Shashi* (1958)

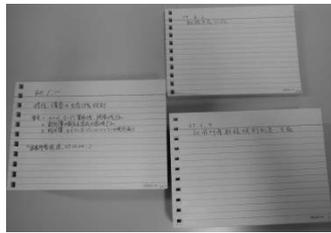


Fig. 5. Data cards for editing *Shashi* (1958)

On the other hand, the internal records like Figure 4, 5 were never intended to be made available to the general public. For example, this manuscript and these cards are from the editing process of their 60th anniversary company history book. By checking the revision points, we might see how they viewed themselves and what they considered to be critical at that time.



Fig. 6. Yamabiko-shimbun



Fig. 7. Gyomu-nippo

The "Yamabiko-shimbun" is an in-house news-letter. (Figure 6) Among all the corporate records of Yamaichi, this seems to have had the most condensed information with the broadest readership among Yamaichi's organization. However, again, this was never intended for external, non-Yamaichi readers. "Gyomu-nippo" is a daily report of each

division in the company. (Figure 7)

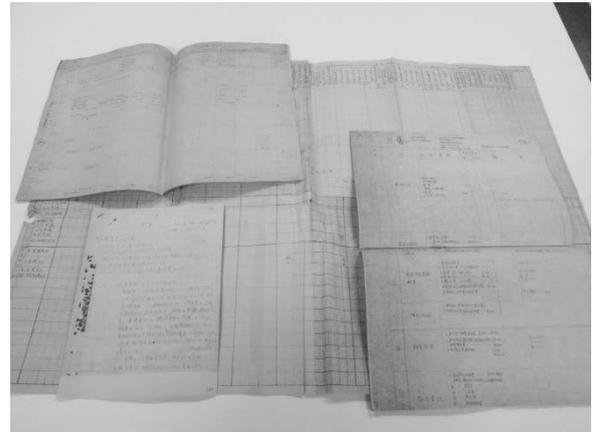


Fig. 8. Materials for reorganizing Yamaichi 1965-

Yamaichi almost went bankrupt due to the "Security crisis of 1965". At that time Yamaichi was rescued by a special loan from the Bank of Japan. [橋本 2011] These materials (Figure 8) show what the process looked like in the field.

In order to appreciate the whole collection, we can refer to the analyses by Kokaze, Kawashima and others. Kokaze divided corpo -rate records into 4 categories based on function; "management", "field", "research" and "external". [小風 2003: 80-81] Kawashima's analyses delineated the process of developing documents for business in steps, such as "survey", "choice", "inter -transmit", "outer-transmit", etc. [河島 1989: 7]

I will not go into detail about theories themselves, but I want to draw your attention to the fact that many of them stress the difference between "internal" and "external". The character of a document is driven by whether the developer and the recipient of the document are internal members or external to the organization. While touching on these studies, today I would like to propose a new perspective, based on the range of the reader or the user which a record primarily targets.

All documents that I have so far shown are

"corporate documents" in the broad sense, since they were created and accumulated by a certain company. However, there is a clear difference in characteristics. The records which I showed on the Figures 1 - 3 were basically open to everyone, on the other hand, the materials on the Figures 4 - 8 are limited to members of the corporate organization. Even among internal records, the degree of disclosure varies by its contents. Of course, being limited or restricted does not always make a record important. Here I will not venture into the matter of contents.

Range of Target recipient	Example from Yamaichi Records	Types of Materials
Wide	Company history Survey materials Annual reports, etc.	Materials in the Library (gray literature)
Narrow	In-house newsletters Manuscripts of <i>Shashi</i> Reports from Business divisions Meeting materials, etc.	Materials in the Archives

Table 1. Target recipient and Types of materials

While I understand that you are more interested in the internal documents, the preservation of these internal documents is considered to be problematic. Open records could be deposited in the libraries or archives outside the company, but rarely do we know how internal records are treated to begin with.

This difference almost corresponds to the difference between records held in libraries and records held in archives. As I mentioned earlier, in the context of the range of target readers, records deposited in archives are primarily created for limited readers. The gray literature shares characteristics with both - they are open to everyone, but

are not always easily available in general book-stores.

1.3. Functions of "Generation of records" "Collecting of records"

For organizing and managing such internal records, the "Record continuum theory" was recently created in the field of archival science. Today I will not endeavor into theoretical aspects, but will go into more tangible, concrete issues that we face in creating and receiving records.

Kawashima wrote that the core accomplishment for businessmen is the business activity itself, and not the generation of records. All records such as notifications, reports, reference materials, etc. are just one aspect of the business activity. At the same time, however, we can not expect records to be generated through every single business activity. [河島 1989: 17] This is true not only for business enterprises, but for any organization. An institute will generate records through their activities, not for the sake of creating records, but as a necessity for a certain operation. In fact, this is also true for an archival organization.

In order to have a record, as a testimony of activities, be structured into the life-cycle of records such as "active", "half-active" and "in-active", it is critical to establish a function whose key role is to oversee the collecting of records. The responsibility of this function will differ from the actual, on-the-grounds role of creating or receiving materials, and may not necessarily be owned by a separate group, but the necessity of the function does exist.

The generation of records and the collection of records - there are two types of archives, according

to whether the two functions are in the same corporate organization or not.

2. Roles of two different kinds of archives, "Institutional archives", "Collecting archives"

Matsuzaki Yuko once wrote that between "Institutional archives" and "Collecting archives", the concept of access differs. [松崎 2008: 154] That is to say that the "Institutional archives" limits the use of records rigidly in comparison to "Collecting archives". In terms of the characteristics of these two archives, this is a very important point, not only in the aspect of access. Many also mention this point in reference to the preservation of records in archives. [グリーン 2008][太田 2009]

For example, the corporate records collected by the Resources and Historical Collections Office, which I belong to at the University of Tokyo, is accessible to anyone. However, currently this office does not have the function of collecting records of its own activities. One day, we may come to own that function. In that case, when my office has to manage internal records, the management and access procedures of the internal records would differ from the other records collected from external organizations. This is the key difference between "Institutional archives" and "Collecting archives".

These two different archives both treat "non-active" records. But for "Institutional archives", collecting the same internal records of the same institute, it is regarded in a life cycle of "active", "half-active" and "inactive". On the other hand, for "Collecting archives", receiving the records of the other institutes, it does not have any relation to the life cycle.

3. Collections and activities of the Library of Economics, The University of Tokyo

3.1. Organizational Structure and Roles of the Library of Economics

As a case study, let me now explain to you how the Resources and Historical Collections Office at the University of Tokyo handles corporate records. As background, our office works not only with corporate records, but also with the records of government offices and various unions. These three groups of records form the resources for studying the Japanese economy on an evidence based approach.

The Library of Economics, which is composed of the Library section and the Resources and Historical Collections Office, both belong to the Faculty of Economics of the University of Tokyo. The Library Section collects academic books that are in regular distribution. On the other hand, the Resources and Historical Collections Office has collected corporate annual reports since 1913, and then gradually widened the scope of its collection to include gray literature like corporate survey reports, white books and statistics of government agencies, and union records. Of course, in principle they are basically open resources. However, in our long history, some records which were originally intended to be more or less internal have come into the collection.

Actually, in conjunction to a relocation, the function of the Resources and Historical Collections Office changed in 2009. Most part of the management of gray literatures which were collected by the Collections Office was transferred to the Library Section, and the Collections Office became

a specialized section for resources such as various non-public, internal records, historical documents from the Edo period and earlier, antique books, and other materials such as old coins and bills.

Library of Economics	
Library Section	Resources and Historical Collections Office
~2008	Academic Books Antique Books Gray Literature (corporate, government agencies, unions) Non-public, internal records
	↓
2009~	Academic Books Gray Literature (corporate, government agencies, unions) Non-public, internal records Historical documents from the Edo period and earlier Antique Books Old coins and bills

Fig. 4. The Library of Economics – Organizational Structure and Roles

Said another way, among the whole collection of the Library of Economics, roughly speaking, my office manages all the rare books, and resources which were originally intended for a limited audience. Therefore, the way to use these resources would differ from the Library Section as well. Reservations are necessary, and materials can not be checked out.



Fig. 9. History of Japan Iron & Steel



Fig. 10. Draft manuscript of the Shashi

Let me now explain with an actual material from the Collections Office. These are the records of Japan Iron & Steel Co., Ltd (Nihon Seitetsu), currently the Nippon Steel Corporation (Shin Nippon Seitetsu).

Figure 9 shows the corporate history, “History of Japan Iron & Steel Co., Ltd”, published in 1959. Figure 10 is draft manuscript, written and checked by relevant people, which ultimately form the history book. These materials showcase the creation process of a corporate history book.



Fig.11. Records collected by Nomoto Tokuichi

The Nomoto Collection (Fig.11) consists of the original records collected by Nomoto Tokuichi when the corporate history was edited. He was one of the directors of Japan Iron & Steel Co., Ltd, an administration officer, and one of the main editors of the *Shashi*. This collection was purchased from a used books store in the 1970s.

3.2. Key factors in managing archives

The published corporate history/*Shashi* is at the hands of the Library Section, while the draft manuscripts and the Nomoto Collection are managed by the Resources and Historical Collections Office. Let me now show you the advantages of having a specialized organization manage such records.

First, ordinary book-type records usually serve a purpose alone; in other words, we can understand the meaning of the book just by itself. However, in the case of a record which would be archived by

the Historical Collections Office, one could probably not understand it without grasping the context of the development and the receiving of the record, because these records were not created for the general public but for the limited receiver. We already know this fact as the “Theory of keeping original order of materials” in the field of archival science.

Further, these types of materials have to be handled with special care, because they are often haphazardly bound into one volume or stuffed into a box. Again, this is in stark contrast to complete publications.

Second, in terms of the contents of these materials, there is always the possibility that the records include information which should not be made public such as personal information. Sometimes, the donors request the user to be limited, thus individualized management of materials is necessary.

Third, because the number of readers is limited in the first place, the number of copies is also limited. That is to say, these records must be handled as rare items and be taken care of in accordance with the nature of the materials, such as deteriorated acid paper, or as diazo printings, in which contained information is likely to disappear with aging, etc.

Although the current born-digital records are a different situation, materials from as recent as the end of the 20th century are mainly in paper form, so we are required to be deliberate in conserving each rare material. For these reasons, preservation of materials is one of the most important roles of the Resources and Historical Collections Office. This role is applied not only to the rare materials of the

Collections Office, but to all materials of the Library of Economics.

At the same time, the Yamaichi Collection and the Nomoto Collection are now duplicated into microfilms. Access to the original records had to be limited, but microfilm records were developed to grant access to the general public, despite both forms sharing the same contents. Thus the microfilm records are managed by the Library Section. If alternative such as microform or digital data has been made, original materials are not to be used without special reason.

3.3. Acquisition Routes

In my last section, let me quickly show you how records reach the Library and the Collections Office.

For corporate histories and any kind of research reports, we can acquire them through purchases or making direct requests to that company. Access to this type of materials is open to anyone.

Having said that, what you are probably most interested in is how internal records are collected by external institutes. In our case, the acquisition routes can be summarized into two categories.

The first route is when records collected and held by individuals make their way to us when the collectors' retire or pass away. The Nomoto Collection was sold to us through a used books store. The records of Sasebo Jukogyo, Sasebo Heavy Industries Co., Ltd. were directly donated to us from the son of the collector, Yoshida Tsutomu, who worked for the company. [森 2002] Documents of Ishikawa Ichiro, who was the first president of Keidanren (Japan Business Federation), was initially held by the Keidanren

after his death, and then found its way to us. [武田 2001] And then there are the cases when a professor and a member of the faculty at the university donates to the Library, such as the records of Bank of Japan once held by Professor Tsuchiya Takao. [富善 2004]

The second route is when a corporate entity has new management through M&As, bankruptcies or other reasons. Records accumulated by the original company may often be reorganized by will or by choice. Under such a situation, we have the opportunity to receive a company's innermost records. Records of the Yokohama Specie Bank, Ltd., came to us in the process of restructuring old records by the subsequent management, The Bank of Tokyo, Ltd., which is now the Bank of Tokyo-Mitsubishi UFJ, Ltd. [武田 2003] In the case of the Yamaichi securities records, Professor Ito Masanao who edited the 100 year memorial corporate history offered to donate the records when Yamaichi went into bankruptcy. [伊藤 2008]

In either way, it is not assertive "collecting" but rather passive "waiting" to receive records. We cannot anticipate the source, contents or the quantity of the records which we will receive. The second route which I just explained is now becoming a little more robust because of the recent recession. In other words, our collection is highly influenced by the contemporary environment.

Thus, it is critical that we are ready to receive collections even if the offer is a sudden one.

Now Today's presentation can be summarized as this.

First, corporate records can be categorized by the range of the target reader. The fewer the number

of readers, the fewer the number of copies.

Next, archives can be broadly categorized into two, as "Institutional archives" and "Collecting archives". The basic function expected in an archive is to collect records of the institute itself; thus, "Collecting archives" may actually be complementing "Institutional archives". The issue that institutional archives face is that the institutional activity is more important than the records generated by the activity. On the other hand, "Collecting archives" outside of the institute does not face this issue. Furthermore, it does not have direct relation to the business condition of the institute itself. That is the advantage which "Collecting archives" have.

However, the downside is that "Collecting archives" cannot plan nor anticipate the collection of records, except for open resources. In principle, they cannot intentionally collect internal records. Therefore, they can only wait for offers and are heavily influenced by chance. By design, this is the weakness of collecting archives. Further, in the case of large scale collections, spatial capacity comes into play. For example, when we received books collected by the Mitsubishi Economic Research Institute, and the Bank of Tokyo, etc., we compartmentalized these books and re-categorized them based on our own classification. So the original collection form is only known as a virtual collection by OPAC data, which shows it as "The Mitsubishi Economic Research Institute collection", "The Bank of Tokyo collection".²

I have tried to provide a snapshot of the difficulties we face in preserving records, in relation to the records themselves and to the

archives. There are many issues, but it is important to understand what the current situation is like.

I hope this presentation will help you in your activities.

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(矢野正隆: Project Research Associate, Graduate School of Economics, the University of Tokyo)

¹ 『100年史』は、その後各方面での調整を経て、2011年10月に日本経営史研究所より刊行された[粕谷ほか 2011]。

² 東京大学 OPAC 詳細画面の文庫区分「三菱本 The Mitsubishi Economic Research Institute collection」「東銀本 The Bank of Tokyo collection」で全容を把握することができる。https://opac.dl.itc.u-tokyo.ac.jp/opac/opac_search.cgi