

2008-1

KUALA LUMPUR 2008 CONGRESS

## Governance, development and strategic alliances

CONGRÈS 2008 KUALA LUMPUR

## Gouvernance, développement et alliances stratégiques





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**Governance, development**  
**and strategic alliances**

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# Introduction

## **Dato' Haji Sidek bin Haji Jamil**

Director General, National Archives of Malaysia

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It was a great pleasure and special honour for the National Archives of Malaysia to be able to welcome archivists and information professionals from throughout the world to Kuala Lumpur on the occasion of the 16<sup>th</sup> International Congress on Archives from 21<sup>st</sup> to 27 July 2008. It was indeed an honour and boost to Malaysia that an event so meaningful and prestigious was hosted in this region. The Congress managed to attract 1164 delegates from 139 countries (the highest number of countries attending in the history of the Congress)

Archives have always been neglected in many countries; however, this field has far-reaching impact in almost every aspect of life. The theme for the 2008 Congress, "Archives, Governance and Development: Mapping Future Society" was definitely timely and suitable for all economies and undoubtedly helped to enhance global networking and sharing of resources and knowledge for the common good and the global betterment of mankind.

The successful Congress was able to bring together many distinguished speakers from all over the world and indeed became an effective and relevant platform for discussions on various issues, trends and development related to the themes of the Congress. A total of 480 papers were presented by 325 speakers in 222 sessions

(169 seminar sessions and 53 workshops).

A selection of papers from the Congress is being published in two special volumes of *Comma*. This first volume contains presentations given under the theme of Governance. It brings you 18 excellent presentations by experts who addressed their local experiences of good governance through good records keeping.

I would like to take this opportunity to thank the International Council on Archives for the trust and all others who have helped and contributed directly or indirectly in making the Congress a fruitful and memorable one and the *Comma* Editorial Board for the excellent job done in publishing and distributing the proceedings of the Congress.

To all colleagues and friends, enjoy your reading and do visit us again.





# Introduction

## **Dato' Haji Sidek bin Haji Jamil**

Directeur général, Archives nationales de Malaisie

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Cela a été un grand plaisir et un honneur tout particulier pour les Archives nationales de Malaisie de pouvoir accueillir les archivistes et les professionnels de l'information du monde entier à Kuala Lumpur, à l'occasion du 16<sup>e</sup> Congrès international des Archives, du 21 au 27 juillet 2008. Cela a été en effet un honneur et un encouragement pour la Malaisie d'accueillir dans la région un événement aussi prestigieux et significatif. Le Congrès a attiré 1164 délégués de 139 pays (le plus grand nombre de pays jamais atteint dans l'histoire des Congrès).

Les Archives ont toujours été négligées dans beaucoup de pays ; c'est pourtant un domaine qui a un impact profond sur presque tous les aspects de la vie. Le thème du Congrès de 2008, « Archives, gouvernance et développement : bâtir la société du futur » était tout à fait opportun et approprié à toutes les économies et a sans aucun doute aidé à améliorer la mise en réseau et le partage des ressources et du savoir pour le bien commun et l'amélioration globale de l'humanité.

Un Congrès aussi réussi a pu rassembler nombre de conférenciers distingués venus du monde entier et est de ce fait devenu une plate-forme réelle et pertinente pour des discussions sur les diverses questions, tendances et développements en rapport avec les thèmes du Congrès. Au

total, 480 communications ont été présentées par 325 conférenciers au cours de 222 séances (169 séances de séminaire et 53 ateliers).

Une sélection des textes du Congrès est publiée dans deux numéros spéciaux de *Comma*. Le premier volume est axé sur la Gouvernance. Il vous propose 18 excellentes communications faites par des experts qui ont fait part de leur expérience locale de bonne gouvernance grâce à un bon archivage.

Je voudrais profiter de l'occasion pour remercier le Conseil international des Archives pour sa confiance, et tous ceux qui nous ont apporté leur aide et ont contribué directement ou indirectement à réaliser un Congrès fructueux et mémorable, et également le comité de rédaction de *Comma* pour son excellent travail d'édition et de distribution des actes du Congrès.

A tous les collègues et amis, je souhaite bonne lecture et espère qu'ils reviendront nous voir.



# Einführung

## **Dato' Haji Sidek bin Haji Jamil**

Generaldirektor, Nationalarchiv von Malaysia

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Es war eine große Freude und eine besondere Ehre für das Nationalarchiv von Malaysia, die Archivare und die Angehörigen der Informationsberufe aus aller Welt anlässlich des 16. Internationalen Archivtags in Kuala Lumpur vom 21. bis 27. Juli 2008 begrüßen zu können. In der Tat war es eine Ehre für Malaysia und gab dem Land Auftrieb, dass ein so bedeutendes Ereignis in dieser Weltgegend statt fand. Der Archivtag zog das Interesse von 1164 Delegierten aus 139 Ländern auf sich (die größte Anzahl von Ländern, die im Laufe der Geschichte des Kongresses je daran teilnahm).

Die Archive wurden in vielen Ländern stets wenig beachtet. Sie haben jedoch weit reichende Auswirkungen auf fast alle Lebensbereiche. Das Thema des Kongresses von 2008 „Archive, Regierungsführung und Entwicklung: die künftige Gesellschaft planen“ war sehr aktuell und betraf alle Staatsformen. Es trug unzweifelhaft dazu bei, die weltweite Vernetzung und den Austausch der Ressourcen und des Wissens zum Besten aller und der globalen Verbesserung der Situation der Menschheit darzustellen.

Es gelang auf dem erfolgreichen Kongress viele hervorragende Referenten aus aller Welt zusammenzubringen und es wurde tatsächlich zu einer effekti-

ven und bedeutenden Plattform für die Diskussion zahlreicher Fragen, Trends und der Entwicklung hinsichtlich der Kongressthemen. Insgesamt wurden 480 Vorträge von 325 Referenten in 222 Sitzungen (169 Seminare und 53 Workshops) gehalten.

Eine Auswahl der Kongressvorträge wird in zwei Sonderbänden von *Comma* veröffentlicht. Dieser erste Band enthält die Vorträge zum Thema Regierungsführung. Er präsentiert Ihnen 18 hervorragende Vorträge von Experten, die ihre regionalen Erfahrungen über gute Regierungsführung durch ordentliche Registraturverwaltung schildern.

Ich möchte diese Gelegenheit ergreifen, um dem Internationalen Archivrat für sein Vertrauen zu danken und allen Anderen, die geholfen und dazu direkt oder indirekt beigetragen haben, den Kongress fruchtbar und denkwürdig zu gestalten, sowie dem Redaktionsgremium von *Comma* für die hervorragende Leistung der Herausgabe und Verteilung der Tagungsbände.

An alle Kollegen und Freunde: Genießen Sie es, dies zu lesen, und besuchen Sie uns wieder.



# Introducción

## **Dato' Haji Sidek bin Haji Jamil**

Director General, Archives Nacionales de Malaysia

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Ha sido un gran placer y un honor especial para los Archivos Nacionales de Malaysia haber podido dar la bienvenida a archiveros y profesionales de la información procedentes de todo el mundo en Kuala Lumpur con ocasión del 16 Congreso Internacional de Archivos, del 21 al 27 de Julio de 2008. Fue un gran honor para Malaysia que un acontecimiento tan significativo y prestigioso fuera acogido en esta región. El Congreso consiguió atraer 1164 delegados de 139 países (el número más alto de países representados en la historia del Congreso).

Los Archivos han estado a menudo olvidados en muchos países; sin embargo, este campo tiene un gran impacto en casi todos los aspectos de la vida. El tema de este Congreso de 2008, "Archivos, Gobierno y Desarrollo: Dibujar la sociedad del futuro" era definitivamente actual y apropiado para todas las economías y sin duda ayudaba a favorecer redes globales y compartir recursos y conocimiento para el bien común y la mejora global de la humanidad.

Este exitoso Congreso pudo reunir a muchos distinguidos ponentes de todo el mundo y convertirse en una plataforma efectiva e importante para discusiones sobre distintos aspectos, tendencias y desarrollo relativo a los temas del Congreso. Fueron presentados un total de 480 inter-

venciones por 325 ponentes en 222 sesiones (169 seminarios y 53 sesiones de trabajo).

Dos volúmenes especiales de *Comma* están dedicados a publicar una selección de intervenciones en el Congreso. Este primer volumen contiene presentaciones expuestas bajo el tema de Gobierno. Ofrece 18 excelentes intervenciones de expertos que expusieron sus respectivas experiencias de buen gobierno a través de las buenas prácticas de archivo.

Me gustaría aprovechar esta oportunidad para agradecer al Consejo Internacional de Archivos por la confianza y a todos los demás que han ayudado y contribuido directa o indirectamente a hacer del Congreso una reunión provechosa y memorable, y al Comité Editorial de *Comma* por el excelente trabajo realizado en publicar y difundir las Actas del Congreso.

A todos los colegas y amigos, disfruten su lectura y por favor vuelvan a visitarnos.



# Предисловие

## **Дато Хаджи Сидек бин Хаджи Джамиль**

Генеральный директор, Национальный архив Малайзии

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Для Национального архива Малайзии было огромным удовольствием и особой честью иметь возможность приветствовать архивистов и специалистов в области информации со всего мира в Куала-Лумпуре по случаю проведения XVI Международного конгресса архивов с 21 по 27 июля 2008 года. Действительно, это было честью для Малайзии и оказало ей большую поддержку, что столько значимое и престижное событие было проведено в этом регионе. Конгресс смог привлечь 1164 участника из 139 стран (самое высокое число стран – участников за всю историю проведения конгрессов).

Архивам не придается большого значения во многих государствах; однако, эта отрасль оказывает огромное влияние на практически любую область жизни. Тема Конгресса 2008 года «Архивы, Управление и Развитие: Планирование будущего общества» была безусловно актуальной и подходящей для всех экономик и бесспорно помогла улучшить мировое сотрудничество и совместное использование ресурсов и знаний для общего блага и для глобального совершенствования человечества.

Этот успешный Конгресс собрал вместе многих известных докладчиков со всего мира и действительно стал эффективной и достойной платформой для дискуссий по различным вопросам. Всего было сделано 480 докладов 325 докладчиками на 222 заседаниях. (прове-

дено 169 семинаров и 53 мастер-классов).

Материалы Конгресса издаются в двух специальных томах журнала «Комма». Первый том содержит презентации, сделанные по теме «Управление». Вам представляется 18 блестящих докладов, сделанных экспертами, которые обратились к их опыту хорошего управления через должное хранение документов.

Я бы хотел воспользоваться возможностью и поблагодарить МСА за доверие и всех остальных, кто помогал, и прямо и косвенно, способствовал тому, чтобы Конгресс был плодотворным и запоминающимся, а также Редакционный совет Комма за отличную работу по подготовке издания и распространения материалов Конгресса. Всем коллегам и друзьям, наслаждайтесь чтением и приезжайте к нам снова.





## داتو حاج صديق بن حاج جميل المدير العام، الأرشيف الوطني الماليزي

الجيدة في مجال حفظ السجلات.

وأود أن أتتهز هذه المناسبة لأتقدم بالشكر للمجلس الدولي للأرشيف لما أولانا به من ثقة، وأيضاً لكل من ساعدنا، وأسهم بشكل مباشر أو غير مباشر في نجاح المؤتمر وجعله مؤتمراً متميزاً لا ينسى، وكذلك لهيئة تحرير كوما لما قامت به من عمل رائع من حيث نشر وتوزيع وقائع المؤتمر.

وأتمنى لكافة الزملاء قراءة ممتعة، ولعلمهم يقوموا بزيارتنا مرة أخرى.

لقد كان شرفاً وسروراً عظيمي يستضيف الأرشيف الوطني الماليزي الأرشيفيين وأخصائي المعلومات من كل أرجاء العالم في كوالالمبور بمناسبة انعقاد المؤتمر الدولي السادس عشر للأرشيف في الفترة من الحادي والعشرين حتى السابع والعشرين من يولييه 2008 م. وحققنا فقد كان شرفاً ودعماً كبيرين لماليزيا أن يتم حدث يمثل تلك الأهمية والمكانة في هذه المنطقة. ولقد نجح المؤتمر في اجتذاب 1164 مندوباً من 139 دولة (وهو أكبر عدد من الدول يشارك منذ انطلاق أول تلك المؤتمرات).

ولقد طالما عانت الأرشيفيات من الإهمال في الكثير من الدول، ومع ذلك فإن لذلك المجال أثر بعيد المدى في كافة جوانب الحياة تقريباً. ولقد كان موضوع مؤتمر 2008 «الأرشيف: الإدارة والتنمية وتحديد معالم المجتمع المستقبلي» وهو بالتأكيد موضوع جاء في وقته، يتناسب مع كافة أشكال الاقتصاد، وبدون شك فقد ساعد في تعزيز الشبكات العالمية والمشاركة في الموارد والمعارف لما فيه المصلحة العامة والنهوض بالبشرية جمعاء. ولقد تمكن ذلك المؤتمر الناجح من حشد عدد كبير من المتحدثين البارزين من كل أنحاء العالم، وبات المؤتمر بالفعل منيراً فعلاً وملائماً لمناقشة مختلف القضايا، والاتجاهات، والتطورات ذات الصلة بما يطرح فيه من موضوعات. ولقد تم طرح 480 بحثاً قدمها 425 متحدث على مدى 222 جلسة (169 جلسات ندوة، 53 ورشة عمل). وهذا ويجري حالياً نشر مختارات من البحوث التي طرحت خلال المؤتمر في المجلد الأول تحت ما طرح في إطار موضوع الإدارة، حيث يقدم لكم 18 أطروحة متميزة قدمها خبراء تناولوا خبراتهم المحلية في الإدارة



# 导言

## 马来西亚国家档案馆馆长 拿督哈吉西德克本哈吉贾米尔

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马来西亚国家档案馆非常高兴也特别荣幸欢迎来自世界各地的档案和信息专业人员到吉隆坡参加2008年7月21~27日召开的第16届国际档案大会。在马来西亚召开这么有意义和声望的大会，对马来西亚而言确实是一种荣誉和推动。大会吸引了来自139个国家的1164名代表（是大会历史上出席国家最多的一次）。

档案在许多国家一直被忽视，但这一领域几乎对生活的各个方面具有深远的影响。2008年大会主题“档案、治理与发展——未来社会的映射”既及时又适应各国经济，无疑有助于加强资源和知识的全球网络化和共享，有助于人类的共同利益和全球性改善。

这次成功的大会吸引了许多来自世界各地杰出的发言人，也确实成为了一个有效的交流平台，讨论与大会主题有关的各种问题、趋势和发展。222个会议上（169个报告会，53个研讨会）共有325位发言人做了480个报告。

《逗号》出版了两卷大会报告选集专刊。首卷刊登的是“治理”主题下的演讲报告，为大家带来18位专家的精彩报告，这些报告介绍了他们当地借助良好的文件管理进行善治的经验。

我想借此机会感谢国际档案理事会的信任，感谢所有直接或间接帮助和捐资大会的人们，使你们使大会富有成果和令人难忘，感谢《逗号》编辑委员会在大会过程中所做的出色的出版发行工作。

所有同仁和朋友，祝您阅读愉快，欢迎再来马来西亚。



# Archives, Governance and Development: Mapping Future Society

**Margaret Procter**

Editor-in-chief, on behalf of the Editorial Board

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This volume of *Comma* is the first of two containing a selection of the proceedings of the ICA Congress held in Kuala Lumpur in July 2008. Hosted by the Ministry of Culture, Arts and Heritage and the National Archives of Malaysia, the Congress took the overall theme of 'Mapping Future Society'. This inclusive theme allowed speakers to address a wide range of topics ranging from discussions of purely professional interest to debate about the role of recordkeeping, and of recordkeeping professionals from a variety of viewpoints, whether from a cultural perspective or looking at effective recordkeeping as the keystone for enabling accountability and good governance in public administration and civil society more widely.

In inviting papers for the Congress, the organising committee sought speakers falling under three sub-themes: Archives, Governance and Development. The first of these, Archives, covered all aspects of records and archives management including the challenges around preservation and access posed by electronic records, the interface between privacy and access, and the use of standards and development of best practice. The Governance theme aimed to address, in particular, the contribution that good records management can make to accountability, administrative transparency and business efficiency, and to the protection of human rights. 'Development' centred on train-

ing and educational opportunities for archive professionals of all kinds and at all levels. The majority of papers under the headings 'Archives' and 'Development' will appear in the second volume of Congress proceedings, though it is of course self-evident that the implementation of policy, standards and best practice is key to both to the success of programmes and projects designed to facilitate accountability and good governance as well as to the effectiveness of professional education and training.

This first Congress volume then focuses on Governance. The geographical scope ranges from Australia to Tunisia, and from Bangladesh to the Solomon Isles; the political scope from highly developed democracies with sophisticated systems of checks and balances (but with systems which could still be more effective) to states recovering from devastating internal conflict; the cultural scope ranges from the establishment of 'community archives' outside existing institutional structures to the promotion of archives in North America. One common element is the emphasis on the importance of partnerships and alliances, whether formal – in government and across professional boundaries, or informal – with the creators and users of records. Indeed, taking both volumes together, readers will find that the same concerns lie at the heart of professional endeavour throughout the world: the archival community is truly a global one.



# Archives, gouvernance et développement : bâtir la société du futur

**Margaret Procter**

Rédactrice en chef, au nom du comité de rédaction

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Ce volume de *Comma* est le premier des deux volumes qui contiendront une sélection des Actes du Congrès International tenu à Kuala Lumpur en juillet 2008. Organisé par le ministère de la Culture, des Arts et du Patrimoine et par les Archives nationales de Malaisie, le Congrès avait pour thème « Bâtir la société du futur ». Ce thème général permettait aux conférenciers d'aborder un vaste choix de problèmes, allant de discussions purement professionnelles à des débats sur le rôle de l'archivage et des professionnels de l'archivage, à toute une gamme de points de vue, depuis les perspectives culturelles jusqu'aux nécessités purement matérielles rendant possibles la responsabilité et la bonne gouvernance dans l'administration publique et la société civile en général.

En rassemblant des textes pour le Congrès, le comité organisateur a cherché à répartir les conférenciers dans les trois sous-thèmes : Archives, gouvernance et développement. Le premier d'entre eux, « Archives », couvrirait tous les aspects de la gestion des documents et des archives, y compris les défis posés par les documents électroniques à la conservation et à l'accessibilité, l'interface entre vie privée et accès, et l'utilisation des normes et le développement des bonnes pratiques. Le thème de la « gouvernance » traitait de la contribution

que la bonne gestion des documents et des archives peut apporter à la responsabilité, à la transparence administrative et à l'efficacité du travail, ainsi qu'à la protection des droits de l'homme. Le « développement » était centré sur les opportunités de formation initiale et continue pour les professionnels des archives, de toutes sortes et à tous les niveaux. La plupart des textes sous les rubriques « Archives » et « Développement » paraîtront dans le second volume des actes du Congrès, bien qu'il soit évident que la mise en application de la politique, des normes et des bonnes pratiques soit la clé du succès des programmes et des projets imaginés pour faciliter la responsabilité et la bonne gouvernance tout autant que pour rendre effective la formation professionnelle initiale et continue.

Le premier volume est donc axé sur la gouvernance. L'aire géographique couverte s'étend de l'Australie à la Tunisie et du Bangladesh aux Îles Salomon ; l'éventail politique, depuis des démocraties extrêmement développées, avec des systèmes de contrôle sophistiqués (mais avec des systèmes qui pourraient être encore plus efficaces) jusqu'à des États en reconstruction après des conflits internes dévastateurs ; l'éventail culturel va de l'établissement d'« archives de communautés » hors des structures institutionnelles existantes

à la promotion des archives en Amérique du Nord. Un des éléments communs est l'accent mis sur l'importance des partenariats et des alliances, qu'ils soient formels – à l'intérieur des gouvernements et au-delà des frontières, ou informels – avec les créateurs et les utilisateurs des documents. Et en effet, en juxtaposant les deux volumes, le lecteur constatera que les mêmes problèmes se situent au cœur des efforts professionnels tout autour du monde : la communauté archivistique est réellement une unité.



# Archive, Regierungsführung und Entwicklung: die künftige Gesellschaft planen

**Margaret Procter**

Chefredakteurin, im Namen der Redaktion

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Dieser Band von *Comma* ist der erste von zwei Tagungsbänden, die eine Auswahl der Tagungsbeiträge zum ICA-Kongress in Kuala Lumpur von Juli 2008 enthalten. Veranstaltet vom Ministerium für Kultur, Kunst und Kulturerbe sowie vom Nationalarchiv von Malaysia, stand der Kongress unter dem Thema „Die künftige Gesellschaft planen“. Dies ermöglichte den Rednern ein breites Spektrum von Vortragsthemen, von rein fachlich interessanten Diskussionen bis hin zur Erörterung der Rolle der Schriftgutverwaltung und der damit befassten Fachkräfte unter verschiedenen Aspekten, sei es aus kultureller Perspektive oder als Suche nach einer effektiven Schriftgutverwaltung als Schlüssel zur Förderung von Verantwortlichkeit und guter Regierungsführung in der öffentlichen Verwaltung und der Zivilgesellschaft.

Bei den Kongressbeiträgen suchte das Organisationskomitee nach Referenten zu den drei Unterthemen Archiv, Regierungsführung und Entwicklung. Das erste Thema, Archiv, umfasste alle Aspekte der Schriftgut- und Archivverwaltung einschließlich der Herausforderungen bei der Erhaltung von und beim Zugang zu elektronischen Unterlagen, der Schnittstelle zwischen Datenschutz und Benutzbarkeit sowie der Entwicklung bewährter Verfahren und der Nutzung von Standards. Beim Thema

Regierungsführung ging es um den Beitrag, den eine gute Schriftgutverwaltung für Verantwortlichkeit, transparente Verwaltung und Unternehmenseffizienz sowie für den Schutz der Menschenrechte leisten kann. Das Thema Entwicklung konzentrierte sich auf Aus- und Fortbildungsmöglichkeiten für Archivare aller Sparten und Ebenen. Die meisten Beiträge zu den Themen Archiv und Entwicklung werden im zweiten Tagungsband veröffentlicht, obwohl es natürlich selbstverständlich ist, dass die Anwendung von Grundsätzen, Standards und bewährten Verfahren sowohl über den Erfolg von Programmen und Projekten zur Förderung von Verantwortlichkeit und guter Regierungsführung als auch über die Effektivität archivarischer Aus- und Fortbildung entscheidet.

Der erste Tagungsband fokussiert die Regierungsführung. Geografisch erstreckt er sich von Australien bis Tunesien und von Bangladesch bis zu den Salomonen, politisch von hoch entwickelten Demokratien mit ausgefeilten Systemen der Kontrolle und des Ausgleichs (die jedoch noch effektiver sein könnten) bis zu Staaten, die sich von verheerenden inneren Konflikten erholen, kulturell von der Gründung von Community-Archiven außerhalb existierender institutioneller Strukturen bis zur Werbung für Archive in Nordamerika. Übergreifend

wird die Bedeutung von Partnerschaften und Allianzen betont, seien sie formell – innerhalb der Verwaltung und über die Berufssparten hinweg – oder informell – mit den Bestandsbildnern und Benutzern. Wenn man beide Bände zusammennimmt, wird der Leser tatsächlich feststellen, dass das Bestreben der Archivare weltweit von den gleichen Anliegen geprägt wird: die archivi-sche Community ist wirklich global.

# Archivos, Gobierno y Desarrollo: Dibujar la Sociedad del Futuro

**Margaret Procter**

Editora Jefe, en representación del Comité Editorial

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Este volumen de Comma es el primero de los dos que contienen una selección de las Actas del Congreso Internacional de Archivos del CIA celebrado en Kuala Lumpur en Julio de 2008. Acogido por el Ministro de Cultura, Artes y Patrimonio y los Archivos Nacionales de Malaysia, el Congreso adoptó el tema general de “Dibujar la Sociedad del Futuro”. Este tema permitió a los intervinientes tratar una amplia gama de asuntos, que fueron desde las discusiones de interés puramente profesional hasta el debate sobre la archivística y sus profesionales desde una gran variedad de puntos de vista, desde la perspectiva cultural o considerándola como la llave que permite la eficacia administrativa y el buen gobierno en la administración pública y, más ampliamente, en la sociedad civil.

En cuanto a las ponencias encargadas para el Congreso, el comité organizador buscó intervinientes en tres subtemas: Archivos, Gobierno y Desarrollo. El primero de ellos, “Archivos”, cubría todos los aspectos sobre la gestión de documentos y archivos, incluyendo los desafíos relativos a la conservación y el acceso planteados por los documentos electrónicos, la interferencia entre privacidad y acceso, y el uso de estándares y desarrollo de buenas prácticas. El tema de Gobierno pretendía tratar, en particular, la contribución que la buena

gestión de archivos puede suponer para la eficacia administrativa, la transparencia, la eficiencia y la protección de los derechos humanos. “Desarrollo” se centró en las oportunidades formativas y educativas para los profesionales de todas clases y de todos los niveles. La mayor parte de las intervenciones relativas al primer y tercer subtemas aparecerán en el segundo volumen de las Actas del Congreso, aunque desde luego es muy evidente que la implementación de las políticas, estándares y buenas prácticas es clave para el éxito de los programas y proyectos diseñados para facilitar la eficacia y el buen gobierno, así como para la efectividad de la formación y educación profesionales

Este primer volumen de las Actas del Congreso se centra en el subtema del “Gobierno”. Abarca geográficamente experiencias desde Australia a Túnez y de Bangladesh a las Islas Solomon; desde el punto de vista político, desde democracias altamente desarrolladas con sofisticados sistemas de control y balance (pero con sistemas que podrían todavía ser más efectivos) a estados que se recuperan de conflictos internos devastadores; desde el punto de vista cultural, desde el establecimiento de ‘archivos de comunidades’ fuera de las estructuras institucionales existentes hasta la promoción de los archivos en

Norteamérica. Un elemento común es el énfasis sobre la importancia de la existencia de aliados y socios, ya sea formales – en la administración y a través de las fronteras profesionales –, o ya se informales – con los productores y usuarios de los documentos. De hecho, teniendo ambos volúmenes juntos, los lectores encontrarán que existen las mismas preocupaciones en el centro del comportamiento profesional de todo el mundo: la comunidad archivística es verdaderamente global.

# Архивы, Управление и Развитие: Планирование будущего общества

## Маргарет Проктер

Главный редактор, от имени Редакционной коллегии

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Этот выпуск «Коммы» - первый из двух томов, содержащий подборку материалов Конгресса МСА, состоявшегося в Куала-Лумпуре в июле 2008 года. Организованный Министерством культуры, искусств и наследия, а также Национальным архивом Малайзии, Конгресс прошел под лозунгом «Планирование будущего общества». Эта тема позволила докладчикам рассмотреть широкий круг вопросов - от вещей, представляющих чисто профессиональный интерес до обсуждения проблем организации делопроизводства с точки зрения его культурного управленческого и общественного значения.

Приглашая докладчиков для участия в Конгрессе, организационный комитет искал специалистов, способных осветить три подтемы: Архивы, Управление и Развитие. В рамках обсуждения первой из них были рассмотрены все аспекты, касающиеся управления архивами и документами, обеспечения сохранности архивных документов организации доступа к ним с учетом требований сохранения личной тайны, работы с электронными документами, применения стандартов и распространения передового опыта. Докладчики по теме «Управление» сосредоточились в основном на значении качественной организации работы с документами для обеспечения прозрачности органов управления и повышения их деловой активности, для проведения деятельности по защите прав

человека. Тема «Развитие» была посвящена вопросам профессиональной подготовки и переподготовки архивистов всех уровней. Большинство докладов по темам «Архивы» и «Развитие» появится во втором выпуске материалов Конгресса, хотя, конечно, нет никаких сомнений в том, что реализация политики, применение стандартов и использование передового опыта являются ключевыми моментами на пути к успеху программ и проектов, разработанных для обеспечения качественного и ответственного управления так же как и эффективности профессионального образования.

Этот первый выпуск материалов Конгресса посвящен теме «Управление». Географически материалы, размещенные в нем, простираются от Австралии до Туниса, от Бангладеш до Соломоновых Островов; политически - от высоко развитых демократических государств со сложной системой контроля и балансов до государств, только оправляющихся от разрушительных последствий внутренних конфликтов. Один общий элемент подчеркивает важность товариществ и союзов, формальных - в правительстве и поперек профессиональных границ, или неформальных - с создателями и пользователями документов. Действительно, взяв оба выпуска, читатели найдут, что профессионалов всего мира волнуют одни и те же вопросы, то есть архивное сообщество - действительно глобальное.



# الأرشيف، والإدارة، والتنمية: تشكيل المجتمع المستقبلي

## مارجريت بروكتر بالإجابة عن هيئة التحرير

هذا المجلد من "كوما" هو أول اثنين من المجلدات التي تتضمن مختارات من وقائع مؤتمر المجلس الدولي للأرشيف الذي انعقد في كوالالمبور في يوليو 2008 ، واستضافته وزارة الثقافة والفنون والتراث، والأرشيف الوطني في ماليزيا.

ولقد تناول المؤتمر موضوع « تشكيل المجتمع المستقبلي»، وهو موضوع شامل سمح للمتحدثين بحث سلسلة طويلة ومتنوعة من الأمور، وهذه تراوحت بين موضوعات ذات طابع مهني بحث، ومناقشات حول دور حفظ السجلات والعاملين في تلك المهنة من جوانب مختلفة منها المنظور الثقافي، وحفظ السجلات باعتباره أداة أساسية للتمكين من المساءلة والإدارة الجيدة في المؤسسات العامة، والمجتمع المدني بشكل أوسع.

وعند الدعوة لتقديم أوراق بحثية للمؤتمر، استهدفت اللجنة المنظمة متحدثين من ذوي العلم والخبرة في محاور المؤتمر الثلاثة: الأرشيف، والإدارة، والتنمية. ولقد غطى المحور الأول كافة جوانب إدارة السجلات والأرشيف، بما في ذلك التحديات التي تواجه أعمال الحفظ والإتاحة والتي هي من إفرزات استخدام السجلات الإلكترونية، والفجوة بين الخصوصية والإتاحة، واستخدام المعايير وتطبيق أفضل الممارسات. أما محور الإدارة فقد استهدف على وجه الخصوص المساهمة الممكنة للإدارة الجيدة للسجلات في المساءلة، وتحقيق الشفافية الإدارية وكفاءة الأعمال، وحماية حقوق الإنسان. وأما محور التنمية فقد تركز حول التدريب والفرص التعليمية بالنسبة للعاملين بالأرشيف بكافة فئاتهم ومستوياتهم. هذا وسوف يتم نشر غالبية البحوث التي طرحت على محوري الأرشيف،

والتنمية في المجلد الثاني لوقائع المؤتمر، وذلك على الرغم من أنه من الواضح - بطبيعة الحال - أن تنفيذ السياسات، والمعايير، واتباع أفضل الممارسات هو أساس نجاح البرامج والمشاريع التي تهدف إلى تسهيل المساءلة والإدارة الجيدة، وتعزيز فاعلية التعليم والتدريب المهني.

وهكذا فإن المجلد الأول لوقائع المؤتمر يركز على الإدارة. ويتراوح المجال الجغرافي بين أستراليا وتونس، ويمتد من بنجلاديش إلى جزر سولومون. أما المجلد السياسي فيتراوح بين الديموقراطيات الكبرى ذات النظم المتطورة من حيث القيود والتوازنات) والتي يمكن أن تزداد فاعلية، والدول التي لا تزال تتعافى من آثار الصراعات الداخلية المدمرة. وأما المجال الثقافي فيمتد من إنشاء «أرشيفات مجتمعية» خارج النطاق الراهن للهياكل المؤسسية، إلى تعزيز الأرشيفات في أمريكا الشمالية. والعنصر المشترك هو التركيز على أهمية الشراكات والتحالفات، سواء كانت رسمية حكومية وعبر الحدود المهنية، أو غير رسمية مع منشي السجلات ومستخدميها.

وفي الواقع فإن القراء سوف يجدون في المجلدين معاً العموم ذاتها التي تقع في قلب كافة الجهود المهنية حول العالم: فالمجتمع الأرشيفي هو في الحقيقة مجتمع عالمي.





# 档案、治理与发展—未来社会的映射

编辑委员会主编  
玛格丽特·宝洁

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2008年7月在吉隆坡举行了国际档案大会，本卷是《逗号》大会报告选集两卷中的第一卷。这次大会由马来西亚文化、艺术和遗产部与国家档案馆共同举办，主题为“未来社会的映射”。内容广泛的主题为发言人提供了极大的讨论空间，既可以是纯粹的专业兴趣讨论，也可以是从不同视角对文件保管及文件保管人员的作用的辩论，这种讨论和辩论或从文化的角度，或着眼于有效的文件管理，使文件管理广泛地成为公共行政部门和公众社会问责制和善治的基石。

组委会将大会应邀报告分为3个分主题：“档案、治理和发展”。“档案”主题覆盖了文件和档案管理的各个方面，包括电子文件的保护和利用的挑战、隐私和利用间的相互关系、标准和最佳实践的发展使用。“治理”主题着重强调良好文件管理的作用，特别是可以促成问责制的建立、增强行政透明度和业务效率，并能保护人权。“发展”主题集中于各级各类档案专业人员的培训和教育机会。“档案”和“发展”主题下的多数报告将刊登在大会报告选集的第二卷上，但不言而喻的是，政策的落实、标准和最佳实践的履行是促进问责制和善治方案成功的关键，也是职业教育和培训有效性的关键。

大会报告选集第一卷集中在“治理”上。地域范围从澳大利亚到突尼斯，从孟加拉国到所罗门岛；政治范围从高度发达的民主国家（具有相互制衡的完善体制，但仍可更有效）到从破坏性国内冲突中恢

复起来的国家；文化范围从现有体制外“社区档案”的建立到北美档案馆的宣传。其中的一个共同点是都强调了合作和联盟的重要性，无论是正式的合作和联盟，如政府机构之间和跨专业范围，还是非正式的合作和联盟，如文件生成者和用户之间。事实上，通观两卷大会报告选集，读者会发现，世界各地档案工作者共同关注的核心问题是：档案社会确实是全球化的。



# Archives and their allies: recordkeeping for good governance – introduction

## Ross Gibbs

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■ Ross Gibbs is  
Director-General of  
the National Archives  
of Australia.

*An introduction to the session, setting the context for why a National Archivist has invited an Auditor-General, an Ombudsman and a Public Service Commissioner to address the International Congress on Archives.*

We are all aware that most government archives perform two roles – they are heritage institutions and they are enablers of good public administration. They fulfil the second of these roles by supporting sound public recordkeeping. This is achieved by providing expert advice and assistance on records creation and management and by regulating aspects of records disposal and access.

In addition to their better-known heritage role, government archives perform a vitally important role in supporting the integrity, accountability and the efficiency of public offices.

Operating on their own, archivists often find it difficult to achieve serious 'buy-in' for their good recordkeeping messages from busy public officials. These messages are often given a low priority by those officials in comparison with their other issues and responsibilities – budgets, personnel, policy development – that demand their attention.

Archives are not the only institutions of state that exist to support public sector integrity and accountability. Other, and often more high profile institutions, such as Auditors-General, fully understand the vital importance of good recordkeeping as an enabler of good governance. The aim of this session is to hear from these other accountability and integrity institutions – these natural allies of archives. We'll hear about how they think archives can work together with them to help further the causes of good public recordkeeping and a more accountable and efficient public administration.

I would like to provide some context about my institution, the National Archives of Australia, and how we have been working to strengthen our alliances with these allies.

In 2005 my fellow speaker, Des Pearson, and I gave presentations at the International Conference of the Round Table on Archives (CITRA) meeting in Abu Dhabi about how archivists and auditors can work together for mutual benefit. It is probably fair to

say that some of the audience found this message to be very new and different, even bewildering – the 'shock of the new' almost. At that time the National Archives of Australia had worked closely with the Australian National Audit Office (ANAO) in conducting two separate audits of recordkeeping in selected Australian Government agencies. Des Pearson, for his part, had experience of working with the Western Australian State Records Office as Auditor-General and as Chairman of the State Records Commission.

Since then Des Pearson has moved to Victoria, another Australian state, and has recently conducted an Auditor-General's investigation into recordkeeping in the Victorian Government – and you will hear more about that from Des in a few minutes. In my jurisdiction, the National Archives has worked closely with the Australian National Audit Office on a third recordkeeping audit of the Australian Government. Unlike the first two ANAO audits, this latest one also made recommendations to the National Archives about how my organisation could improve the utility and effectiveness of its recordkeeping advice and assistance to government agencies – recommendations that we have given the highest priority to implementing.

Perhaps the most significant development in my jurisdiction, however, has been the recent machinery of government changes which have shifted the National Archives from the arts and culture portfolio and into the Department of the Prime Minister and Cabinet. This move has been made specifically so that the National Archives could be co-located with other integrity and accountability agencies that come under the umbrella of the Department of the Prime Minister and Cabinet. These agencies include the Australian Public Service Commission, the Australian National Audit Office, the Office of the Ombudsman and the Privacy Commissioner. Also located within the same portfolio department is responsibility for reforming and administering freedom of information.

These are truly exciting times for the National Archives of Australia. I have recently attended my first meeting with the other heads of these 'integrity agencies' and look forward to strengthening our cooperation in the months and years ahead. As a signifier of the new regime in which we find ourselves, I can do no better than quote our new Minister, Cabinet Secretary and Special Minister of State, Senator John Faulkner<sup>1</sup>, who recently said the following in the Senate:

*I could [...] put a strong case that the National Archives of Australia are the ultimate accountability function and agency of government.*

In addition to our cooperation with the Audit Office, I have a similar close relationship with our Government Ombudsman and with our Public Service Commissioner. For instance, we cooperate closely with the Public Service Commission's annual 'State of the Service' survey which, for a number of years now, has included a series of questions addressing the state of recordkeeping in the Australian Government. The fact that this high profile annual survey of the public sector gives prominence to recordkeeping is not only a vital reinforcement of our messages, but the annual data that is gathered from the survey provides us with invaluable information about trends in records management across government.

Recently, in reviewing some highly-publicised difficulties in our Immigration Department, the Australian Government Ombudsman, Professor John McMillan, issued a statement of the ten most important lessons learnt from the Immigration Department's experience. The number one lesson on Ombudsman Professor McMillan's list was the need to make and keep good records of government decisions and activities!

<sup>1</sup> Since this presentation was given there has been a change of Minister responsible for the National Archives of Australia. On 6 June 2009 Senator the Hon Joe Ludwig was appointed as Cabinet Secretary and Special Minister of State.

Finally, I cannot finish without saying a few words about our efforts in recent years to extend the paradigm of alliances and cooperation with our natural allies to Australia's neighbours in the Pacific. Over the past three years we have worked closely with the Pacific Regional Branch of the International Council on Archives (PARBICA) and with other partners, particularly the Australian Public Service Commission, to spread the 'recordkeeping for good governance' message across the island nations of the Pacific. We have been fortunate in these efforts to have received support from Australia's foreign aid agency, AusAID.

During 2006-07, one of our experienced staff, Ms Dani Wickman, spent 13 months in the Solomon Islands working to improve the state of records management and archives in that government.

AusAID has also funded the National Archives to work with PARBICA to develop and deploy the Recordkeeping for Good Governance Toolkit for the Pacific. Phase one of this toolkit was launched at the PARBICA conference in New Caledonia last October, and work has recently commenced on developing Phase 2 of the toolkit. I am also pleased to say that our friends, Archives New Zealand, have recently succeeded in securing funding from the New Zealand Government to develop Phase 3 of the PARBICA toolkit. The PARBICA toolkit has been very well received internationally and has now been translated into French by the Association des Archivistes Français.

One of the aims of the PARBICA Toolkit is to promote the good recordkeeping message to senior government officials. In the Pacific Islands – as elsewhere – archivists sometimes find it difficult to attract the attention of these officials. I was delighted therefore to take advantage of an opportunity last year to speak about the Toolkit to a Conference of Pacific Public Service Commissioners in Samoa. This presentation generated considerable

interest among this important group of officials and led directly to four of them attending the PARBICA Conference and Toolkit workshop in Noumea. In running workshops across the islands on the Toolkit, the need to constantly engage the support of senior government allies, such as Public Service Commissioners, has been regularly reinforced. Indeed, they have rarely been successful without them.

I look forward to continuing to cooperate with the Australian Public Service Commission in its good governance assistance efforts across the Pacific region.

# Archives, auditors and accountability – strategic alliances

## Des Pearson

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■ Des Pearson is a career public servant who prior to his current appointment was Auditor General for Western Australia from 1991-2006. From 2001-2006 he also held the concurrent appointment as a State Records Commissioner for Western Australia. Previously he held senior administrative and program delivery roles with the Federal and ACT public services. He is a Life Member and previous National President of CPA Australia and a National Fellow of the Institute of Public Administration Australia.

*Records and recordkeeping are fundamental to transparent, accountable government. In Australia, the number of strategic alliances between archives and 'accountability authorities' (i.e. those review and monitoring bodies which surround public sector agencies and which drive governance standards) continues to increase. In the past decade, audit work has identified key challenges for government records management including the lack of strategic planning, the management of e-records and the incompatibility of guidance with existing standards. A 2008 review of over 100 agencies by the State of Victoria's Auditor-General's Office highlights issues of broader interest throughout the public sector. While some of these concerns have already been addressed through alliances between records managers and governance professionals, the recordkeeping community must continue to embrace the goals they share with the accountability authorities, and continue to encourage records management onto the public sector review agenda.*

In 2005, I had the privilege of addressing the International Conference of the Round Table of Archives (CITRA) alongside the Director-General of the National Archives of Australia. That presentation outlined a range of case studies of recent collaborative approaches between Australian archives authorities and auditors-general, and put forward the case for a shared agenda for good governance.

In 2008, it is heartening to see that the move for strategic alliances between accountability authorities and archivists has continued to gain ground. This international conference's theme of 'Archivists and their Allies' demonstrates an appreciation of the importance of these linkages going beyond stand-alone collaborative projects, and beyond audit to other kinds of accountability and governance instrumentalities. Looking ahead, these partnerships will need to deepen and develop as ongoing alliances, supporting public agencies to address their archiving responsibilities, deliver good practice in operations and maintain high standards of governance and accountability.

This paper will explore some of the key challenges for records management in government identified by recent audit work in Australia, and consider how they may be addressed by strategic alliances between records managers and governance professionals, and what role archival authorities, auditors and accountability authorities may play in supporting those alliances.

## Background

### Government in Australia

Within the Australian Federation there is a national (Commonwealth) government and eight provincial governments (six states and two territories). The Commonwealth Constitution provides and protects the framework for the Australian system of government and complements the respective constitutions of the states. Within the constitutional rules for relations between

the states, each jurisdiction operates autonomously notwithstanding the interdependence of their finances and governance. For practical purposes there is little difference in the nature and level of government services provided across jurisdictions, save that at the Commonwealth level services are focussed more externally on foreign affairs, defence, etc while at the provincial level services are more domestically focussed on health, welfare, education, etc.

### Accountability authorities

Although this paper will draw most frequently on relationships between audit and archivists, I will often employ the phrase 'accountability authorities' when speaking of the broader network of review and monitoring bodies surrounding Australian public sector agencies. These bodies drive governance standards for the sector, and both promote and rely on the integrity public sector records in a similar fashion to audit.

'Accountability authorities' are those institutions empowered by parliament to assist in monitoring and promotion of good governance, good performance and accountability in government. Their existence ensures, among other things, free and fair elections and independent scrutiny of the activities, decisions and behaviour of Executive Government and the public sector. In Australia, they include auditors-general, Freedom of Information commissioners, public service commissions and authorities, ombudsmen and sector-specific inspectors and review bodies.<sup>1</sup>

### Role of auditor-general

Within the Westminster system of government, parliament appoints an auditor-

<sup>1</sup> Office Of the Public Service Commissioner, *Accountability Officers of the Western Australian Parliament – Accountability and Independence Principles*, November 2006. Available at <http://www.opssc.wa.gov.au/Documents/Corporate/accountabilityreport.pdf> [viewed 24 October 2009].



general to provide assurance to parliament on the accountability, performance and financial management of public sector agencies and bodies.

Australian public sector audit mandates usually comprise two kinds of audit activity:

- ▶ Annual financial audits of the majority of public sector entities in each state or national jurisdiction. These provide independent assurances to parliament and the community that the information contained in the financial statements of public sector entities is presented fairly in accordance with Australian accounting standards and applicable legislation.
- ▶ Selective and periodic performance audits which evaluate whether an organisation or government program is achieving its objectives effectively, economically and efficiently, and in compliance with all relevant legislation.

External to government and reporting to parliament, the auditor-general plays a crucial role in assisting parliament to hold the government accountable for its use of taxpayers' money.

The auditor-general reports directly to Parliament on the results of audits. Although auditors have no executive authority to compel actions by agencies, the prospect of being named in public reports generally acts as a powerful driver for change. Parliament and government can choose to follow up recommendations in auditor-general reports.

## Role of archives authorities in Australia

In Australia, primary responsibility for managing public sector records lies with the agencies themselves. Archival authorities adopt a role of assisting and influencing agencies in order to achieve good practice – developing recordkeeping standards and guidelines and offering consultancy to support good practice.

## Archives and accountability authorities in the Australian public sector

It is no surprise that institutions committed to good practice and accountability in government should be such advocates of good recordkeeping. The public sector's ability to deliver efficient and effective services depends upon accurate, up-to-date records that can be readily accessed as needed. The management of public records is an integral part of the effective administration and governance of public sector agencies and facilitates:

- ▶ sound decision-making
- ▶ efficient and effective customer services
- ▶ managing business information and resources
- ▶ meeting legal, evidential and accountability requirements
- ▶ documenting significant events and preserving historically and culturally important records

Poor recordkeeping practices contribute to organisational inefficiencies, affect the ability of staff to make reliable business decisions and weaken government's accountability. Crucially, the public sector's accountability mechanisms cannot function without adequate public records – audits, inquiries, reviews and investigation can flounder on a lack of documentation.

It is less obvious how or why audit or other accountability and performance monitoring tools may be important to archivists. However, on review, it becomes clear that the contemporary Australian records management agenda cannot be realised without support – the challenges are too broad and the resources too tight to rely solely on recordkeeping teams inside agencies and state archives authorities. A range of internal and external alliances are needed – and accountability authorities and their work can be the leverage records managers need to create and maintain this support.

Before considering how these alliances

may progress the priorities of record keepers, I will first turn to an overview of the key issues for records management in the Australian public sector, both then and now. It is these issues and challenges that archivists will seek to progress through their strategic partnerships with auditors and accountability bodies.

### **Key issues for records management in Australia – the story so far**

Over the past ten years, a number of Australian Auditors-General have touched on the state of records management in their respective public sectors. Three out of six Australian states and the Australian National Audit Office have tabled in parliament reports on records management since 1997.<sup>2</sup> Reviewing this work, it is clear to see a slow but steady evolution in this area, with some issues being addressed as the sectors develop, but others remaining. Basic compliance has spread, through the growth of archives authorities, introduction of new legislation and the spread of training throughout public sector agencies.

#### **Phase 1 – Mid-1990s**

- ▮ agencies struggling to keep pace with basic functions and standards
- ▮ plans far from comprehensive
- ▮ only a fraction of records covered by retention and disposal schedules
- ▮ critical records still retrievable through manual operations

#### **Phase 2 – Late 1990s**

- ▮ improvements in overall management
- ▮ little movement with retention and disposal schedules
- ▮ qualitative improvement in retention and disposal schedules
- ▮ introduction of electronic records creating ongoing challenges
- ▮ need for more relevant legislation

#### **Phase 3 – Early 2000s**

- ▮ agencies and record keeping authorities making progress in basic compliance
- ▮ more widespread training across public sector agencies
- ▮ limited monitoring – internal or external
- ▮ improvement required for user access, passwords and monitoring of network and document management systems

Moving forward, a report tabled recently by the Victorian Auditor-General's Office has shown that whilst some new issues have emerged and some progress been made, there remains a long road to travel before our public sector record keeping practices meet the standards required for good governance, effective decision making and optimal agency performance. Further, it is no longer enough to simply meet the record keeping standards of ten years ago. Demands continue to evolve, as new forms of records are generated and the public service itself changes ever more rapidly.

## **Records Management in the Victorian Public Sector (March 2008)**

The Victorian Auditor-General's Office report, tabled in March 2008, represented a wide ranging review of more than 100 agencies. This audit found both some old and some new issues challenging practices in the sector. Whilst the audit was undertaken in Victoria, it is possible that our findings will highlight some issues of broader inter-

<sup>2</sup> List of recent Australian Auditor-General reports: Australian National Audit Office: *Recordkeeping including the Management of Electronic Records* (2007) *Evaluation Process for the Selection of Records Management Systems* (1997); New South Wales: *Special Review – State Records Act 1998* (2002) ; Western Australia: *For the Public Record - Managing the Public Sector's Records* (1996); *Follow-up audit – For the Public Record* (1998); *Records Management in Government – A Preliminary Study* (2004); *Victoria: Records Management in the Victorian Public Sector* (2008).

est to records managers and archivists seeking to drive improvements in the public sector, and provide some direction for those seeking to form strategic alliances.

Disappointingly, we found overall that agencies still did not have in place comprehensive frameworks to manage their records. Almost half of the agencies' responses to self-assessments considered that the standard of their records management required improvement. Specifically we found:

- ▶ More needs to be done by *senior management* to promote and provide support for records management. There is a lack of understanding by senior management of what good records management looks like and, therefore, what should be done.
- ▶ Most agencies did not adopt a *strategic approach* to records management. This is key to advising management of the *resources required* for them to adequately fulfil their legislative obligations.
- ▶ *Strategic planning* for records management is complex and requires specialist skills and experience. These skills are not normally found in the records management function.
- ▶ The management of *electronic records*, including email and websites, poses a significant challenge for agencies. Most agencies had yet to implement systems that ensured their business records were captured and would be accessible in the long term. Agencies were still leaving it to staff to capture business emails and file them appropriately, mostly using a print-to-paper approach.
- ▶ While most agencies had *procedures and practices* to assist their staff in managing records, they acknowledged these procedures were inconsistent with records standards and advice provided by the archival authorities.

Overall, we noted that the records management framework for the public sector lacked a *compliance* or *monitoring* capacity – the government could not

know whether recordkeeping standards were being met.

## Improving records management – challenges and opportunities for implementation

These issues pose significant implementation challenges for agencies and the archival authorities. Victorian public sector agencies have yet to address many improvements recommended by a Parliamentary Committee review ten years ago. In response to the recent Auditor-General's report, the head of the Public Records Office of Victoria (the archival authority) pointed to resource constraints and the difficulties of gaining and holding priorities amongst competing government programs.

Inside agencies, the picture is much the same, on a smaller scale. Records management struggles for funding and priority, in the context of tightening resources and escalating community demand for performance and service outcomes. Improvements cost money and take time, focus and whole-organisation commitment.

Our detailed review of agencies indicated that more should be done by senior management to promote and provide support for records management. Where there was limited senior management support, records management was generally less effective.<sup>3</sup>

It is unlikely that either these government or management priorities or budgets will dramatically change of their own accord. It seems, then, that implementing improvements in record keeping in Australian public sectors will increasingly be a question of strategic influence.

<sup>3</sup> Victorian Auditor-General's Office, *Records Management in the Victorian Public Sector* (2008). Available at [http://www.audit.vic.gov.au/reports\\_publications/reports\\_by\\_year/2008/20080312\\_records.aspx](http://www.audit.vic.gov.au/reports_publications/reports_by_year/2008/20080312_records.aspx) [viewed 24 October 2009].

## Internal alliances – a question of influence

The recent Victorian audit has found that organisations with more effective records management functions were those where records were 'closely linked to related functions such as risk management, compliance and information management'.<sup>4</sup> These alliances offered the strategic planning capacity often missing from records management units, and encouraged better visibility of record keeping issues at a senior management level. Moving records management beyond its silo and into the wider internal governance sphere offers the best prospects for addressing many of the resourcing issues, either through partnering on projects or through supporting claims made for budget priority. In a field where it can sometimes seem we are running to stand still, internal alliances present a genuine opportunity for progress.

### Leveraging audits to form alliances

Reviews and audits can help get records management onto the risk radar. Recommendations from auditors, parliamentary committees, central agency reviews, ombudsman reports can add to turn up the volume on records issues, adding a 'so what?' factor.

Many jurisdictions require agencies to formally account for their response to these type of reports. Inside organisations, independent audit committees and boards, increasingly important governance vehicles for the modern public sector, will often have an interest in ensuring senior management responds appropriately to significant external audits and reviews.

Records managers can capitalise on these processes. They should look for opportunities to leverage the work of audit and accountability authorities, 'standing on our shoulders' to form internal alliances with their risk, internal audit and governance functions.

<sup>4</sup> Ibid

## Archival authorities – other potential alliances

Outside of agencies, archival authorities can also benefit from the work of accountability authorities, adding to their own strategic capacity and providing research and analysis that would otherwise challenge their resources. The Public Records Office of Victoria (PROV) has commended the recent Victorian Auditor-General report for enabling PROV to 'develop significant knowledge and understanding of the issue confronting government in the management of their records'.<sup>5</sup> Beyond audit, there is further opportunity for this kind of advantage – in Victoria, there have been recent reports featuring findings, research and analysis of public sector records management practice from both the Ombudsman and Public Accounts and Estimates Committee.

## Conclusion – continuing partnerships

Records and recordkeeping are fundamental to transparent, accountable government. They are indispensable to the efficient and effective functioning of all government agencies and the responsibility of all their staff. Archival authorities in Australia can point to considerable achievements in their support of good records management in agencies in the past three years but, as recent audits signal, there remain challenging tasks ahead. Archivists and records managers have little option other than to continue to embrace the goals they share with accountability authorities, and continue to encourage records management onto the public sector review agenda.

Considering the benefits both inside agencies and in the broader sector, it is not surprising that Australian archival authorities have continued the collaborative partnership approach that Ross Gibbs and I spoke of three years ago. I encour-

<sup>5</sup> Ibid

age records managers to also develop this collaborative approach as they look inside their agencies for advocates and alliances. In this spirit, the Victorian Auditor General's Office has decided to take the step of sharing the toolkit we used in our recent audit more widely, to help agencies with self assessment and provide some building blocks for improvements. This guide will be tabled in Parliament in July, continuing our collaboration with the Public Records Office of Victoria and providing more opportunities for records managers to leverage these findings to cement alliances and drive change in their agencies.



# Archives and ombudsmen – natural allies

## Leo Donnelly

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■ Leo Donnelly  
is Deputy  
Ombudsman, New  
Zealand Office of  
the Ombudsman.

*Archivists and ombudsmen are natural allies in the cause of good governance. First, good recordkeeping (as promoted by archivists) can help prevent instances of maladministration, thus reducing the likelihood of ombudsmen's investigations being required. Second, good records will assist an ombudsmen when an investigation does occur or, conversely, the absence of good records can hinder such an investigation. This article illustrates its arguments with reference to investigations into the 1995 Cave Creek tragedy in New Zealand. It calls for archivists and ombudsmen to actively collaborate to advance their mutual interest in good governance.*

## How does recordkeeping promote good governance?

Accountability, transparency and public confidence and trust in public administration and decision-making are the key attributes of good governance.

Good recordkeeping does not guarantee good decision-making but it significantly improves the likelihood of good decision-making and acceptance by those affected by decisions or actions of public agencies.

## Why are ombudsmen interested in good recordkeeping?

The New Zealand Ombudsmen's interest comes about through the operation of the Official Information Act (OIA) and the Ombudsmen Act (OA).

First, the OIA.

Freedom of information (FOI) legislation is an important measure underpinning democracy. As noted by the international human rights NGO, Article 19, information can be described as the 'oxygen of democracy'. However, good recordkeeping is the means by which the continued supply of such 'oxygen' is maintained.

Archivists are equally guardians of democracy in their role of enabling good recordkeeping practice that is vital in maintaining the quality and integrity of public records.

Compliance with mandatory and voluntary standards for recordkeeping and regular audits of systems and practice reduces the likelihood of systemic failure but it can never guarantee that things will not go wrong in the circumstances of a particular case.

When things go wrong for individuals requesting access to information held by public agencies or seeking explanations for decisions or other actions of agencies, they can complain to review bodies such as the ombudsmen.

The quality of an agency's recordkeeping practice has always been a fundamental factor in an ombudsman's investigation and review. The starting point in any investigation under the OIA or OA is to ask an agency's chief executive what happened and why?

The answer to this invariably turns on the quality of their records.

The OIA recognises that from time to time there will be good administrative reasons for refusing access requests where information cannot be found or readily retrieved. Where these administrative reasons for refusal are relied on, the ombudsmen, on review, will ask chief executives of agencies certain questions.

How a chief executive answers these questions will turn on the quality of the agency's records, recordkeeping practice and systems. If a chief executive cannot respond adequately because of an agency's failure to create or maintain records that it should have created or maintained, this opens the prospect of an OA investigation that the failure amounts to maladministration.

The Ombudsmen Act essentially provides an avenue for independent and impartial investigation of complaints about maladministration so that the public can have greater trust and confidence in public sector decision-making. The fundamental role of an ombudsman in investigating complaints is to establish the truth of a matter – what happened and why. Establishing the truth begins and ends with the quality and integrity of public records.

## How does an alliance with archives arise?

In essence, ombudsmen are the ambulance at the bottom of the cliff. They are usually the first of the accountability agencies to be engaged 'when things go wrong' for an individual. The investigation of what happened and why often identifies a 'gap in the fence' at the top of the cliff, but it is not always easy for ombudsmen to get



to that 'gap' to fix it.

Where the 'gap' has arisen because of a failure by an agency to create and maintain in accessible form full and accurate records, archives are the experts at the top of the cliff that the ombudsmen can turn to as an ally in fixing the 'gap' to help prevent future systemic failure.

## The New Zealand experience – case study

This concerns the outcome of the Ombudsman's investigation of the police refusal to make available the final investigation report of the Cave Creek tragedy.

The background to the Cave Creek tragedy was as follows:

▶ On 28 April 1995, 17 members of a party of students from a Polytechnic outdoor recreation course and a Department of Conservation (DOC) field centre manager crowded onto a viewing platform high above Cave Creek in Paparoa National Park, New Zealand.

▶ The platform collapsed and all 18 people fell 30 metres. Thirteen students and the DOC manager died. The other four students suffered serious injuries.

▶ The viewing platform had been built in 1994 by DOC so that visitors to the national park could look down a 40 metre chasm to see the headwaters of Cave Creek come out from an underground cave system.

Following investigations by the police, DOC and a special commission of inquiry ordered by the government of the day, it was found that:

▶ The plans for the platform had been designed and approved by people who did not have engineering or design qualifications.

▶ The onsite construction of the platform base had been carried out by a working party of DOC staff members. None of the group working on the platform were qualified builders or engineers.

▶ The platform had been built and then flown in to Cave Creek by helicopter to be put in

place, but the plans for the installation of the platform were not taken to the site, and so were not followed.

▶ The bolts which were supposed to tie the platform to the steps were taken to the site, but the drill was left behind, so nails were used instead.

▶ When the concrete steps to the platform were poured some time later they were not secured properly to the platform. This concrete was supposed to act as a counterweight for the platform to help hold it in place.

▶ Steel which was supposed to tie the platform to the counterweight had disappeared, and no other steel was ordered or used.

▶ A commission of inquiry found that DOC had acted illegally and negligently in constructing the platform, and that there had been a series of mistakes that together had led to the collapse of the Cave Creek platform.

▶ It also pointed out that DOC had not been given enough resources to do its job properly. Because of this, projects were carried out on limited budgets, 'making do'.

▶ Compensation of \$2.6 million was paid out to the victims' families.

▶ The project had not met the requirements of the Building Act, which was being extended to cover government departments at the time the platform was being planned and built. There was no building consent for the platform. Signs stating the maximum number of people to go on the platform at a time had not been put in place.

There were no prosecutions as a result of the deaths, but DOC's West Coast regional conservator resigned after the commission of inquiry report came out. The Minister of Conservation, Denis Marshall, later resigned in May 1996. The Chief Executive of DOC resigned and has never held office in the public sector since.

Accountability and transparency were substantially met by these outcomes but for one parent of a victim of the tragedy,

there was one fundamental accountability document that he still needed to see before he could move on. This was the original police investigation report that allegedly concluded that certain individuals should have been prosecuted.

The parent requested access to the report under the OIA. Inexplicably, neither the original police report nor any copy could be found. The police refused the request on the basis that the document requested under the OIA could not be found. Reluctantly, despite significant efforts to locate the report or a copy, the then Ombudsman and now Governor-General Anand Satyanand had to accept that nothing more could be done under the OIA.

This is a classic case of a citizen losing confidence and trust in public administration unnecessarily. Good recordkeeping would clearly have ensured that such an important document was copied and retained.

If the same case arose today, following the enactment of the Public Records Act 2005, the options open to an ombudsman would be different. An ombudsman could:

- ▶ find that the failure to have established sound recordkeeping systems and practice to ensure retention of such critical investigation records was maladministration
- ▶ recommend that the Chief Archivist conduct an 'audit' of the agency's recordkeeping systems, using the powers of inspection and direction to report to the Chief Archivist under the Public Records Act, with a view to identifying any changes in practice or wider systems that would prevent such maladministration in future
- ▶ following consultation with the Chief Archivist as to the necessity and practicality of such changes, recommend to the agency, its minister and ultimately Parliament that certain changes should be implemented in the public interest.

## Conclusion

Although the connection between quality recordkeeping and good governance is not always obvious, the New Zealand Ombudsmen's experience over 46 years is that they are inextricably linked. You can't have one without the other. Without systems and practices to ensure good recordkeeping, agencies will be compromised in their ability to respond to legitimate requests for information or explanations about actions taken or not taken. Equally, poor recordkeeping undermines what should otherwise be a fundamental check and balance on decision-making and the exercise of discretionary powers by public agencies. Accountability, transparency and public trust and confidence in 'the system' will suffer.

However, we all know this. Ombudsmen and archives are natural allies, but without coordinated action, the potential benefit to the citizen, society and good governance generally is undermined. The real trick is to do something meaningful about it now.

In the words of Will Rogers:

Even if you are on the right track, you will get run over if you just sit there.

# Archives, governance and development – mapping future society

## Rigo A. Lua

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■ Rigo A. Lua is Commissioner and Chairman, Papua New Guinea Public Service Commission. Before joining the Public Services Commission in November of 1991, he was an academic teaching law units at the Papua New Guinea Institute of Public Administration and occupied positions within the Institute's Legal Studies Branch as an Associate Lecturer, Lecturer, Senior Lecturer and eventually as Head of the Branch. In 1991 promoted to lead one of the Investigation Branches of the Public Service Commission as its Director. In 1994 was further promoted to the position of Secretary, PSC Secretariat, a position he continued to occupy until

appointed as one of the Commissioners in January of 2004. In 2007, he was appointed as the Chairman of PSC.

*A Public Service Commission (PSC) Commissioner's perspective on the importance of good public recordkeeping and how archivists and public service commissioners can work together to achieve improvement in this area.*

## Introduction

Before I proceed with my presentation, I would like to thank in particular the Australian National Archives Director-General, Mr Ross Gibbs, for inviting me to speak at this conference. I first met Mr Gibbs in the 5th South Pacific Commissioners Conference in Apia, Western Samoa last year, where he made a presentation on recordkeeping for good governance and invited commissioners to attend the PARBICA conference and the toolkit workshop in Noumea last year. I was fortunate to attend that conference, and since returning from that workshop I've been working my way through to get proper recordkeeping and management as one of the national issues for my country's immediate priorities and attention.

I was asked to speak at this conference on the theme: 'A PSC Commissioner's perspective on the importance of good public recordkeeping and how archivists and public service commissioners can work together to achieve improvements in this area'. Therefore what I have presented herein addresses the theme in three main parts; firstly, my perspectives on the importance of good public recordkeeping; secondly, the issues affecting recordkeeping and management; and thirdly, on how archivists and PSC can work together to achieve improvements.

It should be borne in mind that what has been presented herein are mainly drawn from my personal experiences as a Commissioner of the Papua New Guinea Public Service Commission and they concern the public administration of my country.

## Perspectives on the importance of public recordkeeping

### 1. Personnel review – a quasi-judicial role of a Public Service Commissioner in Papua New Guinea

One of the roles I am entrusted to undertake as a Public Service Commissioner of Papua New Guinea is to conduct personnel reviews in the public service. This involves reviewing administrative decisions, made by departmental heads, the provincial administrators and those empowered by law to do so, which affect a public servant. Thus when an aggrieved public servant applies for review, the first and the most important evidence I often seek is the decision in question. If it's a disciplinary matter resulting in dismissal or some other penalty, I call for proof of such a decision, for without such a proof a review cannot proceed.

#### **(a) Proof of an administrative decision is condition precedent to warrant a review**

In normal circumstances it would appear that proof of the decision would not be a difficult one, as this can be easily ascertained from either the aggrieved officer or from the administration. This is because they are the only parties legally responsible to account for each of their actions. On the part of the administration it accounts for the kind of decision it has made; and for the aggrieved it is the basis upon which he can be heard and for the review to advance to a substantive level.

#### **(b) Status quo prevails when parties fail to establish or prove an administrative decision**

It is sad to state that on numerous occasions I had to abandon reviews and allow status quo to prevail, simply because both parties cannot prove the decision in question. In this instance the common argument often advanced by the aggrieved is that he should not be penalized or held accountable for non-production of the

decision because he is not responsible for making it in the first place. He contends that recordkeeping is the responsibility of the administration. As such, it should be held accountable and penalized for failing to do so and or for denying same.

The arguments of the aggrieved are sound and valid. Therefore to do justice I have no choice but to uphold the doctrine of status quo by ordering for his reinstatement and reimbursement of lost salaries and entitlements if he has been terminated.

**(c) Status quo is to hold the administration accountable for its failure to keep records**

From the perspective of the aggrieved, the decision to apply the doctrine of status quo is a fair one for reasons alluded to earlier. And no one could dispute it if it's proven that the aggrieved has an unblemished track record. But what if he is a bad person; that his performance is pathetic and his disciplinary record stinks? Is he worthy to be retained? No right-minded person, and certainly the administration, would be the first one to jump up and say this kind of person is not needed in the public service. Therefore from the perspective of the administration, the application of the doctrine of status quo would not apply to this kind of person.

I would agree with the administration's contention only if it admits that it was the culprit that made the decision in question, the subject of the review, and provided it adduces evidence to sustain or prove that the aggrieved is a bad person having a very bad track record. I cannot allow the administration to escape from its primary and traditional roles of good public administration, governance, transparency and accountability. If I do, it would be self-defeating and compromising my role as a Commissioner for not holding the administration accountable for its actions.

**2. Reason for briefly stating the role of a Commissioner**

**(a) Good governance, transparency and accountability**

I've decided to commence my presentation in the above way to portray how important recordkeeping is in public administration. It promotes good governance and administration, transparency and accountability.

Proper recordkeeping enables the decision maker – a departmental head, a provincial administrator, a chief executive officer or any person empowered to do so – to make an informed decision in a timely manner and without delay. An informed decision is a good one, as it is based upon recorded facts and evidence which will always withstand time and challenges and will speak for itself even in the absence of its maker. But improper recordkeeping brings disaster, creates doubts and fears and promotes bad governance and administration. Its transparency becomes suspect and its accountability compromised. It breeds corruption.

The experience I've gained through personnel reviews as explained earlier and through other functional areas of responsibility compels me to state that recordkeeping and management in Papua New Guinea needs urgent serious scrutiny and improvement.

**(b) To portray that there is an urgent need for proper recordkeeping in Papua New Guinea**

I must add that the above view is equally shared by the Auditor-General, the Ombudsman Commission, the Public Accounts Committee and by other Commissions of Inquiry. One only needs to read their reports to find out and confirm this. Even ordinary members of the public express similar concerns over departments and organisations such as Lands, Community Affairs, Foreign Affairs, Personnel Management and National Housing Corporation. These are depart-

ments and organisations which are accountable to the public on their respective functional duties and responsibilities. When asked to account for specific areas of responsibility they fail, which implies that they are very poor in recordkeeping and management.

## Issues confronting records management

### 1. Managing records is the key problem in Papua New Guinea

Records have always been kept but the problem lies with poor management. As time evolves circumstances and situations change. When a new government takes over, names, structures, functions and manpower of departments and organisations likewise change. These changes affect the way records are managed. And when management doesn't play its proactive role to review and upgrade its recording systems, the door is opened to allow information to end up in a wrong file, thereby making easy accessibility a problem, which may eventually lead to loss of information.

### 2. Lack of statutory-mandated office to oversee and coordinate proper records management

Lack of a legally-mandated body to coordinate and oversee proper records management is yet another factor which contributes towards the compounding recordkeeping problem. While there is the National Archives Office of Papua New Guinea it plays a different role and not one of coordination. Therefore urgent steps should be taken to constitute a body with powers to initiate and coordinate policies, programs and procedures for recordkeeping and management.

### 3. Recordkeeping and management are often given a low profile by management

When management doesn't recognise that recordkeeping and managing are both important, the chances are that all the officers within the department or the organisation will likewise give a very low profile to it.

### 4. Lack of training

This could be one of the reasons why a manager gives a very low profile to recordkeeping and management. If he or she and his officers are not adequately trained, they won't acquire the knowledge and skills needed to improve. Therefore training is a must.

There is currently training offered by various institutions and consultants in the country on an ad hoc basis. Thus there is a need for proper coordination to maintain quality and uniformity on current trends, systems, knowledge and skills applicable for recordkeeping and management.

## What archivists and the Public Service Commission can do to achieve improvements – the way forward for Papua New Guinea

### 1. Recognise and strengthen the National Archives of Papua New Guinea

There is no need to institute and establish a new and separate body to take control and responsibility over the issues expressed above, in particular, to initiate and coordinate policies, programs and procedures in this area. There is already in existence the National Archives of Papua New Guinea. What is required is for it to be given the proper legal recognition and mandate to take the lead role in recordkeeping and management.

I appreciate the dual roles of the National Archives of Papua New Guinea – which is no different from those of Australia, especially as an enabler of good public administration and accountability. After participating in the toolkit workshop in Noumea, I am convinced that the right way forward for Papua New Guinea is to give institutional strengthening to the National Archives of PNG. This body is the rightful and the most qualified, having a wealth of knowledge and skills to take command of the issues relating to records.

The recognition it should have should be by way of the following:

- ▶ it should have its own Act and be separated from the libraries
- ▶ its status as an office should be abolished and be elevated to a department level
- ▶ it should be removed from the Ministry of Education and placed under the Prime Minister's Department to be at par with its counterpart in Australia
- ▶ its resource capacity (finance, manpower and other resources) should be reviewed and increased to an acceptable level in order for it to adequately discharge its duties and responsibilities

## **2. The role of the Public Service Commission in the way forward for Papua New Guinea**

The Public Services Commission in PNG unfortunately does not become involved in policy initiation and implementation. That role is played by the Department of Personnel Management. PSC is a quasi-judicial body responsible for reviews of personnel matters and organisations, especially, the State Services and Institutions. As to how the Commission can help, the only way possible is through a conduct of the review of the office of the National Archives. And with powers to inform and offer advice to Cabinet on such reviews, I see that there is merit and chances of success in achieving above improvements.

What is required on the part of the

National Archives, to kick start the process, is to write and request the Commission to exercise its powers under the Constitution of PNG and conduct an organisational review of the office within a time frame.

## **Conclusion**

I began my presentation by exposing the role of a Commissioner concerning personnel matters. That was purposely to portray and expose in a practical context the need for proper recordkeeping and management. The administration cannot escape from its traditional role of proper accountability. And there are bodies like the Public Services Commission, the Ombudsman and the Auditor-General, who are mandated to expose the administration's failure and demand for it to be accountable. But demanding for it to be accountable won't do any good if the records are lost and non-existent. The best option and way forward to avoid this would be to allow expert enablers of recordkeeping, the archivists, to take the lead role and showcase how proper recordkeeping and managing it should be done professionally.





# « Mes archives et moi » ou comment une association peut aider les archivistes à sensibiliser les fonctionnaires

**Alice Grippon**, avec le soutien de Chloé Moser

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■ Alice Grippon est coordinatrice du centre de formation de l'Association des archivistes français. Elle s'occupe aussi du suivi des publications et des projets. Elle copilote avec Chloé Moser le groupe de travail sur la sensibilisation des fonctionnaires.

■ Chloé Moser est chargée de mission « Archives publiques » aux Archives départementales des Hauts-de-Seine depuis 2004. Elle est membre du bureau de la section Archives départementales de l'AAF et de groupes de travail.

*L'Association des archivistes français (AAF), en souhaitant travailler sur la sensibilisation des fonctionnaires, a trouvé un moyen de faire parler du métier : un dépliant associant discours clair et forme attractive. La profession souffre d'un déficit d'image, il faut modifier nos manières de communiquer pour vivre et survivre, ainsi que pour améliorer la gestion quotidienne des archives, le plus en amont possible. Cela répond à une attente des archivistes en matière de simplification, de clarification voire de vulgarisation du discours professionnel et du métier. Telle était la priorité de l'association : sensibiliser le futur fonctionnaire en amont de la production des documents et intégrer dans son cursus l'acquisition des réflexes de bonne gestion des archives, au même titre qu'il apprend à rédiger une note ou à connaître les droits et devoirs du fonctionnaire. Pour faciliter ce projet, un outil de communication a été mis en place. Présenté au Congrès international des archives, le dépliant, et la démarche qui y a abouti, est exposé dans cet article, ainsi que les projets annexes qui en découlent.*

Depuis de nombreuses années<sup>1</sup>, l'Association des archivistes français, à travers son centre de formation, espérait attirer dans certains de ses stages un public plus large que celui des professionnels des archives. L'objectif était de former les agents en poste à la gestion de leurs archives et donc ainsi à la gestion des archives courantes de leur service.

Force est de constater que ces essais se sont révélés infructueux : par exemple, la formation sur mesure sur « La sensibilisation à la gestion des archives courantes » n'a jamais été réalisée à destination du public alors visé, celui des personnels d'encadrement.

Parallèlement, le catalogue de formation proposé chaque année par le centre de formation de l'association est envoyé à tous les services de ressources humaines des conseils généraux et des communes les plus importantes, mais aucune inscription émanant d'un agent travaillant dans un autre service que celui des archives et/ou de la documentation ne nous est jamais parvenue.

Il était donc logique d'en arriver à ce constat : d'une part, les services ne sont pas demandeurs d'actions de formation ou de sensibilisation sur les archives, et d'autre part, l'information à ce sujet ne parvient pas jusqu'aux agents, avec une offre assez alléchante pour entraîner une inscription.

Reprenant ce constat et soucieux d'aider les archivistes départementaux dans la connaissance puis la reconnaissance de leurs fonctions, la section Archives départementales de l'Association des archivistes français a pris le relais de cette réflexion.

En mai 2007, le nouveau bureau de la section en a fait une priorité et Chloé Moser, membre de ce bureau et archiviste aux Archives départementales des Hauts-de-Seine, s'est proposée pour piloter ce dossier. Pour faciliter le fonctionnement, une

deuxième pilote l'a rejointe : Alice Grippon, coordinatrice du centre de formation de l'Association des archivistes français. Toutes deux apportaient ainsi leurs expériences dans des domaines complémentaires et indispensables pour ce projet. Chloé Moser avait déjà l'expérience du contact avec les fonctionnaires, savait dialoguer avec eux, n'ignorait rien des rouages de la fonction publique. Ensuite, l'une comme l'autre connaissait les besoins de formation et d'informations relatifs aux archives, en tant que fonctionnaire ayant suivi une formation initiale après concours pour Chloé Moser et grâce à l'accueil et au contact avec plus de 400 stagiaires par an pour Alice Grippon. Toutes deux connaissaient également le fonctionnement des formations puisque Chloé Moser en animait et qu'Alice Grippon est coordinatrice du centre de formation depuis quatre ans. Cette dernière permettait enfin de prendre en compte les contraintes de l'association dans ce projet.

Au fur et à mesure que des contacts étaient noués, un groupe de travail s'est constitué, qui a abouti à une représentation de toutes les sections de l'association. En effet, si la section Archives départementales semble la plus légitime pour impulser un tel projet, il est évident que toutes les sections sont amenées à rencontrer des producteurs d'archives dont la méconnaissance de ce domaine est flagrante et pour lesquels des actions de formation/sensibilisation sont programmées et organisées. Ainsi la section Archives communales et intercommunales a rejoint le groupe de travail, tout comme la section Archives régionales, la section Archives des administrations centrales et même la section Archives économiques et d'entreprises.

Un mode particulier de fonctionnement a rapidement été choisi : le groupe de travail serait là pour enrichir, critiquer, commenter, tester et valider les différents éléments proposés par Alice Grippon et Chloé Moser. Ce fonctionnement permettait d'éviter les déplacements et les difficultés liées aux emplois du temps, et faisait gagner du temps tout en facilitant la réactivité.

<sup>1</sup> Cet article correspond à la version rédigée de notre présentation pendant le Congrès international des archives de juillet 2008 à Kuala Lumpur, prenant en compte les évolutions récentes.

## Éléments de contexte : la fonction publique en France

La fonction publique en France représente 5,201 millions de personnes dont 2,524 millions pour la fonction publique d'Etat<sup>2</sup>. Les autres personnes sont réparties entre fonction publique territoriale et fonction publique hospitalière.

Voici quelques éléments de comparaison : 4,364 millions d'Allemands travaillent dans la fonction publique et en Finlande cela représente 25% de l'emploi total pour 21,3% en France, soit un salarié sur 5. Il est également nécessaire de prendre en compte le chiffre suivant : en dix ans, la fonction publique a accueilli 71 000 nouveaux agents.

Si l'on ramène ces chiffres au réseau des services d'archives, on se rend vite compte qu'il est préférable d'agir auprès des nouveaux agents (soit nouvellement arrivés en poste, soit en cours de formation), les actions étant alors sans nul doute moins nombreuses et plus faciles à organiser.

Ainsi il existe 467 services publics d'archives en France (Archives communales et intercommunales, départementales, régionales et nationales), ce qui représente environ 4931 personnes qui y travaillent.

Par un calcul simple, voire simpliste, on parvient à un archiviste pour 5000 fonctionnaires en poste ou un archiviste pour 14 nouveaux fonctionnaires par an. Sachant que tous les archivistes ne sont bien sûr pas en charge de la collecte, de la sensibilisation et de l'action auprès des services versants, il paraît plus rationnel et efficace de s'adresser aux « nouveaux fonctionnaires ».

## Les raisons de ce projet

Former les nouveaux fonctionnaires et même les former alors qu'ils sont encore en situation d'apprenant, directement dans les écoles de fonctionnaires, telle était donc la

priorité. Il fallait bien sûr entreprendre des démarches, nouer des contacts et proposer à la fin d'intervenir par le biais d'une formation. Pour faciliter ce projet, il a paru plus sûr et efficace de proposer d'abord un support, servant de point de départ à la formation mais également d'objet de présentation et de promotion de notre action, auprès des décideurs d'une potentielle formation ; nous espérons qu'ainsi ce support nous ouvre les portes.

C'est donc tout naturellement qu'est venue l'idée d'un dépliant qui serait distribué aux élèves qui suivraient la formation et qui pourrait également être utile pour les agents déjà en poste. Il était important que ce document soit percutant : que son envoi dans les écoles de fonctionnaires intrigue et pousse à demander une formation, que sa forme soit claire, voire ludique et que cela modifie la manière dont sont perçues les archives.

Telles étaient les principales attentes définies par le groupe de travail. D'abord concevoir un document de sensibilisation sérieux mais qui ne soit ni austère ni trop professionnel. Ensuite arriver à imaginer un document qui puisse être affiché, conservé et même exposé. Ce document devait également nous permettre de communiquer d'une manière originale. Enfin le groupe de travail souhaitait que le support contribue à balayer les idées reçues en matière d'archives et par extension que l'image du métier s'en trouve améliorée et valorisée.

Au final, le groupe de travail souhaitait que les fonctionnaires ainsi sensibilisés ne puissent plus dire « je ne sais pas ce que sont les archives », « cela ne me concerne pas » ou « je ne sais pas à qui m'adresser » et que ce support leur permette de répondre à ces questions. Face à ces exigences et dès la première réunion, le choix du format du document s'est porté naturellement vers le dépliant. Nous avons évoqué le format d'une affiche mais devant les contraintes de la réalisation et surtout de l'envoi, il a paru plus efficace de se concentrer sur le dépliant.

<sup>2</sup> Chiffres au 31 décembre 2006.

## Quelles idées pour le dépliant ?

Lors de cette première réunion en novembre 2007, des principes ont été retenus concernant la forme et le fond. Premier principe, se mettre à la place du fonctionnaire lors de l'écriture de ce document pour ainsi éviter de rester dans la sphère archivistique. Ensuite, le guider vers des automatismes et lui transmettre des notions relatives aux archives. Ne pas utiliser un vocabulaire professionnel mais au contraire avoir un langage le plus courant possible tel était le troisième principe. Enfin, parler à la première personne du singulier constituait le quatrième principe.

Après avoir défini ces quelques idées, le titre s'est esquissé : lier la notion d'archives avec le mot « moi ». Nous avons ainsi le choix entre trois possibilités :

« Moi et mes archives », formulation qui avait l'avantage d'impliquer directement le lecteur mais n'était pas correcte.

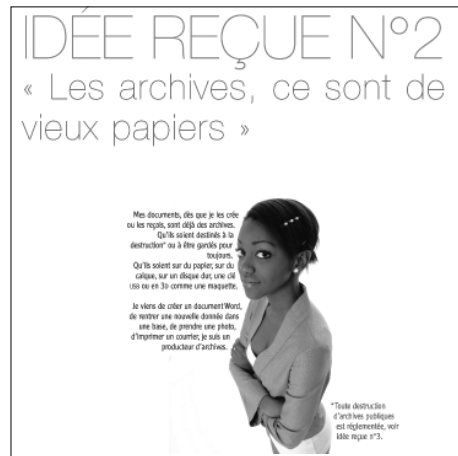
« Des archives et moi », proposition qui avait l'inconvénient de ne pas impliquer directement le lecteur face aux archives (« Des » et non « Mes ») et de faire penser à la chanson « Déshabillez-moi » de Juliette Gréco ; cette approche très ludique paraissait toutefois risquée...

Enfin « Mes archives et moi » qui ne présentait aucun des inconvénients des deux expressions précédentes et nous permettait d'intégrer certains des principes exposés ci-dessus.

Cette réunion a également permis d'écrire une première version du contenu.

Nous avons souhaité partir d'idées reçues, émises tant par l'entourage professionnel que personnel. Trois ont été définies : « Les archives, cela ne me concerne pas », « Les archives, ce sont de vieux papiers » et « Je range et je fais du vide quand je veux ». Pour chacune de ces idées, un texte démontrant point par point l'inexactitude de ces phrases a été écrit, en essayant d'être le plus exhaustif possible sur les diverses situations (par exemple, les supports tel

que papier, e-mail, bases de données, plans, photos, etc. ou les postes comme adjoint, directeur, élu, technicien, informaticien, etc.). A ces démonstrations simples, répondant aux idées reçues, ont été ajoutés des points permettant de préciser ou détailler certaines questions. Ainsi des encarts particuliers sur la réglementation ayant trait à la destruction des archives ou bien sur la définition des archives publiques ont été proposés.



En parallèle, les parties jugées importantes et donc destinées à être affichées ont été définies. Elles sont au nombre de six :

► *Conseils pratiques ou pour éviter que mes archives ne deviennent un problème* : ce sont des conseils de base sur la bonne gestion quotidienne de ses dossiers (enlever les brouillons, nommer correctement les fichiers numériques, etc.).

► *Mes outils de travail* : dans cette partie, nous ne pouvions faire l'impasse sur les outils pouvant aider les agents mais qui, étant proposés et mis en place par les services d'archives, relèvent de la pratique archivistique. Les notions de plan de classement, de bordereau d'élimination, etc. y sont définies.

► *Mes interlocuteurs* : selon l'endroit où l'agent travaille, le service d'archives

compétent a été indiqué (si je travaille dans une mairie, les archives municipales ou départementales ; si je suis officier public ou ministériel, les archives départementales) en incitant à la fin à consulter l'annuaire disponible sur le site institutionnel de la Direction des archives de France.

► **Glossaire** : cette partie fournit quelques définitions en particulier sur la théorie des trois âges des archives.

► **Bibliographie** : quelques ouvrages édités par l'Association des archivistes français y sont recensés et des éléments de webographie sont indiqués.

► **Textes réglementaires** : les principaux textes régissant les archives en France y sont indiqués, permettant aux agents de faire des recherches s'ils en ont besoin. Dans la première version du dépliant, il avait été décidé de ne pas attendre le vote définitif de la loi sur les archives qui était alors en discussion au Parlement français. En effet, la loi modifie surtout le régime de communication des archives et le public premier de ce dépliant n'est pas immédiatement concerné. Cette nouvelle loi sur les archives est parue au *Journal officiel* du 15 juillet 2008 et la deuxième édition du dépliant y fait référence.

aux observations reçues, une nouvelle idée reçue a été ajoutée : « Avec l'informatique et la numérisation, il n'y aura plus de problèmes d'archivage ». Après cette étape, le texte était composé : quatre idées reçues et six parties pratiques.

## Un dépliant, mais avec quelle forme ?

Le contenu ainsi rédigé, nous avons pris rendez-vous avec le graphiste avec lequel travaille régulièrement l'association. Au départ, le contenu avait été écrit en lien avec la forme suivante : un carré qui se dépliait au fur et à mesure de la découverte des idées reçues pour aboutir à une croix dont une des faces serait constituée par les parties à afficher et l'autre par les idées reçues. Ce format nous séduisait par son côté « surprise à chaque page », permettant l'affichage, ludique, novateur et moderne.

Malheureusement le graphiste nous a rapidement dit que ce choix semblait difficile à réaliser : les coûts d'impression, de façonnage, de découpe et de pliage seraient très importants. Nous nous sommes donc concentrés sur un format plus basique en six volants, correspondant aux six parties à afficher. Nous avons également discuté avec le graphiste de nos idées de titre et du lien avec la chanson « déshabillez-moi ». Tout ceci a abouti à une première proposition très originale mais également trop dénudée : une jeune femme soulevant sa robe très légère s'y exhibait et les idées reçues étaient disposées tout autour de son corps. Avec un tel choix graphique, nous ne manquions pas de faire parler du métier, ce qui était un des objectifs définis par le groupe de travail, tout en dépoussiérant les images liées aux archives. Mais après discussions, il parut préférable de retravailler ce projet. Hormis les réactions parfois violentes que soulevait ce visuel (« c'est un dépliant machiste », « on est en plein stéréotype de la secrétaire qui n'a rien dans la tête... Quand elle aura fini de faire le café et le reste... »), un argument



Cette première version du dépliant a été transmise à tout le groupe de travail pour lecture, commentaires et critiques. Grâce

professionnel était important : il était difficile de faire passer un message sérieux et technique de sensibilisation aux archives en présentant un tel document en formation face à des responsables de services.

Nous avons donc demandé au graphiste de retravailler sur le document en lui ajoutant quelques contraintes : il était indispensable de proposer d'autres supports d'archives ; en effet dans la première version ils se limitaient à des classeurs gris. Nous souhaitions également diversifier les personnes et les emplois représentés.

Quelques semaines après, il nous a donc proposé une seconde version du dépliant ; cette fois-ci la composition était horizontale avec un graphisme axé sur un jeu de couleur car sa première proposition lui avait montré à quel point il est difficile de trouver une image consensuelle. Toutefois, des photos restaient présentes, liées aux idées reçues. Finalement, quatre personnes illustrent les quatre idées reçues, avec des hommes et des femmes, des jeunes et des moins jeunes, des blancs et des noirs, des costumes et des tee-shirts, des blonds, gris, châains, bruns...

d'images. La prestation du graphiste nous a quant à elle coûté 1 940 € et la facture de l'imprimeur s'est élevée à 3 847 €.

Ces chiffres sont ceux du premier tirage du dépliant, effectué à 10 000 exemplaires. Au total, chaque exemplaire coûtait donc 0,60 €. Le chiffre de 10 000 exemplaires imprimés représentait au début un pari, sur la base de l'estimation des nouveaux agents recrutés chaque année par la fonction publique et dans l'espoir que les collectivités auraient de gros besoins exprimés par de grosses commandes.

Au vu de ces chiffres, il a été décidé de vendre le dépliant à 1 € l'unité, prix qui peut paraître élevé mais ce document est conçu au format 17x17 cm et sur papier épais (250 g). Le conditionnement était fait par paquet filmé de 50 unités du dépliant : il a donc été décidé de ne vendre que par multiple de 50 et à partir de 250 exemplaires, soit cinq paquets, de ne facturer aucun frais de port.

Rapidement les premières commandes sont arrivées. De 50 à 500 exemplaires selon les commandes et à peine deux mois après



## Éléments économiques

Ce dépliant représentait une grande nouveauté pour l'Association des archivistes français : des personnes y étaient représentées en photographie et heureusement le graphiste qui travaille régulièrement avec nous a su limiter les dépenses, puisque l'achat de ces photos n'a représenté que 28 € environ, celles-ci étant issues de bases photographiques à large usage publicitaire mais qui ne proposaient qu'un choix limité

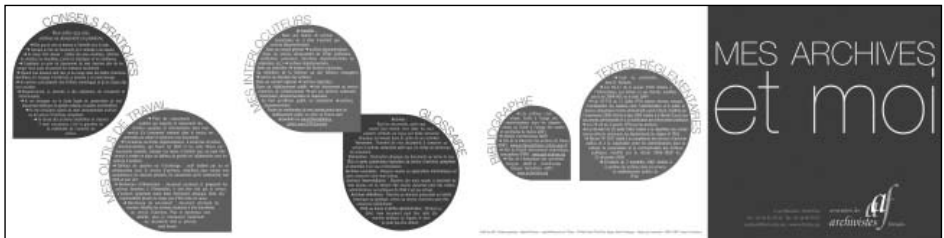
la réception des documents, nous nous sommes aperçus que nous n'allions pas pouvoir honorer toutes les commandes. Une réimpression a donc été effectuée trois mois après la première à 25 000 exemplaires<sup>3</sup>. Quelques modifications ont été apportées à cette seconde version (date, numéro de la version, nouvelle loi d'archives et quelques coquilles qui nous avaient échappées).

<sup>3</sup> Au 30 janvier 2009, il nous reste un peu moins de 19 000 exemplaires sur les 35 000 imprimés au total.

## Les retours

La diffusion de ce document (en vente et distribution d'un exemplaire aux 1 300 adhérents de l'association) a permis d'avoir des retours. Ceux-ci sont majoritairement très bons, ce que nous avons déjà ressenti lors du Congrès international des archives en juillet 2008 à Kuala Lumpur.

Ce type de document répond à une attente des archivistes en matière de simplification, de clarification voire de vulgarisation du discours professionnel et du métier.



Il est encore rare que le choix soit fait d'adopter un ton non professionnel pour parler des archives avec une mise en forme très attractive. Ces efforts ont été salués et de nombreux archivistes d'autres pays se sont montrés intéressés, d'autant plus que nous avons prévu une traduction en anglais des textes du dépliant et que notre présentation proprement dite était également en anglais. Les rencontres faites lors de cet événement nous ont permis de comprendre à quel point la situation du réseau archivistique français était particulière : pourquoi une association se chargeait-elle de ce travail et pas une institution ? La décentralisation n'est pas chose aisée à comprendre pour les étrangers.

Nous avons également eu des retours sur l'utilisation et la distribution lors d'actions de formation ou de sensibilisation, ce qui était le but premier de ce dépliant.

Voici un exemple de cette utilisation :

*« Nous avons distribué cette plaquette à tous les agents d'une direction, y compris les correspondants archives, dans le cadre de*

*leur formation sur les archives.*

*» La plaquette m'a servi de support pour une définition sommaire des archives : qu'est ce, quelles sont les responsabilités de chacun, la réglementation, les procédures, et évoquer des questions d'actualité sur les documents électroniques. Les quatre idées reçues permettent de structurer un bon discours qui aborde les points essentiels de la définition des archives, ça m'a donc aidé à illustrer des notions parfois abstraites. Le format et les couleurs aident à attirer l'œil et l'intérêt des participants qui échangent*

*plus facilement. Pour moi, c'était un très bon support de mon discours, beaucoup plus attrayant qu'un simple powerpoint (j'ai testé et vu une différence d'intérêt des agents).*

*» Les agents quand à eux n'ont pas hésité à l'ouvrir, le retourner, le parcourir. Les idées reçues correspondaient aux leurs, même s'ils ne le reconnaissent pas ouvertement. Elles ont amené d'autres questions intéressantes (« les affiches sont-elles aussi des archives ? », « pourquoi conserver aussi longtemps ? »). Les arguments et explications que nous avons commentés ensemble sont clairs pour eux. Je pense que c'est un document qu'ils liront, même une fois seuls, et qu'ils conserveront plus facilement qu'un document papier quelconque. Cependant, ils ne s'y référeront sans doute pas au moment de verser leurs archives. S'ils ne l'accrochent pas ou ne le laissent pas sous leurs yeux, je ne sais pas s'ils le reliront plus tard, sauf s'ils doivent un jour eux même expliquer ce que sont les archives.*

*» Dans le cadre d'une formation c'est donc un très bon support du discours, qui*

*intéresse et fait réagir les agents.<sup>4</sup>*

Ces commentaires nous permettent de comprendre l'impact que peut avoir le dépliant et de savoir si les buts recherchés sont atteints. L'appropriation par les agents, aussi bien de la forme que du fonds, est prometteuse et le discours qui accompagne cette distribution a sans doute plus de chance d'atteindre ces personnes, non archivistes, novices et qui découvrent un domaine qui véhicule une mauvaise image. Nous l'avons dit et redit mais parfois certains commentaires nous font comprendre que les archivistes n'ont pas intégré l'objectif de ce dépliant : il s'agit d'un outil pour faire parler du métier, interroger sur les archives, permettre une première approche avant d'approfondir. Dans nos entourages personnels, beaucoup ont mieux compris ce qu'était notre travail à la lecture de ce document et les idées reçues développées correspondaient souvent aux questions qu'ils n'osaient pas nous poser.

## Les projets associés

Lorsque nous avons précédemment exposé les origines de ce projet, nous avons parlé du souhait de l'Association des archivistes français de se rapprocher des écoles de formation des futurs fonctionnaires. Cette action en est donc le premier prolongement : il s'agit d'intervenir dans les formations de fonctionnaires, pour sensibiliser aux archives, aux règles de base de bonne gestion en s'appuyant sur le dépliant « Mes archives et moi ». Une liste des écoles a été dressée et nous en avons recensé 39 en France, avec une importante diversité des métiers concernés (du greffier aux gendarmes, en passant par le personnel administratif de tous niveaux, les éducateurs ou les vétérinaires). Actuellement, nous travaillons sur un scénario pédagogique pour une intervention de deux à quatre heures selon les situations, en préparant un kit à l'usage de l'intervenant (présentation de l'association et de ses actions, dépliant

« Mes archives et moi », etc.). Un déroulé type sera proposé intégrant la présentation des différents éléments développés sur le dépliant.

Nous souhaitons tester cette action dans une ou deux écoles pour lesquelles le groupe de travail aurait déjà des contacts. Cette partie du projet est envisagée sur le long terme d'autant plus que les écoles ne sont pas centralisées à Paris. Par exemple, l'Institut national du travail, de l'emploi et de la formation professionnelle est chargé de la formation de 12 000 agents à travers neuf centres interrégionaux de formation : Lille, Paris, Nancy, Nantes, Dijon, Marseille, Toulouse, Bordeaux et Lyon.

Le but est d'arriver à sensibiliser le futur fonctionnaire en amont de la production de documents et d'intégrer dans son cursus l'acquisition des réflexes de bonne gestion des archives, au même titre qu'il apprend à rédiger une note ou à connaître les droits et devoirs du fonctionnaire.

Le second projet concerne la diffusion du dépliant, couplé avec notre expérience en matière de sensibilisation et de formation. Actuellement, cet outil n'est proposé à la vente qu'uniquement en paquet de 50 exemplaires. Nous souhaitons également le distribuer à l'unité par le biais de la vente d'un ouvrage aidant les archivistes à mener des actions de sensibilisation ou de formation.

Nombreux sont les archivistes qui dans le cadre de leurs activités sont amenés à organiser et conduire des actions de formation et de sensibilisation. Ils sont majoritairement non préparés à cela : aucune formation initiale en archives n'intègre cet aspect pédagogique du métier. Aussi, à travers l'expérience du centre de formation en matière de « formation des formateurs » et en prenant en compte des retours d'expérience, nous souhaitons publier un ouvrage donnant un certain nombre de pistes et conseils.

L'Association des archivistes français a mis en place une collection intitulée « Les petits guides des archives ». Cette

<sup>4</sup> Retour après une formation à la mairie d'Orvault (44) en décembre 2008.



collection, rattachée au centre de formation, est destinée à utiliser et promouvoir les supports de formation distribués lors de ces stages. Notre projet trouve donc tout naturellement sa place dans ce cadre. Les principes sont les suivants : un ouvrage pratique, de peu de pages, allant à l'essentiel avec des schémas, des annexes, des fiches pratiques, etc. Nous avons donc lancé un appel sur le forum de l'association pour avoir connaissance des expériences menées par les autres collègues. Les retours ont été nombreux mais ils concernent principalement des présentations sur vidéo-projecteur. Nous sommes actuellement en phase de construction et rédaction de l'ouvrage. Celui-ci se composera de fiches sur les techniques pédagogiques appliquées aux archives que l'on peut mettre en œuvre, de conseils pour animer une action de formation ou de sensibilisation, d'annexes présentant des bons et mauvais exemples en matière de composition de présentation pour vidéoprojecteur, d'exemples de questionnaires, de scénario pédagogique, etc.

Il y a quelques années, lorsque ce projet était évoqué, tout nous paraissait difficile et lointain. Le groupe de travail et l'organisation mise en place nous a permis d'avancer rapidement et efficacement sur ce projet. Un premier document a abouti, permettant de mieux cerner le projet, de faire parler de l'Association des archivistes français tout en gagnant un peu d'argent.

Il nous faut maintenant continuer et les projets se multiplient : deux ont été évoqués en fin d'articles mais les ramifications sont multiples : pour ne citer que deux exemples, le centre de formation de l'AAF propose actuellement des formations pour ses formateurs occasionnels, leur permettant de professionnaliser leurs pratiques en matière d'animation de stage pour adultes, ce que nous apprenons lors de ces séances trouvant tout naturellement écho dans le petit guide préparé. L'autre exemple concerne le dépliant en lui-même : on pense créer un groupe de travail parallèle pour réfléchir à une version de « Mes archives

et moi » destinée aux personnes travaillant dans le secteur privé. Des actions de mécénat pour financer ce projet pourraient être envisagées. Et nous pourrions citer d'autres exemples.

L'Association des archivistes français, en souhaitant travailler sur la sensibilisation des fonctionnaires, a finalement trouvé un moyen de faire parler du métier et c'est précisément ce qui sous-tendait ces dernières années nombre de nos actions. La profession souffre d'un déficit d'image et il nous faut adopter un discours clair, simple et attractif pour vivre et survivre. Le Congrès international des archives nous a permis de faire avancer rapidement ces différents projets, en nous donnant confiance sur leur portée et leur réussite, et en imaginant même des collaborations à l'échelle internationale pour décliner le dépliant selon les besoins propres à chaque pays. Il en est ainsi pour le dépliant « Mes archives et moi » mais également pour le référentiel métier<sup>5</sup> produit par l'Association des archivistes français.

5 Ce projet était également présenté au Congrès international des archives de juillet 2008 à Kuala Lumpur et il a donné lieu à différents articles.



# Gestion des archives courantes et intermédiaires : l'exemple du ministère de l'Economie et des Finances du Sénégal

## Fatou Ngom

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*Le Sénégal a adopté un programme national de bonne gouvernance en 2001. Le ministère de l'Economie et des Finances (MEF) est chargé de prendre en charge le volet économique de ce programme. En juin 2003, dans ce cadre, le Gouvernement du Sénégal, en collaboration avec la Banque mondiale et les autres partenaires au développement, a réalisé une évaluation du système de gestion des finances publiques. Cette étude a permis d'identifier les principales déficiences du système à tous les niveaux de la chaîne budgétaire en proposant des améliorations. La mise en œuvre de l'étude a recommandé l'examen des besoins urgents du ministère en matière d'archivage avec un plan d'urgence chiffré et la mise en place d'un programme cohérent. Un comité technique est chargé de la confection d'outils de gestion, de l'élaboration d'une circulaire sur la gestion des documents, de la mise en place d'un système de gestion électronique des documents et du renforcement des capacités des gestionnaires de l'information en collaboration avec des consultants spécialistes.*

Au Sénégal, le ministère de l'Economie et des Finances (MEF) est chargé de préparer et d'appliquer la politique arrêtée par le Chef de l'Etat en matière économique et financière. Il est responsable de la préparation et de la mise en œuvre des lois de finances et de la gestion de la trésorerie de l'Etat. Il représente l'Etat auprès des institutions financières internationales et élabore les programmes pluriannuels d'investissement.

Le concept de bonne gouvernance a émergé à la fin des années 1980 dans un contexte de crise économique et sociale dans la majeure partie des pays de l'Afrique subsaharienne. C'est en novembre 2001 que le processus de mise en place du Programme national de bonne gouvernance a démarré au Sénégal, sous le concept de « Programme Intégré de Réforme du Secteur Public », traduisant une forte volonté politique des autorités sénégalaises. Ce programme a évolué pour devenir le « Programme National de Bonne Gouvernance (PNBG) »,

En termes d'objectifs, elle vise :

- ▶ l'efficacité et l'efficacités des administrations publiques,
- ▶ la transparence dans les opérations administratives,
- ▶ l'obligation pour l'administration de rendre compte.

Tous ces engagements ouvrent la voie à la mise en place de systèmes de gestion cohérents et efficaces des documents produits ou reçus par les structures de l'Etat dans l'exercice de leurs fonctions.

Le ministère de l'Economie et des Finances prend directement en charge le volet économique du PNBG et concourt à sa mise en œuvre correcte. De ce point de vue, des acquis et réalisations ont été enregistrés déjà dans différents domaines de la gouvernance. Il a été en effet vite constaté que l'absence d'un système d'archivage efficace permettant aux régies financières de l'Etat de fournir les informations nécessaires en temps opportun aux décideurs,

aux organes de contrôle (internes ou externes) et aux partenaires du développement a un impact négatif sur les objectifs de la bonne gouvernance économique.

De par son caractère transversal dans l'action d'une administration financière, le système d'information est un élément central dans le dispositif de gestion des finances publiques. La gestion des archives courantes et intermédiaires dans une administration financière, bien que ne faisant pas référence explicitement à la gouvernance dans son intitulé, s'inscrit parfaitement dans cette perspective.

Nous tenterons de montrer à travers cette communication, d'abord l'importance que revêt la gestion des archives courantes et intermédiaires dans une administration financière dans le cadre de la bonne gouvernance. Nous évaluerons ensuite la gestion des archives courantes et intermédiaires dans les services de l'administration financière du Sénégal et présenterons enfin les différents projets en cours pour l'amélioration de ce système d'archivage et leur impact sur la modernisation des services du ministère.

## **1.- Les archives comme variable de gestion dans une administration financière**

### **1.1. Pour la préparation du budget**

Le gouvernement prépare le projet de loi de finances qui est transmis au Parlement (l'Assemblée Nationale). Il en est ainsi dans presque tous les pays. Au sein du gouvernement, la préparation de la loi de finances incombe au ministère des Finances et plus précisément à la Direction du Budget. Responsable de l'équilibre, il procède à l'évaluation des recettes (impôts, revenus du domaine etc....) et participe à l'évaluation des dépenses.

Cette étape fait souvent apparaître des insuffisances, car très souvent les services financiers ne disposent pas de système

cohérent de gestion des documents leur permettant de mettre à la disposition des agents chargés de l'élaboration de la loi de finances ou de la loi de règlement tous les textes et documents justificatifs, prévisions budgétaires antérieurs requis pour le faire dans les meilleurs délais.

L'archiviste devra ainsi intervenir durant tout le processus de prévision des recettes et des dépenses pour conserver les documents ayant servi aux premiers scénarios, aux versions provisoires et aux rapports définitifs qui permettent toujours aux acteurs de faire des analyses et des comparaisons avec les budgets économiques antérieurs en cas de besoin.

## **1.2. Pour l'exécution du budget**

La procédure normale d'exécution de la dépense s'analyse en quatre phases : l'engagement, la liquidation, l'ordonnancement et le paiement. L'exécution des différentes phases occasionne la création de plusieurs types de dossiers (contrats, bons d'engagement pour acquisition de matériels et de fournitures, ordres de paiement pour remboursement de dettes) que l'archiviste doit gérer de manière efficace pour pouvoir les mettre à la disposition des comptables et contrôleurs en cas d'audit.

La loi organique 2001-09 du 15 Octobre 2001 charge le ministre de fournir aux parlementaires toutes les informations leur permettant d'exercer leur mission de contrôle et demande au gouvernement de rendre compte de sa gestion par le dépôt du projet de loi de règlement avant la fin de l'année qui suit l'année d'exécution du budget.

Les services chargés du budget et du trésor doivent donc disposer de système d'informations fiables sur les différentes phases d'exécution du budget pour être à même de fournir les documents et les informations nécessaires aux services compétents pour l'élaboration des lois de règlement qui rendent compte de l'exécution des dépenses de l'année antérieure. Si la loi de règlement n'est pas aujourd'hui produite

dans les délais requis, cela entraîne souvent des déficiences dans les contrôles externes exercés par l'Assemblée nationale et la Cour des Comptes sur les finances publiques. Cette carence dans l'exercice du droit de surveillance du pouvoir législatif constitue un obstacle à la bonne gouvernance économique mais surtout financière.

## **1.3. Pour les contrôles de l'exécution des lois de finances**

Le contrôle de l'exécution de la loi de finances apparaît comme une nécessité et une obligation budgétaire dans une administration financière. Étant fondé sur l'idée d'autorisation, il permet de s'assurer de la conformité de cette exécution aux autorisations données par le Parlement. Mais si le contrôle a aussi un motif politique, il répond également à un but financier qui est d'éviter les gaspillages et dilapidations des fonds publics dans le respect des principes de bonne gouvernance financière. Le contrôle peut être exercé tant par les administrations que par les juridictions, et enfin par le Parlement.

Force est de reconnaître que la gestion courante des archives est importante tout au long du processus d'exécution et de contrôle du budget de l'État. L'exécution des différentes phases du budget (l'engagement, la liquidation, l'ordonnancement, le paiement et le contrôle) occasionne la création de plusieurs types de dossiers que l'archiviste doit pouvoir mettre à la disposition des comptables et contrôleurs en temps opportun.

Les contrôles interviennent dans toutes les phases d'exécution du budget. Le contrôleur aura besoin de la communication de toutes les pièces justificatives des engagements des dépenses, des liquidations, des ordonnancements et des paiements. Les comptes publics et leurs pièces justificatives sont produits annuellement à la Cour des Comptes. La loi organique 2001-09 du 15 octobre 2001, relative aux lois de finances, marque une ferme volonté d'amener l'exécutif à plus de diligence dans

l'obligation de rendre compte de l'exécution des autorisations budgétaires ; elle prescrit l'élaboration et le dépôt du projet de loi de règlement au plus tard à la fin de l'année qui suit l'exécution du budget.

Le processus de déroulement des contrôles montre que, sans une conservation ordonnée des documents justificatifs, aucun audit objectif ne peut être réalisé dans une administration financière. Les archives bien conservées permettent à toute administration financière de pouvoir justifier de sa gestion des fonds publics.

#### **1.4. Pour l'exécution des projets et programmes de développement avec les partenaires**

Dans le cadre des programmes et projets de développement, le Sénégal prend des engagements envers les partenaires sur les documents (cadre de politique économique, lettre de politique de développement, lettre d'intention, convention, convention document de stratégie de réduction de la pauvreté) qu'il doit respecter. Ces documents constituent le cadre d'intervention des partenaires au développement. C'est sur leur base que les bailleurs font des revues à mi-parcours pour suivre l'exécution des programmes conclus avec le Sénégal.

Une bonne conservation de l'ensemble des documents signés dans le cadre des programmes s'impose pour mieux exécuter les budgets des projets en cours et fournir les informations fiables aux bailleurs au moment des audits. Dans le cadre de l'exécution des programmes de développement, si les critères ne sont pas respectés au moment des revues, les projets peuvent être suspendus pour non respect de conditionnalité.

## **2- La gestion des archives courantes et intermédiaires au ministère de l'Economie et des Finances du Sénégal**

### **2.1. Bref historique du ministère des Finances**

Le premier gouvernement de la République du Sénégal fut constitué par arrêté n° 3738 du 20 mai 1957 portant constitution du Conseil du gouvernement. André Peytavin fut le premier ministre des Finances du Sénégal avec un département qui s'occupait essentiellement de la préparation et du vote du budget, avec les régies financières que sont le Trésor, la Douane et les Impôts. Le principal rôle du département était alors de recouvrer les recettes et de payer les dépenses de l'Etat. Le ministère de l'Économie et des Finances a connu diverses appellations depuis la création de l'administration publique sénégalaise en 1957. Selon le décret 2005-724 du 11 août 2005 portant répartition des services de l'Etat, le département devient ministère de l'Economie et des Finances et comprend outre le cabinet et le secrétariat général, les services rattachés, quatre directions générales, quarante et une directions et plus de cents services (divisions et bureaux) qui produisent chacun un volume important de documents. Comparé au ministère des Finances 50 ans plus tard, le département est devenu plus complexe.

L'expansion des fonctions et des activités du département a entraîné une multiplication des directions et services apparentés qui a engendré un accroissement continu de sa production documentaire. La masse linéaire d'archives courantes et intermédiaires stockées dans les bureaux et locaux du département est évaluée à environ 16.000 mètres linéaires de documents dont une bonne partie n'est pas encore traitée. Par ailleurs, la présence d'archives non classées occasionne des dépenses souvent exorbitantes pour leur conservation (mobilier, locaux).

## **2.2. Etat des lieux et évaluation globale du système de gestion des archives courantes et intermédiaires**

Pour gérer leurs archives, les services du ministère des Finances sont soumis aux dispositions des lois et règlements. La directive 06/97/CM/UEMOA du 16 décembre 1997 laisse les Etats organiser «selon leurs règles propres les modalités de conservation des biens et des matières, et les règles de classement».

Au plan national, la Direction des Archives, rattachée à la Primature, est responsable de la réglementation relative à la conservation de la documentation publique, chaque administration étant elle-même comptable de son application.

Aujourd'hui, dans nombre de services financiers de l'Etat le système d'archivage est en général archaïque. La plupart du temps ces services ne disposent ni d'instructions spécifiques en la matière, ni d'outils de gestion, ni de moyens humains et matériels suffisants. L'initiative laissée au niveau administratif le plus déconcentré et l'absence de contrôle de cette fonction ont abouti au fil des ans à rendre obsolète le principe de la responsabilité de conservation des documents administratifs.

## **3 - Volonté politique d'instaurer un système de gestion des archives au MEF**

### **3.1. Etude diagnostique et d'évaluation des besoins urgents du ministère de l'Économie et des Finances en matière d'archivage**

Le gouvernement du Sénégal, en partenariat avec la Banque mondiale et les autres bailleurs de fonds, s'est engagé depuis 2002, dans le cadre de la bonne gouvernance économique et financière, dans deux exercices d'évaluation portant respectivement sur les systèmes de gestion des finances publiques et de passation des marchés publics.

Ces exercices ont révélé, malgré les efforts consentis avec l'internalisation des directives de l'UEMOA relatives aux finances publiques, des insuffisances notées dans un certain nombre de domaines, notamment le système d'information au sein du Ministère de l'Économie et des Finances et plus particulièrement le système de gestion des archives et de sa documentation.

La prise en charge d'une telle situation qui figure parmi les recommandations de l'évaluation du système de gestion des finances publiques et de passation des marchés a incité les décideurs à réaliser une étude diagnostique des besoins urgents du MEF en matière d'archivage, comprenant la définition d'un plan à moyen terme pour la mise sur pied d'un système efficace de gestion des documents et des archives. En mars 2005 un consultant a été choisi et il a bénéficié de la collaboration du comité technique et des services centraux et décentralisés du MEF.

Des enquêtes sur l'état des lieux de l'organisation institutionnelle et de la gestion de l'archivage ont été conduites auprès de l'ensemble des services du département, soit au total 132 structures .

#### **3.1.1. Les constats**

Sur le total des unités visitées au sein du département, il a été constaté que :

- ▶ la fonction gestion des archives n'occupe pas toujours la position stratégique qui sied dans l'organigramme des directions générales, directions et autres services du MEF ;
- ▶ 105 services ne disposent pas de service d'archives (80%);
- ▶ 96 services ne disposent pas de local aménagé et dédié à la conservation des archives (72%);
- ▶ 62 services (71%) emploient des non diplômés, soit 60 agents ;
- ▶ la diversité des méthodes de classement des archives est assortie d'une faible référence aux normes admises en matière de conservation et d'archivage des documents

administratifs ;

- ▶ l'existence d'un passif important d'archives non classées nécessite une vaste opération de traitement et de classement ;
- ▶ l'absence de centre de préarchivage propre au MEF ;
- ▶ le recours au système de gestion électronique des archives n'est présent que dans une vingtaine de services du MEF (15%).

### 3.1.2. Les recommandations

Les recommandations issues de l'étude sont d'ordre institutionnel, technique et financier.

#### 3.1.2.1. Au plan institutionnel :

- ▶ généraliser la création de services d'archives fonctionnels au niveau central (Directions générales, Directions, etc.) et au niveau déconcentré notamment dans les Trésoreries-paieries régionales, les centres de services fiscaux et les Inspections régionales des douanes ;
- ▶ donner une plus grande visibilité aux services d'archives, en les rattachant dans les organigrammes des différents services à des structures dotées d'un pouvoir de décision (Cabinet, Directions générales, Directions) ;
- ▶ création d'un comité de gestion de la mise en œuvre des recommandations validées par arrêté ministériel. Les missions de ce comité seront élargies à la coordination de la gestion de la fonction archives au sein du MEF.

#### 3.1.2.2. Au plan technique :

- ▶ élaborer des outils de gestion des archives (cadre de classement, calendrier de conservation, guide de gestion des archives.) et diffuser largement ces outils auprès des différents services ;
- ▶ prendre en charge d'urgence, avec l'appui d'un consultant et de professionnels, le traitement du passif d'archives non classées et stockées dans les services centraux et déconcentrés ;
- ▶ créer un centre de pré-archivage pour les services du MEF doté d'équipements fonctionnels nécessaires ;

▶ mieux coordonner le travail archivistique entre les différents services d'archives du ministère afin de pouvoir à terme harmoniser les pratiques ;

▶ recruter des professionnels : conservateurs, archivistes, documentalistes, aide - archivistes pour une prise en charge correcte de la fonction archives au sein du MEF ;

▶ impliquer des archivistes dans toutes les activités des structures du MEF afin d'assurer un meilleur suivi des dossiers, de leur création à leur élimination ou versement aux Archives nationales ;

▶ octroyer des bourses de formation et de stage aux professionnels de l'information documentaire pour leur permettre d'être capables d'appliquer les TIC dans ce domaine.

▶ organiser des séminaires périodiques de formation et de perfectionnement à l'intention du personnel spécialisé et non spécialisé ;

▶ concevoir et mettre en œuvre un système d'archivage électronique, numériser les documents et former les utilisateurs.

### Mise en œuvre du plan d'actions prioritaires issues de l'Etude

Sur le plan de la mise en œuvre du projet de modernisation de la gestion des archives des services du MEF le comité de pilotage sous la présidence d'une autorité du MEF est notamment chargé :

▶ d'organiser le travail de préparation et d'élaboration des outils d'aide à la bonne gestion de la fonction archives au sein du MEF et du traitement du passif d'archives ;

▶ de superviser les travaux de construction ou de réfection du bâtiment devant abriter le centre de pré-archivage, l'acquisition et l'installation des matériels techniques ;

▶ de gérer le processus de recrutement des prestataires de services spécialisés dans le traitement et le classement des archives non classées, dans la conception et la mise en œuvre d'un système d'archivage



électronique et dans la numérisation des documents.

L'étude a procédé à une planification opérationnelle de la mise en œuvre des recommandations de l'étude en découpant le processus, par ordre de priorité, en cinq séquences. Elle a démarré en 2008 et ne concerne que les trois premières séquences et le volet renforcement des capacités des personnels de structures d'archives du Département.

### **1<sup>re</sup> séquence : Constitution d'un comité de gestion des documents du MEF :**

A cet effet, le ministre a pris un arrêté portant création d'un comité technique chargé de la mise en œuvre du plan d'actions prioritaires pour l'amélioration du système de gestion des archives et documents des services du ministère. Il a pour objectif principal d'assurer le suivi et le contrôle de la bonne exécution du plan d'actions prioritaires.

### **2<sup>e</sup> séquence : Conception des outils de gestion des archives**

Les termes de référence de la mission ont souligné la nécessité de doter le MEF d'outils uniformes de gestion de ses archives. Il existait un ensemble de « règles de gestion des archives » sous forme de règlements et de directives d'encadrement de la gestion des archives. Le consultant en a évalué le degré de pertinence pour fonder ses recommandations et surtout pour élaborer des outils de gestion appropriés.

#### **1 - Projet de cadre de classement**

L'organigramme du MEF et différents documents ont servi au consultant de support dont le texte portant organisation et fonctionnement des différents secteurs du MEF. En recoupant ces documents avec l'organigramme, le consultant est parvenu à décliner « des grandes divisions fonctionnelles permanentes » et à les traduire en catégories avec leurs subdivisions. Elles permettent une répartition des fonds d'archives du ministère en séries et sous-

séries pour l'ensemble de la production documentaire organique actuelle et à venir du MEF. Les éléments retenus lui ont permis de concevoir un cadre de classement des archives du ministère. La gestion des documents actifs repose sur la conception et la mise en application de classifications adaptées aux ressources documentaires disponibles et d'outils de repérage permettant de répondre efficacement aux besoins des utilisateurs.

L'objectif principal est de parvenir à une uniformisation de l'organisation des archives depuis leur lieu de création-réception jusqu'à leur versement au service central des archives du MEF. Cette organisation comporte plusieurs avantages pour les agents du MEF.

#### **2 - Projet de tableau de gestion (ou calendrier de conservation et d'élimination)**

Le tableau de gestion permet à tout décideur d'assurer le suivi de ses dossiers dans le cadre du processus administratif. Il peut ainsi suivre la traçabilité des dossiers et établir les responsabilités en cas de goulot d'étranglement qui en retarde l'évolution. Cet outil, essentiel dans la politique de gestion des archives de tout organisme, est constitué par une liste exhaustive des dossiers qui indique, entre autres informations de gestion, pour chacun d'entre eux la durée de vie active et semi active, ainsi que les dispositions finales applicables, sous la forme de versement pour une conservation définitive dans un dépôt ou l'élimination avec ou sans duplication préalable.

#### **3 - Projet de circulaire sur la gestion des archives du Département**

Le dernier outil de gestion des archives du MEF prévu par les termes de référence avait trait à l'élaboration d'un projet de circulaire proposé à la signature du ministre de l'Économie et des Finances. Elle dégage une orientation pertinente et générale pour :

► percevoir de manière commune les archives en avançant des conceptions et des définitions normalisées des différentes fonctions

et démarches relatives aux archives ;

► systématiser les actions qui déterminent les relations entre les services producteurs et les services spécialisés en matière d'archives au MEF ;

► rapporter la démarche du MEF au cadre global de l'Etat du Sénégal qui s'est doté en juin 2006 d'une nouvelle loi d'archives encadrant les pratiques dans les administrations publiques ;

► mettre en perspective l'organisation en réseau des ressources d'information du Département et de ses démembrements par l'élaboration d'une politique uniforme de gestion de ses archives à partir d'outils communs ;

► consolider la fonction archives et documentation au MEF par la création de structures adaptées aux mandats définis ;

► encadrer certains actes administratifs relatifs aux archives, comme les versements d'un service producteur à un autre chargé de leur conservation définitive, les modalités de la communication des archives, les procédures de leur élimination ainsi que les responsabilités qui s'y rattachent etc.

Toutes ces questions ont fait l'objet d'un projet de Circulaire préparé par le consultant, validé par le comité technique et qui sera soumis à l'appréciation et à la signature du Ministre de l'Economie et des Finances. La circulaire devra constituer le premier maillon d'un projet de « Manuel de procédures de la gestion des archives du MEF ». Après un suivi de l'application de ces directives et orientations, il sera fait une évaluation exhaustive des avancées et des réussites qui pourront alors être consolidées dans un manuel.

### **3<sup>e</sup> séquence : Traitement du passif d'archives et conception d'instruments de recherche informatisés.**

A partir des orientations scientifiques et professionnelles, environ 6000 dossiers ont été traités. Ils ont ensuite été répartis dans un ordre approprié pour constituer un répertoire numérique des dossiers du MEF.

C'est un instrument de recherche qui donne à l'ensemble des agents, des possibilités méthodiques de recherche de documents et de dossiers entrant dans le cadre de leurs activités administratives. Il autorise aussi, selon des procédures adaptées au MEF, à exploiter ces fonds, à des fins de recherches internes, pour enrichir l'expérience et l'expertise du MEF, ou externes, par des scientifiques intéressés à l'évolution du MEF et de son action.

### **4<sup>e</sup> séquence : Renforcement des capacités des archivistes du ministère**

Dans le rapport d'études déposé en juillet 2006, le consultant a fait un diagnostic détaillé de la situation et proposé un plan d'amélioration. Parmi ses recommandations, figure la nécessité de renforcer les capacités des spécialistes de l'information documentaire et des personnels non spécialisés des services d'archives et de documentation du ministère pour une gestion plus efficace des fonds documentaires. C'est ainsi qu'en mars 2008 le comité technique a élaboré des termes de référence à l'intention du comité de suivi et de sélection des cycles de formation du MEF pour la sélection d'un consultant chargé d'animer des sessions de formation sur les thèmes suivants :

1. Gestion des archives courantes et intermédiaires dans les administrations publiques;
2. Gestion des documents électroniques, gestion électronique des documents (GED) et enjeux de la numérisation.

## **3 - Impact des projets sur la modernisation du fonctionnement des services**

La gestion des archives courantes et intermédiaires est de nos jours évoquée comme stratégie de modernisation du fonctionnement des administrations. Elle est définie comme une discipline dont l'objet est l'élaboration des systèmes de

gestion permettant l'exploitation des informations que renferment les documents d'un organisme à des fins de gestion optimale ; elle s'occupe de l'ensemble des opérations et des techniques se rapportant à la conception, à l'implantation, au développement et à l'évaluation des systèmes et méthodes, depuis la création des documents jusqu'à leur transfert dans un service d'archives définitives ou leur destruction contrôlée.

Ainsi, le programme de gestion des documents mis en place au MEF permettra d'améliorer la rentabilité administrative du département par :

- ▶ l'accélération et la systématisation du classement ;
- ▶ l'accroissement de l'élagage des documents et, à la source, la diminution de la masse documentaire des services ;
- ▶ une meilleure protection de l'information car un document traité et rangé est plus en sécurité ;
- ▶ une diminution des impacts négatifs lors de changements ministériels ;
- ▶ la rationalisation et même la diminution des coûts d'organisation des masses documentaires.

## Conclusion

Face aux exigences de la bonne gouvernance qui s'imposent aux décideurs à tous les niveaux, il est devenu impérieux de bâtir un cadre des finances publiques apte à garantir la transparence et l'efficacité dans la gestion des ressources publiques. De plus, la crédibilité de l'État auprès de ses partenaires et des citoyens dépend de la mise en place d'un cadre assaini.

Le système d'information constitue le principal pilier de la transparence. L'information doit être facilement accessible aux décideurs et aux partenaires, pour permettre de rendre compte et d'évaluer les programmes et projets de développement.

En raison des importants enjeux liés à l'efficacité de l'action publique, l'exigence de la gestion rationnelle et scientifique des

archives courantes et intermédiaires, donc de l'information documentaire, peut être un critère déterminant de la bonne gouvernance. En effet, sans information, peut-on parler de connaissance ? Sans connaissance peut-on prendre des décisions fondées et, par conséquent, accéder au développement ?



# Records management in the Malaysian corporate sector: are financial institutions aware of the importance of complying with relevant acts and regulations?

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*The aim of this paper is to identify whether financial institutions in Malaysia are aware of the laws and regulations governing records management. The objectives of this study were to investigate whether financial institutions comply with the legislation; whether the language of the legislation is understandable to businesses; and whether institutions adopt the right attitudes towards records management. Ten financial institutions were involved in a survey carried out in 2005 which showed that while financial institutions in Malaysia are aware of the legislation, nevertheless, records management has not been prioritized, as there is a lack of enforcement. Respondents agreed about the benefits of records management programs, but do not take the appropriate steps to implement these, as the needs are not seen as pressing.*

## Introduction<sup>1</sup>

This study examines the laws and regulations governing financial institutions in Malaysia that relate to records management and retention. It aims to ascertain whether these institutions are complying with the regulations, notably the Companies Act and Regulations 1966, the Bank Act and Financial Institution Act (BAFIA) 1989, the Bankers Book (Evidence Act 1989) and the Evidence Act. It is the duty of Malaysian financial institutions to comply with these regulations, as negligence could invite litigation. Each of these laws and regulations is reviewed to highlight the important clauses for financial institutions in brief and simplified layman's language. Following this, the paper examines whether it is the structure of legal language that contributes to the seemingly low understanding and awareness of such laws and regulations?

## Background of the study

In the year 1985 and 1986 financial institutions, particularly commercial banks, in Malaysia were struck by severe crises as a result of an economic slowdown. Before these institutions could fully rebuild their business strength, another disaster struck in 1997 and 1998. Both these incidents had a severe impact on the nation. It was agreed that financial institutions should not be allowed to experience the same problems in the future. Reforms were initiated to ensure that financial institutions in Malaysia are able to operate more effectively in a highly competitive environment.

Globalisation urges liberalization, which requires financial institutions to be more competent and competitive. Financial liberalization under the general agreement on

trade in services (released by the World Trade Organization) allows foreign banks to operate in Malaysia. Furthermore, the effort of providing access to the ASEAN market means that Malaysia must be involved in the globalisation process. Accordingly, Malaysian financial institutions should be properly equipped to face challenges and competition. How are these institutions to remain competent? Records management is seen as being able to offer a way of preparing financial institutions to take up the challenge.

## Statement of research problem

It has been widely accepted that information is now regarded as an asset equivalent to capital, manpower and physical assets such as land and buildings. It is interesting therefore to find out whether managing information that is perceived to have value has been given high priority by organizations. The specific objective of this study was to find out whether financial institutions in Malaysia know the importance of records management and the requirement to comply with relevant laws in recordkeeping. It also sought to find out whether vital records are identified and safeguarded and if records are disposed of records systematically according to established retention schedules. How are these financial institutions discarding information that is no longer needed for the running of their activities?

Why should financial institutions adopt records management practices? Records management is believed to be able offer solutions to complex issues, give quick responses and facilitate well-informed and timely decisions. Records management enables information to be received, disseminated, understood, utilised and managed. But adopting a records management program requires strategic planning, a systematic approach, knowledgeable workers and business reengineering in order to place records management in the right position within the organization.

<sup>1</sup> This article is based on a paper presented at the ICA 2008 in Kuala Lumpur. Following the presentation the authors received many requests to have access to the full paper, especially from records managers in business and the banking sector. This article has been modified and improved taking into account comments and suggestions made at the Congress.

## Objective of the research

This paper reports the results of a study of records and information management in financial institutions in Malaysia. It was made possible by an IRPA research grant from the Ministry of Science, Technology and Innovation, Malaysia. The specific objectives were:

- ▶ to find out whether financial institutions in Malaysia are aware of the existence of relevant laws and regulations on the requirements for keeping records;
- ▶ to identify whether the nature of the language used to phrase the laws is user friendly to the layman; and
- ▶ to investigate whether financial institutions in Malaysia adopt a positive attitude towards records and records management.

It was anticipated that this study could increase the awareness and understanding of records management practice in Malaysia. In addition, this study also attempted to explain how records management can be used to increase the institutions' competitiveness.

## Definition of records

The literature reveals that numerous definitions are accorded to the term 'record'. The definition has changed with the passage of time and as the profession gets involved with more complex issues. Records management evolves from an archival perspective, through a management perspective to an information technology perspective. There have been changes in the status and function of records from that of documenting organizational activities; to that of providing information for decision-making, providing evidence and proving that the organization is complying with relevant laws and regulations.

Various definitions have been accorded to records. Some definitions are based on the medium that hold records (Emmerson, 1989), while others look at it from the broader context of information. Nevertheless,

records are products of business activities which arise naturally from the functions, processes and transactions, substantive and facilitative, of the creating organisation. On the other hand, Penn, Pennix and Coulson (1994:3) assert that it is the content that is important compared to the medium that hold the records.

As records managers become involved with technology-dependent records systems, defining records is getting more complex as records must be able to meet certain organisational, legal, and compliance criteria (Cox, 1995b). In fact, information technology blurs what exactly is a 'record' (Skupsky, 1995), as records in an electronic environment are transitory, unstructured and insubstantial, as their form and content can change with changes in the software that control them (Duff, 1995). If in the paper environment records are tangible, and their creation and the function they serve can be easily recognised (*Management of electronic records; issues and guidelines*, 1990), this is not the case with electronic records. Thus, records in electronic formats challenge the basic definition of what constitutes a record and the traditional approach to preserving and providing access to them. Advances in technology are altering the nature of records that are being created and providing new possibilities for making more information available to more users (McGovern and Ruller, 1993).

## Method

This study used a questionnaire as the instrument for data collection. Ten financial institutions in Klang Valley were involved in the study. These institutions are not banks, but are involved with leasing and lending to companies and individuals. The names of the individual financial institutions surveyed are not to be disclosed, as agreed with the participants. Questionnaires were delivered by hand to the information departments of each financial institution. All respondents returned

the completed questionnaires – a response rate of 100 percent. The questionnaire was close-ended in nature, but room was given to respondents to give further elaboration and other answers not indicated in the questionnaire. Statistical Package for the Social Sciences 11.0 software was used to process the data collected.

#### *Number of Staff and Financial Data*

<b>Name of Bank</b>	<b>Number of Staff</b>	<b>Total Asset (in RM Million)</b>
Bank 1	2,702	21,148.50
Bank 2	7,793	123,696.00
Bank 3	2913	23,262.10
Bank 4	4,441	69,260.00
Bank 5	20,764	271,884.00
Bank 6	3,368	41,649.00
Bank 7	8,293	78, 887.00
Bank 8	8,269	97,136.00
Bank 9	3,055	40,653.19
Bank 10	1,982	48,398.00

The study used descriptive statistics to describe the factors causing local commercial banks in Malaysia to adopt records management practices. Some of these factors were analysed individually, while others were combined to give a more complete analysis. Findings are presented in a series of tables and figures.

## **Data analysis and interpretation**

This study seeks to find out whether financial institutions in Malaysia are aware of the importance of keeping records in compliance with federal laws and regulations and the implications of not adopting good records management practice. Respondents were asked whether they are aware of the relevant laws and regulations that have to be complied with. The laws that need to be complied with by financial institutions are such as Companies Act and Regulations 1966, Bank Act and Financial Institution (BAFIA) 1989, Bankers Book

(Evidence Act 1989) and Evidence Act. It is the duty of local financial institutions to comply with these regulations, as negligence could invite litigation.

There are two categories of records created by financial institutions in the course of their business. These records are distinguished by their functions such as the administrative or housekeeping records and financial institutions' core business records. Administrative or housekeeping records includes those concerning the formation or setting up of financial institutions while financial institutions' core business activities records are those records concerning the taking of financial deposits from the public and issuing loans. These records are not only created as the result of business activities, but are also to be kept and managed systematically. The need to retain records is indicated in all four laws mentioned in the above. Financial institutions are required to comply with these laws and regulations to provide evidence should questions arise when complying with audit requirements. The quantity of records is not mentioned in the laws.

Analysis is based on the questions asked in the questionnaire. Eleven questions were asked on the awareness of the laws and regulations relevant to recordkeeping. Six questions were asked about the attitude of respondents toward records management in general.

### **A. The awareness of the existence of laws relevant to recordkeeping**

#### **1. Have you heard about the Companies Act 1966, Evidence Act, Bank Act and Financial Institution Act (BAFIA 1989), and Bankers Book (Evidence Act 1989)?**

Not all ten financial institutions were aware of the existence of laws relating to recordkeeping. This is shown in Table 1.



*Table 1. Awareness of the existence of Acts and Regulations relevant to recordkeeping.*

Law	Aware	Not Aware	No Answer	Total
	%	%	%	%
Companies Act 1966	70	30	0	100
Evidence Act	30	60	10	100
BAFIA 1989	90	10	0	100
Bankers Book	30	70	0	100

Any financial institution that operates in Malaysia is governed by these four Acts and Regulations. Businesses are expected to refer to the Companies Act in carrying out their transactions. It is possible that the business only refers to the Act for matters such as registration, but not for record-keeping purposes. This is evident in that only 30% of the respondents were aware of the requirement to comply with Evidence Act. Financial institutions do not regard keeping documents for evidence their main responsibility.

**2. Do you know that these Acts require financial institutions to retain records? If No to 2, is it due to problems in understanding the law language? If yes to 2, do you obey? Why do you not obey?**

Only ten percent of the respondents reported that they have little knowledge about the Acts. This indicates that most respondents (90 percent) are aware of the Acts and understand all the requirements stated in the Acts. However, fulfilling the requirement is a different matter altogether.

Table 2 reveals the awareness of the need to keep records, the state of difficulty in understanding the language of the laws and the level of obedience among financial institutions in Malaysia.

*Table 2. Awareness, difficulty and obedience among financial institutions in relation to recordkeeping.*

Description	Yes	No	No Answer	Total
Aware of the requirement of recordkeeping	90	10	0	100
Difficulty in understand in law language	10	0	90	100
Do you obey the Acts?	90	0	10	100

Some of the reasons for adopting records management in the surveyed financial institutions are because they understand the duty to retain records and the risks of not doing so. This finding is similar to finding in question 2. A majority of respondents were aware of the responsibility to retain records.

Furthermore only ten percent of respondents reported having difficulty in understanding the legal language while a majority did not answer this question. It is difficult to conclude that respondents were reluctant to fulfill the recordkeeping requirement because of a difficulty in understanding the legal language. Of the 90 percent who understood the duty to keep records, 10 percent did not answer whether or not they did obey such requirements.

**3. Have you ever heard that there are cases where financial institutions have won court cases because they have been able to provide records as evidence?**

No respondents had ever heard of such stories or cases in Malaysia. This could be one possible reason for financial institutions in Malaysia not adopting records management. There is as yet no case of an organization having won a battle in court merely because they were able to provide documentary evidence.

**4. Do you know about records disposal?**

**Table 3. Records Disposal and Retention Schedule**

Description	Yes	No	No answer	Total
Aware of records disposal	90	10	0	100
Perform records disposal	80	20	0	100
Realise disposal of records after functions complete	90	10	0	100
Disposal based on retention schedule	100	0	0	100
Disposal based on impulsiveness	0	100	0	100

All respondents adopt the right procedure in disposing of their records. This is a good indication that financial institutions never discard their records unintentionally. This finding is rather surprising. One possible reason for this is that financial institutions are keen to dispose of their document to free some space in the working area.

#### **5. What Reference/Guide do you consult in preparing retention/disposal schedules?**

**Table 4. Reference/guide consulted prior to preparing disposal schedule.**

Description	Yes	No	No Answer	Total
BAFIA	70	30	0	100
Bankers Book	0	100	0	100
Companies Act	40	60	0	100
Evidence Act	10	90	0	100
National Archive Act	10	0	90	100
Internal/ Company's Policy	20	0	80	100

In preparing records retention schedule or disposal schedule, financial institutions should be informed by some guidance on how long records should be retained. Some

of these retention periods are indicated in the four relevant laws. Some institutions prepare their schedules based on the specific requirements of their own institutions. This is known as internal or company policy. Information about retention periods can also be obtained from the National Archive Act. Although BAFIA (1989), Bankers Book, Companies Act and Evidence Act are distinguished laws relevant to recordkeeping, it seems that not all of these laws are consulted. From the analysis, it is apparent that some of the financial institutions in Malaysia do not refer to only one law in order to get information about retention schedules. This is represented in Table 4 above.

70% of respondents consulted BAFIA (1989) before preparing retention schedules, 40% refer to the Companies Act and 10% use the Evidence Act. 20% of respondents develop their own policy while 10% turn to National Archive Act for information about retention periods. Thus, financial institutions have several sources of reference in determining the length of time to retain records.

#### **6. Do you know that Bank Negara Malaysia can at any time ask for evidence in the case of doubt about your business activity?**

All the ten respondents agreed that they must be able to provide records as evidence to their activities. This indicates that the level of awareness about the function and importance of record as evidence is very high.

#### **7. Do you know that court action can be taken against you if you fail to provide records at any time requested?**

All respondents (100%) are aware that action can be taken against them if they fail to provide records at any time requested by the authority. The only action popularly known to them is such as stated in answer to question 8.

### 8. Are you aware of the risks of not retaining records?

All respondents knew the risks awaiting their organization for failing to supply any information as the results of not keeping records. A risk commonly awaiting them is to be found guilty of an offence. Thus, a penalty of up to two thousand ringgit (MYR) is imposed. This could be why businesses take records management lightly as the penalty is not severe. Another reason why businesses seem to take records management lightly is that there are as yet no big stories about businesses that have closed down as a result of not having records management in place.

### 9. How do you defend yourself, should your organization face accusation?

Table 6. Ways to defend the organization from accusation

Description	Yes	No	No Answer	Total
Provide relevant records as evidence	100	0	0	100
Provide witnesses	70	30	0	100
Do not know what to do	0	100	0	100
Create records in the hope they will be accepted by the court	0	100	0	100

All respondent agree that they use records to provide evidence should they face with accusation. 70% will produce witnesses in person. Another 30% do not agree about producing witness but did not say what they would turn to instead. On the contrary, none of the respondents deny that they do not know what to do and none would create records in the hope they will be accepted by the court. This implies that banks will somehow provide information by

locating and tracking the relevant information the best they can, but will not create records specifically to satisfy the court.

### 10. At the time you are facing a problem related to a court case, you are told that your organization does keep records relevant to the case. What is your feeling?

Table 7. The Respondent Feeling

Description	Yes	No	No Answer	Total
I would like to thank my organization for taking the right step to keep and manage records efficiently.	90	10	0	100
I begin to realise that records management is important. I promise to take some action about it after this.	40	60	0	100
I feel relieved but still ignorant about RM	0	100	0	100
I feel lucky for my organization has taken the appropriate step to retain records.	0	100	0	100

Table 7 implies that the importance of records management is only realized as organization is facing or experiencing some catastrophic event that could damage their image, moral and credibility. This is a common scenario even in developed nations as proved by literature in the area. Otherwise, records management rarely receives high priority in organizations.

**11. Have you heard of any financial institution closed down as a result of a failure to provide records as evidence?**

Ten percent of the respondents said that they have heard of such a story, but the majority (90 percent) had never heard of such a case. In most cases, factors leading to business closure relate to mismanagement.

**B. Attitude towards records management**

**1. Do you agree that a records management program is necessary but not crucial?**

Only 10 percent of respondents agreed that records management is necessary but not crucial for organization to adopt the practice. This probably relates to question 11 in part A. The majority (90 percent) of respondents denied that organizations should ignore records management. They agree with the notion that records management is necessary but not crucial.

**2. Do you know that records can help in the success or failure of an organization?**

All respondents agreed that records could determine in the success or failure of an organization. But this is not enough to prompt the management to embark on a records management endeavor. Management sees there are other needs that require prompt attention that are more pressing.

**3. Do you know what a vital record is?**

Apparently something ought to be done because 30 percent of respondents were not aware of vital records, that is records that help organizations to restore activities in cases of disaster. Vital records require some precautionary measures to be taken and should be safeguarded at all times as the information could determine the continuity and survival of one business.

**4. After completing the questionnaire, do you think that records are important?**

All respondents contended that records are important.

**5. After completing the questionnaire, do you think some actions need to be taken towards records?**

The answers to this question were rather conflicting to those to question 4. Though all respondents acknowledged the importance of records, not all of them were ready to take action to reverse the situation

Table 8. shows the answers to question 1, 2, 3, 4, and 5 of part B.

*Table 8. Perceptions about records.*

Description	Yes	No	No Answer	Total
Records management is necessary but not crucial	10	90	0	100
Records play roles in the success or failure of organisation	100	0	0	100
Knowledge on vital/strategic records	70	30	0	100
Changed in perception towards record after completing questionnaire	100	0	0	100
Needs to take action toward records	80	20	0	100

## 6. How do you know that records must be retained for audit purposes?

None of the respondents retain records for audit purposes without a source of reference. Their actions are based on one of the following: top management, senior colleagues, policy and procedure available in the organization and one of the four Acts governing financial institutions. Surprisingly, only 10 percent of respondents keep records based upon consulting the relevant Acts.

*Table 9. Records retained to meet audit requirements.*

Description	Yes	No	No Answer	Total
Informed by top management	30	70	0	100
Informed by senior	30	70	0	100
Informed by institution's policy and procedure	80	20	0	100
Informed by one of the 4 Acts in question 1	10	90	0	100
Self impulsiveness	0	100	0	100

## Conclusion

This study reveals that financial institutions in Malaysia are aware of the existence of relevant laws and regulations relating to the retention of records and realise that they have to keep records in compliance with the federal laws particularly BAFIA (1989), Companies Act, Evidence Act and Bankers Book, though not all these institutions consulted these Acts prior to preparing records retention schedules. However, there is an alternative for the financial institution to gain such information - the National Archive Act. Some institutions

develop their own retention schedule based on policies set by their own institutions.

The study also reveals that some financial institutions in Malaysia (10 percent) feel that it is necessary to have records management program, however the need is not regarded as pressing. The majority feel it is essential to have records management in place, though some admit to not taking any such action. Arguably, this attitude is related to the fact that respondents had hardly heard of any failure, business closure, disaster or legal penalty for not managing records. Furthermore, it is not alarming that vital records become the interest of their competitors (50%). 20 percent of respondents still do not feel motivated and under pressure to embark on records management practice after completing the questionnaire.

It is a surprise that only 30 percent of respondents had heard about the Evidence Act and the Bankers Book – two of the four main Acts which ought to be well known among financial institutions. How should we improve such a situation? How far are financial institutions affected for not complying with the Acts? What about enforcement?

Though a majority of respondents (80 percent) reported that they have policy and regulations on retaining records, especially to meet audit requirements, apparently there is a lack of enforcement. Penalties for being unable to comply with certain provisions of the four Acts, particularly the Companies Act, range from RM 1,000.00 to RM 10,000.00 only. The size of the penalty is minimal when compared to the cost of putting records management in place.

All respondents claimed that they know about records management, the functions of records and the effects of records on institutions, but almost all (90 percent) perceived the practice as not important. Financial institutions have no difficulty in understanding the language used in legal clauses but seem not being pushed to obey the regulations. This again has a connection

with the enforcement of the act. If this situation continues to persist, how is Malaysia to develop an information-based economy? How are organizations to materialise knowledge-based activities? Organisations agree that information is power and an asset, but at the same time do not give high priority to managing this asset. Every organization wants to be competitive, but they are not interested in making use of the information available, to inform their decisions and strategic planning.

Although records management is becoming more complex, most organizations regard records management programs as a non-essential activity. It is not the organization's prime purpose, it does not produce profit and it is discretionary. Organizations seem to be unaware of the importance of the function. Paradoxically, businessmen expect to have ready access to relevant records, especially when in crisis. However, they do not allow other people to organize these records.

Consequently, many organisations tend to ignore the evidence that organizations without records management programs are at risk. For organizations without records management programs, 40 per cent of those that suffer a disaster go out of business within a year; 43 per cent never re-open; and 29 per cent cease business within two years (Hare and McLeod, 1997: 12).

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# BARM – The Bangladesh Archives and Records Management program for democratic governance

## Florus Geraedts

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*This article describes the problematic state of archives and records management in Bangladesh and the work of BARM, which endeavours to raise awareness of the importance of good recordkeeping, forge strategic alliances and support capacity building for both public and private recordkeeping in that country.*

“Does Bangladesh need archives & Records Management?” this question arose while thinking about how to attract colleagues’ and non-archivists’ interest in archival development work in Bangladesh. Some incidents proved to be very helpful in answering this question. Returning to Dhaka on a domestic flight in February 1995, my camera went missing and seemed stolen. Reporting the possible theft at the police office in the Cantonment area, I faced a young police officer who was willing to help me, but could not succeed. An elder man approached us at the desk and explained the problem and, at the same time, offered a solution. “This young man doesn’t know the procedure for filing a case, he doesn’t know to find the right forms and apparently the register of filed cases is lacking”; in the meantime he called for a pichi, gave the boy a few taka and ordered him to buy two pages of blank paper. “You know, since the British left and particularly since our independence, the younger officers don’t know the procedures. They don’t know how to operate the state machinery, one could say.” I reported the whereabouts of the theft and thought about the characteristics: a senior retired army officer knows about the missing qualifications of a young police constable, the absence of filing routines, though the collective memory still contains traces of how once these procedures were known. Now this is just a lost camera, but what about the filing of serious cases like murder and rape? How can the judiciary or the land registration function properly without reliable records? In her ICA Congress presentation in July 2008 in Kuala Lumpur, Dr Anne Thurston of the International Records Management Trust (IRMT) drew our attention to the need for creating integrity in human resource management and reducing corruption by fighting the phenomenon of the ghost worker. Proper files management in human resource department in ministries, colleges, hospitals, local administration will save huge amounts of money in favour of honest payment of people who are really teach-

ing and working. The IRMT documentary demonstrates this in the case of Sierra Leone. We all (Bangladeshi and Dutch archivists, scholars and researchers united in the BARM program) were impressed and became more than ever convinced of the urgent need to reform archives and records management in order to create a corruption free Bangladesh.

## **The BARM program in Bangladesh and in the Netherlands**

The BARM program commenced in 1995 as an informal cooperation between Bangladeshi and Dutch archivists and archival researchers. Its aim is to contribute to the advancement of the National Archives in Bangladesh, which was established in 1973. BARM is based on an extension of the connection between the development of the National Archives of Bangladesh and professional developments in records management and archival science globally, particularly reflected in ICA initiatives such as Archival Solidarity and the Section of Professional Associations (SPA) in addition to the London-based IRMT. Archival solidarity is practised by spreading awareness of the relevance of records management for strengthening democracy, the rule of law and professional historiography, as an instrument to create a sound political debate in Bangladeshi society. The BARM programme is proceeding on the basis of cooperation between Bangladeshi archivists and the volunteer consultant on a low budget base. The BARM program was initiated as result of discussion between history professors of Dhaka University, Rajshahi University, the Directorate of the National Archives of Bangladesh and an archivist from the Netherlands on behalf of a group of Dutch archivists in the district of South-Holland.

## The BARM Center in Bangladesh

A seminar held on 16 January 2007 in the White House of National Archives of Bangladesh (NAB), under chairmanship of Prof. Mohsin and under the directorship of Prof. Sharifuddin of the NAB decided to create a working group for establishing an Institute for Archives Management (BARM Center) in the National Archives of Bangladesh. The NAB is operating as part of the Directorate of Libraries and Archives under the Ministry of Culture. Basic regulation for the NAB is the National Archives Ordinance 1983 (NAO 1983). On the BARM program, the NAB is cooperating with Bangladesh Institute for Development Studies (= BIDS), SDNB Dept.; International Centre for Diarrhoeal Disease Research, Bangladesh (ICDDR,B) Library & Information Service Unit (LISU) Dept.; History Depts and Information Science & Library Management (ISLM) Depts of State- and Nongovernment Universities, as well as museum institutes, and private archives. BARM is also cooperating with the Reform Public Transport section of the Roads and Highways Dept, where a Records Management Application was implemented. Cooperation too was forged with Transparency International Bangladesh (TIB) and the Bangladesh Legal Assistance Service Trust (BLAST). Since 1998 there has also been cooperation with the Librarian Training Department of Nilkhet Highschool, Kataban Road, Dhaka.

There is also regular contact and cooperation on different levels with the National Archives of India in New Delhi, West Bengal State Archives in Kolkata, the National Archives of Malaysia, the National Archives of Pakistan, the History Dept of Visva Bharati in Santiniketan (Prof. Jeyaseela Stephen, prominent member of the Indian Archival Council), Dr Ratan Lal Chakraborty, the Center for Studying Social Sciences (CSSS) in Calcutta (Archival department under mr Abhijit Battacharya) and the Rabindra Bhabane, Section Tagore-

archives (archivists Utpol and Tushar and public relations officer Nilanjan Banerjee) in Santiniketan.

The BARM program has enjoyed since 1999 continuous support from the BARM group of the ASHA – SFH (ASHA - Association of South Holland Archivists; SFH - (Solidarity Foundation Heemstede). This BARMgroup is vested in Erfgoedhuis Zuid-Holland (Heritage House South-Holland) in the municipality of Delft.

BARM group ASHA,

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DB Delft,

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BARM Blog: <http://bangladesharchives.wordpress.com>

The Barm Centre, according to the Seminar of 16 January 2007, is meant to be the coordination centre for activities relating to improving professional archives management (Knowledge Section, coordinating the collecting and updating of all relevant information on records and archives in Bangladesh and Education Section, coordinating the development of training courses for recordkeepers, records managers and archivists). This BARM Centre will work on: Inspection of non-transferred records and set standards for transferring records (after appraisal and disposal) from record creating offices and branches to the National Archives and will advise Municipalities on improving their record rooms. Coordinating (under the lead and supervision of the directorate of the National Archives) of relevant activities from several partners: like Bangladesh Institute for Development Studies (BIDS), Bangladesh Association of Librarians, Information Managers and Documentalists (BALID), Librarian and Information Service Unit (LISU) section of Popular Health Institute and Hospital (ICDDR,B) Mohakali, Dhaka , Rajshahi University Dept on Information Management, North South University, ILIS Dept, Dhaka University, Information

Science and Librarian Management (ISLM) department under Dr Mezbah-ul-Islam, Mrs Rowshan, Dr Zabed, Dr Mostak Gausal; Dhaka University Section for University Archives under Prof Muntasir Mamoon.

As a follow-up after the ICA Congress in Kuala Lumpur, a seminar on BARM was held in Dhaka on 5 August 2008. During the two weeks after returning from the ICA Congress, another seminar will be organised in Rajshahi, which will focus on heritage archives.

## **ICA Congress, Kuala Lumpur, 2008**

BARM Group ASHA in Netherlands, supported by KICI Foundation (Ecology Oriented Municipal Fund for Recycling Used Textile) invited five Bangladeshi colleagues to attend the ICA Congress in order to advance their professional knowledge, to offer them an opportunity to build up an international network, and to enable them to make contact with the well organized and effectively functioning National Archives of Malaysia. Who were those five? Elias Miah, archivist in the NAB; Mr Fazle Mir, now volunteer in the BARM program and Assistant Director of NAB until his retirement January 2005; Prof. Sharifuddin Ahmed director of NAB 1997-2007; Prof. Mahbubur Rahman, History Dept of Rajshahi University and director of the private archival collections of the Rajshahi based Heritage Archives; and Lt Col. Lutful Haq, member of the Board of Trustees of the Heritage Archives in Rajshahi and archival researcher. As special guest, invited by the

Malaysian Government and Director General of the National Archives of Malaysia, Dr Sidek Jamil, the Director of National Archives of Bangladesh, Mr Latifur Rahman also attended the Congress.

Dr Sharifuddin Ahmed surveyed the history of the National Archives of Bangladesh, which started shortly after independence in 1972. His paper covered acquisitions, storage, archival legislation

in 1983, and the storage of records in the repositories of the National Library building (established 1986) and later on the ground floor, the first floor and part of the planned repository of the National Archives Bhaban (2004). Dr Sharif as NAB Director (1997-2007) too initiated informing civil service on archives and a programme "National Library And Archives meeting the provinces" visiting the country side with ambulant archival exhibitions.

Dr Mahbubur Rahman gave a presentation about the origins and the aims of the private institute on archives and documentation on the history of political, social and cultural organizations in Bangladesh and before that in Bengal. He discussed the need for such an institute while the National Archives of Bangladesh was still in its infancy, initially concentrating on state archives. Mahbubur Rahman's Heritage Archives on the History of Bangladesh is focusing on private archives. Since 1999, he has collected several hundreds of meters of archives and documents. He cooperates with the International Institute for Social History (IISH) in Amsterdam and the CSSS, Kolkata. Recently, his trust started to construct a new building, with improved repositories and a reading room. Mahbubur explained his method of acquiring archival and documentary materials linked with oral history oriented interviewing key persons in social organizations.

We also attended sessions on archival solidarity, archival improvement using auditing processes in Cote d' Ivoire, the importance of records in fighting corruption, the National Integrity Plan of Malaysia, the role of the National Archives of the Netherlands in digital records management, and on sports archives preservation, skills and competencies for archives and records management: changing requirements in the 21st century, archival education outside the academy: the experience of the Australian Society of Archivists. Archivists and archival developments in Ghana, archives and their allies; recordkeeping for good governance, and understanding our progress -

measuring archives for good governance. We also visited the Arkib Negara Malaysia, National Archives of Malaysia, seeing the repositories, the research rooms and the Binding and Restoration Section for repairing archival documents. This visit inspired the Bangladeshi visitors, particularly because they could see the well organized staff and effective work processes. Most encouraging to be aware of the fact that it was only 30 years ago that Malaysia was a typical underdeveloped Third World country itself.

### **After ICA congress Kuala Lumpur: Steering Committee of the BARM Society**

As result of two meetings on 21 and 25 July 2008, on 26 July 2008 (the day of the Closing Ceremony of the 16th ICA International Congress on Archives in Kuala Lumpur), Prof. Sharifuddin Ahmed, Mohammad Elias Miah, Florus Geraedts, Muhammad Lutful Haq, prof. Mohammad Mahbubur Rahman and Fazle Mir Ahmed Chowdhury met and took an important decision:

We have to form an archival movement; after the loss of too much of our archaeological heritage, the loss of our monumental heritage, we should do our utmost to prevent the further loss of our archival heritage as well.

Despite efforts and partial achievements during the 35 years since the establishment of the NAB in 1973, the Government of Bangladesh still can not guarantee its steady development and growth. Over the past decade an extreme and intolerable shortage of staff has causing the Archives to go backwards, losing the advantage of many of the advances made in earlier years. Furthermore, the National Archives of Bangladesh urgently needs support from groups in society to achieve a higher profile and priority attention from the Government of Bangladesh and from society as a whole for the preservation of the state archives

held both in and outside the National Archives repositories, in record rooms of Divisions, districts, cities etc. Besides that, the threatening loss of Bangladesh's rich archives and collections from private organisations should urge people from all walks of life to step forward and act promptly to rescue these private archives and collections. The BARM Society wants to support that work and to do everything to encourage persons, involved in rescuing archives, from the capital city to the smallest local community. Our BARM society is there to promote both state as well as private archives. Our BARM society fundamentally aims at supporting archives as an enabler of good governance, the rule of law and democracy (well kept records and archives are absolutely needed for implementing the Right to Information Ordinance, 2008) and as source materials for historical research, cultural heritage and knowledge management.

A Steering Committee has been constituted. Its members are: Prof. Sharifuddin Ahmed, Mohammad Elias Miah, Florus Geraedts, Muhammad Lutful Haq, Prof. Dr. Mohammad Mahbubur Rahman and Fazle Mir Ahmed Chowdhury. There will be a formal connection with the BARM Center (in Bangladesh and Netherlands) and in this respect, Florus is requested to act as advisor of the Steering Committee and, later on, the BARM Society and particularly to maintain and enlarge the international network of the BARM Society. Dr Sharifuddin will act as chairman of the Steering Committee, Elias Miah, Moshir Rahman, Ali Akbar and Fazle Mir will act as secretaries, with Dr Mahbubur and Lt Col. Lutful Haq as members.

One of the aims of the Committee is to build a network of archival professionals and persons and institutions, genuinely interested in archives. All over Bangladesh, people who are genuinely interested in archives and records management, in cultural aspects and administrative aspects, as professional archivists, researchers, both professionals as well as

amateurs, are cordially invited to join our BARM Society.

Another aim is to raise awareness amongst administrative office bearers such as Mayors, Chairmen, Secretarial departmental staff, journalists, politicians, NGOs, and Human Rights organisations, as well as local cultural societies, oriented towards heritage and history, and teachers at all levels of education. In the academic sphere this includes history depts, ISLM depts, and other disciplines where information management is crucial such as computer and ICT-oriented departments. This includes ILIS depts in state and non-government universities and as well as the ICT University Khulna and engineering depts and Universities BUET, RUET, Shah Jalal Technical University Sylhet. It needs ( in the context of awareness raising) constant reiteration and explanation that archives are both historically oriented AND administratively directed. It is not necessary to have a professional background and theoretical knowledge to be convinced of the relevance of archives for governance and for history writing, so even lay-people in archives and records management can be seriously involved on the basis of genuine and honest concern. In our work as BARM Society members one day we can explain the values of archives and records management to historians and other scholars, or museum interested people, and another day to people who are interested in government reform processes in order to make governance fit for democracy and socio-economic development.

Another aim of the committee is organizing seminars and courses, for example the seminar in Dhaka University, RC Majumder Auditorium on 5 August 2008. Another seminar will be held in March 2009, organized under responsibility of dr Mahbubur Rahman in Rajshahi University. A Press Conference, in order to announce the start of the BARM Society will take place in February 2009 in Dhaka.

The Committee will also organise

practical activities, oriented towards rescuing archives and giving support to local government while improving their records management. Preserving and protecting old records means ALSO making space for orderly growth and rational storage and thus accessibility of new, dynamic now-a-days-records! Every administrator should be interested in that.

Therefore, pursuing practical activities are both helpful in rescuing archival heritage as well as contributing to awareness raising and maintaining motivation amongst the BARM Society members by fighting feelings of disappointment and frustration and by doing practical work on archives and records management, for example:

- ▶ Dr Mahbubur's Heritage Archives in Rajshahi.
- ▶ Dr Sharif Uddin's and Dr Muntassir Mamoon's work on establishing of Dhaka University's Archives Institute, 1921-present time.
- ▶ Dr Mahbubur's and Dr Anwar Hossain's work on establishing of Dhaka University's Archives Institute, 1952- present time.
- ▶ Lt Colon. Lutful Haq will work on rescuing of the Paurashava's archives of Dinajpur and more paurashava's in Northern part of Bangladesh. For the Dinajpur project will be needed about Euro 1700,-.
- ▶ Lt Colon. Lutful Haq is involved in introducing a digital record keeping system in the Cardiac Hospital and Bloodbank in Dinajpur.
- ▶ Dr Mahbubur will continue his work on developing the Heritage Archives History Bangladesh in Rajshahi.
- ▶ BARMgroup ASHA contributes Tk 10.000,- for the issue of the Heritage Archives Journal
- ▶ Mahbubur and Lutful will help rescuing the archives of Rajshahi Zila.

The Steering Committee will develop a Plan of Action for the BARM Society covering:

- ▶ Network building.

- ▶ Awareness raising in society on Archival issues.
- ▶ Finding allies even outside Bangladesh: eg. ICA, SWARBICA, National Archives and private archival institutions in neighbouring countries or countries of the South East Region of Asia and the Pacific.
- ▶ Designing proper archival courses and courses on Record Keeping. In cooperation with the Government of Bangladesh, Educational and Academic Institutions, the Bangladesh Computer Council, as well as relevant non-governmental institutions.
- ▶ Advising the Government of Bangladesh and other relevant authorities on archival management and on the application of archival legislation and regulations as well as facilitating the implementation of the Right to Information Ordinance 2008.
- ▶ Advising on a proper development plan for the archival system and record keeping in the Government of Bangladesh at all levels.
- ▶ Preparing a nation-wide Guide to the Archives of Public Institutions.





# The Korean government innovation model for presidential records

## Young-nam Lee

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*That the innovation model for presidential records has been successful is proved by the establishment of the Presidential Archives, the formulation of the Act on the Management of Presidential Archives, and the complete transfer of eight million files of presidential records in paper and electronic formats between October 2007 and February 2008. The critical success factors have been the philosophy and commitment of the president himself, the hard work of the task force, and the close cooperation of the Presidential Archives, the Office of the President, and public archives and records management institutions.*

## Background and history

The innovation process of the Korean government's presidential records has been very dramatic. Up to seven months before Korea's sixteenth president Roh Moo-hyun finished his term of office, neither the Presidential Archives nor the Act on the Management of Presidential Archives existed. In other words, even at the point when the Korean government was preparing for the commemoration of the sixtieth anniversary of its establishment, there were only 330,000 items of presidential records maintained in the National Archives of Korea. However, by the time President Roh left office in February 2008, over eight million such records had been transferred to the Presidential Archives, a dramatic accomplishment.

Korea has a time-honored tradition of recordkeeping, which is symbolically demonstrated by the fact that it has six historical records, including the Annals of the Joseon Dynasty, on UNESCO's Memory of the World register. However, this tradition was discontinued at the turn of the nineteenth and twentieth centuries. As the nation experienced the colonial rule of imperialist Japan (1910–1945), the Korean War (1950–1953), and military dictatorship (1961–1987), the status of records management in terms of accountability deteriorated rather than improved, and it was especially compromised for presidential records. This situation, however, changed unexpectedly in the three years following the establishment of the innovation model for presidential records, which is described in this article. It should also be noted that the innovation model for presidential records was pursued as part of the innovation model for national records. The relationship between the two will be discussed later in this article.

This examination of the history of the innovation effort focuses on the innovation model for presidential records, which was initiated full-scale in 2004 and ended in February 2008, when President Roh finished his term. The four-year period that brought a

whirlwind of innovation can be divided into three phases as follows.

In the first phase the innovation roadmap was developed. In June 2004, President Roh ordered the Presidential Secretariat to draw up an innovation model for presidential records. The Secretariat members held a number of internal discussions and meetings with experts in the private sector, gathering advice and information. The overview of the innovation model for presidential archives was prepared by a separate team composed of external experts and members of the Presidential Secretariat. In December 2004 the "Roadmap of the Innovation Model for the Presidential Archives" was submitted to President Roh. The second phase was the implementation of the roadmap. Its objectives were achieved one by one, according to the plan, between 2005 to 2007; these included the establishment the records management system of the Presidential Secretariat in July 2006, the enactment of the Act on the Management of Presidential Archives in April 2007, and the establishment of the Presidential Archives in November 2007. During the third phase, which started in earnest in 2007, the presidential records were transferred to the Presidential Archives. The Presidential Secretariat prepared for the transfer from early 2007 and began the actual transfer in October 2007. By the time the transfer was finally completed in February 2008, the innovation model for presidential records had reached further levels of sophistication.

## Elements of the innovation model

The Presidential Committee on Government Innovation and Decentralization, under the participatory government (February 2003 to February 2008), published a Records Management Innovation of the Participatory Government (hereafter referred to as the White Paper) in February 2008, when the participatory government was about to become a part of history. The White Paper comprised a

summary of the innovation process and a comprehensive account of the performance of national records management. It highlights (1) the establishment of the Presidential Archives and (2) the enactment of the Act on the Management of Presidential Archives as evidence of the innovation of the presidential records. Other such evidence includes (3) the quantity of presidential records collected and retained by the Presidential Archives. This article reviews these three pieces of evidence.

## **1 - Presidential Archives**

The first evidence of the innovation effort is the establishment of the Presidential Archives in November 2007, the first archives since the establishment of the Korean government to exclusively maintain the presidential records. This occurred about sixty years after the inauguration of Korea's first president Rhee Syngman, and forty years after the foundation of the National Archives of Korea in 1969.

The Presidential Archives in Korea is where all of the presidential records are collected and maintained. Prior to the innovation, there were few presidential records kept in Korea. In this respect, the White Paper pointed out, "[Concerning presidential records] there is almost no document that shows the whole decision-making process of a policy." Under Korea's political system, presidential records are key to understanding and providing accountability for the nation's top decision-making process over major policies. However, Korea had not systematically maintained such critical information in the sixty years following the establishment of its government, which raised serious problems. If no such archives existed, how could historical records be delivered to the next generation? How could policy-makers be held accountable for their decision-making? The slogan, "No Records, No History" appeared as a part of the innovation model for presidential records.

The problem was also rooted in the

Archives itself. Before the establishment of the Presidential Archives, the National Archives maintained the presidential records. However, the level of that maintenance was unsatisfactory. There was no separate office that exclusively managed the presidential records, and there was no "reading room" or "exhibition room" operating for the general public or for previous presidents, respectively.

As a result, establishing a Presidential Archives became a public issue in Korea. In November 2007, the Presidential Archives was finally established to fundamentally manage the entire scope of presidential records ranging from creation to public access. Currently in the Presidential Archives there is a Presidential Records Policy Department, a Records Collection Department, a Summary and Description Department, a Preservation and Restoration Department, a Service Department, and other departments necessary for the records' management. Presidential records can be separately displayed, and access for the general public and previous presidents can be more effectively provided. If presidential records continue to be collected and more systematic service provided for the Korean people, the Presidential Archives will be able to garner stronger trust from them.

## **2 - Act on the management of Presidential Archives**

The second evidence of the innovation is the enactment of the Act on the Management of Presidential Archives. In Korea, the basic law on records management was first established in 1999 and for the past ten years the nation's public records management has been improving remarkably. The White Paper has assessed the impact of the Act on the Management of Presidential Archives as follows:

*For the first time in the nation's history, the Act on the Management of Presidential Archives has been enacted for a more professional and unbiased management of the*

*presidential records through the enlargement of its scope, the guarantee of the generation and preservation of the records related to the state affairs, and the introduction of the Automatic Disclosure System for closed records.*

As mentioned in the White Paper, necessary conditions for “professional and unbiased management of the presidential records” were reflected in the provisions of the Act on the Management of Presidential Archives, some of which provisions are presented below.

First, the scope of presidential records was expanded. Before the act, the majority of the records were about presidents and their assistants. However, after its enactment, the scope of presidential records expanded to include records produced and retained by relevant organizations including the Presidential Transition Committee, the President's Council of Advisors, and the Presidential Security Service. Furthermore, the gifts received by previous and current presidents from other heads of state are also maintained by the Presidential Archives.

Secondly, the act stipulates that after a president retires all the presidential records should be transferred to the Presidential Archives. Before the enactment, this was not a requirement. In fact, when President Roh took office in February 2003, some records of his predecessor Kim Dae-joong were not transferred to the Presidential Archives; this triggered some concerns among experts, civil organizations, and the media, and awareness was raised about the need for measures to ensure that the next administration could utilize the records. That is, rather than the next government directly taking over the previous administration's presidential records, it was deemed to be more desirable to have the presidential records transferred to the Archives first. This request was reflected as a new provision when the Act was enacted and, as a result, President Roh's records were transferred to the Archives after his term ended in February 2008.

Third, a special system, the President's Designated Records System, was adopted; its goal was to provide strong protection for critical presidential records, due to special conditions in Korea at that time. This system, put in place under the act was a response to widespread criticism that valuable presidential records were not properly maintained due to a lack of strong protective measures. Under the Act, if a president designates certain records which he thinks should be protected during a certain period (up to fifteen years), no one, with the exception of previous presidents, can see the records, unless there is a request from two thirds or more of the members present in the National Assembly or there is a high court warrant. The maximum protection period for the president's designated records was set as fifteen years because of the fact that the term of president in Korea is five years, and three presidential terms was deemed sufficient time for the records to be closed. Thanks to the introduction of this provision, important presidential records were successfully transferred in their entirety.

Finally, it is also stipulated in the act that a Committee of Presidential Archives and Records Management should be established to deliberate major issues related to the management of the presidential records. The authority of the committee includes: (1) major policy over the management of presidential records; (2) deliberation over the destruction of presidential records; (3) disclosure of protection measures for the president's designated records; and (4) reclassification of classified records and closed presidential records. The execution of such authority requires professionalism and neutrality. In particular, because the neutrality issue can have political repercussions, the act stipulates the committee members' duty to maintain neutrality.

These, then, are the major contents of the Act on the Management of Presidential Archives. The President's Designated Records System was established in April 2007, and implemented in August 2007.

Other recent achievements include the establishment of the Presidential Archives and the transfer of presidential records. There is still work to be done. However, considering the short timeframe since the implementation, these achievements can be positively assessed in that they have established an institutional foundation.

### **3 - Successful transfer of presidential records**

When President Rho's term in office finished, all relevant presidential records were safely transferred to the Presidential Archives. Since the foundation of the Korean government in 1948, this was the first time that such a large-scale and varied collection of presidential records had been successfully transferred. The Presidential Archives collected a total of eight million items of presidential records during just five months, from October 2007 to February 2008. The quantity itself-which amounts to twenty-four times more than the 330,000 records of previous presidents retained as of November 2007 when the Presidential Archives was established-is impressive. Other characteristics of the transfer are worth noting.

Firstly, presidential records were transferred to the Presidential Archives not only from the president but also from the Presidential Secretariat, the Presidential Security Service, and the president's thirty councils of advisors. It is notable that the records of the Presidential Security Service had never been transferred to any kind of archives in the past, and the president's councils of advisors, including the National Security Council, were a recordkeeping "blind spot". Although the Presidential Advisory Committee is as important as the Presidential Secretariat, its records had not been previously properly transferred to the Archives. However, with the expansion of the scope of presidential records, it is safe to say that the records of all organizations directly related to the execution of presidential duties are assembled in the

Presidential Archives.

Secondly, various kinds of records show in a multi-dimensional way how presidential duties are carried out. Such records include paper records, various automated work management system records, audio-visual records (recordings, photos, films, video records, CDs, DVDs, etc.), websites, gifts received by presidents, symbols of presidents, and publications. An example of records generated can be taken from a president's summit meeting with a head of state. Typically, the two heads exchange gifts and sign the visitors' book. The scene of the summit will be recorded with photos and also videotaped. Sometimes, the contents of the meeting are voice-recorded and transcribed. Sometimes the record tapes or videotapes may also be converted into digital files, also held as records. Meanwhile, there will also be agendas for the events of the summit and the president's briefing materials. Pamphlets and promotional materials about the summit meeting will be added as well. One of the characteristics of the presidential records is that various records are created for each event; such records showing a presidential event from a multidimensional points of view have been transferred to the Archives.

Third, electronic records have also been transferred. The Presidential Secretariat and some members of the president's councils of advisors have introduced and operated a work management system. The transfer of electronic records was a serious challenge because no precedent existed until the system was introduced. The records management system, first established inside the Presidential Secretariat and then inside the Presidential Archives, played a pivotal role in the transfer. Electronic records were transferred from the work management system to the records management system, and then the records were again moved to the management system of the Presidential Archives. Currently, over one million items of electronic records have been successfully moved to the Presidential Archives.

Other important electronic records are the websites. Today, most public organizations operate their own websites, and the transfer of these also emerged as a challenge because the Archives had never collected such data. Among the two suggested methods of collection—(1) collection of the records through a robot, and (2) collection of webpage systems and data—the latter was chosen, and more than five million such records have been successfully transferred. These records are available now through the website of the Presidential Archives.

These are the provisions and background of the transfer of the presidential records. As mentioned above, the Act on the Management of Presidential Archives was enacted to regulate a series of management processes from creation to access to the records, and the Presidential Archives was established for permanent preservation and to provide access to the records. However, if the successful transfer of presidential records had not taken place, the effectiveness of the act and the Archives would have been called into question. In this sense, the transfer of presidential records can be assessed as the successful completion of the four-year pursuit of the innovation model for presidential records.

## Success factors of the innovation model

### 1 - Philosophy and commitment of the president

So, what are the success factors of the innovation model? Professor Ahn Byung-woo, current chairman of the Committee of National Archives and Records Management, who has actively participated in the innovation work of national records management and presented the “Roadmap for National Records Management Innovation” to the president, has said that, “it was no other than the president who actually initiated the innovation for the records management, reflecting the requests from every walk

of life. [...] In July 2004, during the State Council, he emphasized that the government should lead the innovation.”

President Roh himself raised the flag of innovation for records management, and he did not just sit back, passively receiving reports and giving instructions to his subordinates. He understood exactly the importance of records management to a nation, and showed a great interest in records management innovation during his whole term. In June 2004 he said, “For keeping the historic records and maintaining the continuity, rationality, and efficiency of administration, it is essential to keep the records intact and efficiently utilize them.” This demonstrates his philosophy of pursuing what Professor Ahn called “high-standard historic records management.” In February 2005, during another State Council, President Roh said, “All the records of what a nation has done should be maintained perfectly, and the entire process of decision-making should be recorded accurately.” In this address he stressed the “accountability” of records management, which is becoming increasingly important.

During the summer of 2004, the president received numerous updated reports and participated in the project discussion. During the process, he ordered the creation of the “innovation model for presidential records” first, followed by the creation and execution of the “innovation model for national records.” He continued to be involved in every major step. He frequently received updates from inside the Presidential Secretariat during the latter half of 2004, and he ordered the establishment of a task force to lead the innovation. Also at issue was whether presidential records management should be included in the scope of existing public records management, or if a separate Act on the Management of Presidential Archives should be established. The decision to separately implement the Act on the Management of Presidential Archives in 2007 had strong support from the President. He gave his attention to the transfer of

presidential records throughout the transfer process, getting regular briefs and providing his support. Thus, when the evidence for the success of the innovation is considered, the important role President Roh played should not be overlooked.

## **2 - System for pursuing the innovation model.**

It is the president's aides who put into practice the president's philosophy and commitment. Without their work, no matter how good the president's philosophy and no matter how strong his commitment, it is impossible to realize his goals. What is notable under President Roh's government is the establishment and operation of a separate Task Force for Work and Records Management (hereafter Innovation TF).

The Innovation TF comprised experts from the Records Management Secretariat and relevant offices (Office of Secretary for General Affairs, Office of Secretary for Work Innovation, etc.). The Records Management Secretariat encompasses the office of secretary who manages the records of the president, the Presidential Secretariat, and some members of the president's councils of advisors; it also serves as the records center that maintains the records of the Presidential Secretariat. Among the relevant departments, the Office of Secretary for Work Innovation operated the work management system for the councils of advisors, while the external experts group, composed of experts in records management, information disclosure, and information technology, executed the innovation model for the presidential records.

The achievements of the Innovation TF are notable. Firstly, it concentrated on the execution of the innovation model for presidential records. The TF actively participated in the enactment of the Act on the Management of Presidential Archives and the establishment of the Presidential Archives. Secondly, the Innovation TF focused on mutual cooperation with the

innovation model for the national records which was implemented by the National Archives of Korea and the Presidential Committee on Government Innovation.

Thirdly, the Innovation TF successfully transferred presidential records, both electronic and non-electronic records and gifts received by presidents. For the successful transfer of such records, close coordination with relevant departments was essential; the whole process from collection to the transfer of records could not be completed without cooperation with and support from relevant departments. In this sense, the records management system presented a number of advantages.

Fourthly, the Innovation TF established the records management system. Among the presidential records, the proportion of electronic records was relatively high because most of the work of the president and the Presidential Secretariat was conducted through the work management system. President Roh set an example by conducting his duties through the work management system he designed himself. By letting people use the work management system for briefings as well as meetings he could keep all the data related to his duties in same system. As a result, the entire decision-making process could be recorded, from start to finish, through the work management system. Work processes inside the Presidential Secretariat were carried out through the work management system as well, and the records of presidential aides' work remained as electronic records. As a result, the accountability of national policies has been enhanced remarkably.

However, the records management function of the work management system was not perfectly implemented. As a result, the management of electronic records including their transfer became problematic, and there was debate over how to integrate the records management function—whether to add the records management function to the work management system or to build

a separate records management system. In the end, the latter was chosen, and the records management system was established in 2006 allowing for professional management of electronic records. The functionality of the records management system covers: (1) records scheduling; (2) access rights; (3) disclosure; and (4) classified management (period of secrecy and level of confidentiality), each a vital element for controlling electronic records. The work management system and records management system were interconnected on a real time basis so that the creation and control of the records could proceed simultaneously. As a result, the recording service through the records management system also became available. Preservation of the authenticity of the electronic data following transfer emerged as another issue, however.

The InnovationTF played a major role in resolving problems faced by the innovation model for the presidential records. Through the system, private experts provide technical advice, playing a leading role in pursuing the innovation model. In fact, the Innovation TF served as a main drive for pursuing the innovation for presidential records. Active cooperation with relevant departments was also possible within this framework. Due to the efforts of the Innovation TF composed of dedicated private experts and members of relevant departments, the innovation model for presidential records could be pursued despite various difficulties.

## Lessons of the innovation model

Thus far, the background and history of the innovation model for presidential records, evidence of innovation, and success factors of the innovation have been reviewed. Before the conclusion, some lessons learned from the innovation model will be considered.

The first lesson is that the philosophy and commitment of the president was very important for the success of the innovation

model. While not a singular factor, what should not be dismissed is that the philosophy and level of commitment of a nation's or an organization's top decision-maker is a critical variable.

The second lesson concerns the body taking the lead on records management. In Korea, the Presidential Archives and the Office of Secretary for Records Management have maintained a system of close cooperation, which is a very important success factor. If there is already a Presidential Archives operating, and records centers already placed in each organization, consideration of a cooperative system might not be relevant. However, if there is no such body taking care exclusively of the presidential records, it would be worthwhile to consider the establishment of such an exclusive office for records management in the future.

The third lesson pertains to the cooperation between private experts and relevant government departments, which provides in turn two more general lessons. The first is about the active participation of private experts. The participation of private experts shows that rather than the government unilaterally implementing the policy, it established and implemented it with members of civil society, thus showing the characteristics of good governance. The other lesson is about the strategy that can be executed in a new records management environment. If problems over the records management of the presidential records lie in the electronic work environment, then close coordination with the department that operates the work management system is necessary.

The fourth lesson is the presence of accountability in the innovation model for presidential records. One of the prerequisites for accountability is that all decision-making processes be handled in a transparent way and all results kept as records. To achieve this, various elements are needed including the strong commitment of the president and top policy-makers, proper



laws and regulations that can support the commitment, and efficient strategy and execution of the strategy to successfully keep the records. Although it cannot be described as “perfect”, Korea's innovation model for presidential records has encompassed all of these.



# Archives and their allies

## Danielle Wickman

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■ Danielle Wickman works in performance audit at the Australian National Audit Office. Prior to this she spent 15 years at the National Archives of Australia, working across many areas including governance, publishing, arrangement and description, reference and disposal. In 2006 she worked with the Regional Assistance Mission to Solomon Islands to develop recordkeeping guidelines for the Solomon Islands government. She returned to Australia in 2007 to manage the first phases of the PARBICA Recordkeeping for Good Governance Toolkit. Danielle has degrees in journalism, librarianship, archives and records management and museums and collections.

*In Solomon Islands, the National Archives formed alliances within the government to make improvements to recordkeeping systems and processes. While some alliances were highly successful, other attempts were less so. This paper looks at the outcomes each alliance brought and examines the factors that may lead to a successful alliance.*

Solomon Islands, north of Australia and east of Papua New Guinea, is a primarily Melanesian country of about half a million people stretched over an archipelago of around a thousand islands and speaking at least 60 distinct languages. The British made the chain of islands a protectorate in 1893 in an attempt to stop the worst excesses of blackbirding, and governed until granting independence in 1978.

In 30 years of independence only one government has served a full four-year term. The political party system is immature and these allegiances are fluid, as was demonstrated following the April 2006 election and subsequent riots, where elected members of parliament switched allegiances to rally behind different leaders at different times.

With such political instability it is not hard to understand how government administration can decline. Add an oral culture, where documenting procedures is secondary to their oral passing on. Then add the enormous pressure placed on public servants by the 'wontok' culture, where people are powerfully compelled by their culture to share any resource they have access to with those in their language group who are in need. In this environment inefficiency can easily become corruption.

The State came close to collapse in 1998 and fell into a period known as the 'ethnic tensions'. Two major ethnic groups, the Guale, native to the main island of Guadalcanal where the capital Honiara sits, and the Malaitans, settlers from a neighbouring island who had been attracted by the economic opportunities in Honiara, essentially went to war over land and power. The resulting violence saw many deaths and the flight of many settlers from other parts of the country returning to their home villages.

Things deteriorated to such a state that the Pacific Island Forum – a regional grouping of Pacific nations including Australia and New Zealand – established RAMSI, the Regional Assistance Mission to Solomon Islands, to restore law and order and to

begin rebuilding the state. RAMSI began largely as a policing exercise, and this remains a major part of the regional commitment to the Solomon Islands. Less well-known, however, is its civilian arm, which aims to rebuild the country's economic and administrative self-reliance through improved economic management, law and justice processes and machinery of government. It is in this last area that the National Archives of Australia became involved in RAMSI and with the National Archives of Solomon Islands. I travelled to Honiara in February 2006 to spend a year working with the National Archives of Solomon Islands on recordkeeping issues. The fact that AusAID – Australia's international aid agency – and RAMSI have identified recordkeeping as an important element of the RAMSI Machinery of Government program is also a good sign that governments are taking recordkeeping seriously as a key element of good governance.

The recordkeeping problems in the Solomon Islands government are not very different to problems in other governments. They include a lack of storage for records, a lack of recognition of the importance of recordkeeping and a subsequent undervaluing and under-training of records management staff, and the failure to capture records, particularly electronic records like email, into official recordkeeping systems. In addition, the National Archives is undervalued within government, and not seen as necessarily relevant to current recordkeeping issues.

In response to these problems, we elected to develop a comprehensive set of recordkeeping manuals that would guide government officers, and particularly records managers, in how to create, capture, retrieve and provide access to government records. The story of that process is itself an interesting one, but what I really want to talk about in this forum is the alliances that we were able to form within the Solomon Islands government that had a bearing on the project's development and outcomes.

Aid projects sometimes fall into the trap of developing elaborate new systems for doing things and then disappearing over the horizon, leaving the aid recipients to grapple with making a new and perhaps alien system a reality. In these circumstances local staff often end up abandoning the new innovation through lack of support for its implementation, making the whole exercise a waste of everyone's time and energy. Developing a records management manual had the potential to fall into this trap, so we pursued a few strategies to minimise this risk.

The first was to keep the procedures in the new manual as close as possible to existing processes, and to test them in government agencies before rolling them out more generally. The two agencies we worked with were carefully selected not only as test sites for the procedures but also to develop strategic alliances with other parts of government. One of these alliances in particular proved to be exceptionally helpful in furthering the take-up of the new manual.

The first agency I want to talk about is the Public Service Department. Like much of the administration within Solomon Islands, the PSD's work had devolved into a mainly procedural role, with its main focus being on the processes of appointing, promoting, dismissing and approving leave for public servants. The Department is, though, revitalising its policy functions, and has begun devolving more routine tasks such as public sector recruitment to its client agencies and developing advice and procedures on how agencies should carry out these processes for themselves. As the PSD reasserts its leadership role in public administration policy, it will increase the influence it has over the administrative behaviour of other government agencies. In fact, as a central agency of government the PSD is already respected by other agencies, and this respect will build as it further develops its leadership role.

In part through the existing respect

afforded to the PSD, the PSD records manager is also held in high regard among his peers. He is also a long-serving and highly experienced records manager in his own right, and other registry staff within government seek him out for advice.

These factors combine to make the Public Service Department an ideal ally for improving records management across government. In addition, the Permanent Secretary of the Department had earlier in his career been a senior officer at the National Archives. In order to try to build on this relationship the PSD was selected as one of our test sites for the manual.

The outcome of this particular alliance has been mixed, and will perhaps bear more fruit as it is developed further. The testing at PSD came very late in the project, and not enough time was available to really develop the relationship fully. In addition, the number of administrative improvements that were being made within the department (there were three other RAMSI advisers based in PSD at the time) meant that the Department's leadership found it difficult to engage with our particular project. It had been hoped that the Public Service Department would endorse the manual when it was finalised and issue it under its own name. In the end the manual was launched by the Department of Culture and Tourism (the National Archives' parent department), which has much less influence in government than the PSD.

This does not mean, though, that the alliance is a failure. The PSD records manager is now familiar with the new procedures, and is able to provide advice to others who are seeking to implement them. In addition, a relationship with PSD has begun, and is there to be built upon when work resumes on recordkeeping issues within Solomon Islands government.

A more successful alliance was built with the Institute of Public Administration and Management (known as IPAM). IPAM is the internal training arm of the Solomon Islands government. Like the PSD, its work

had declined during the troubles of the 1990s and it had virtually ceased to exist until it was revitalised with the help of RAMSI. Also like PSD, IPAM is now in the process of expanding its vision for itself, and aims to be a training 'broker' for government by identifying whole-of-government training needs and meeting them either by contracting external trainers or developing its own training resources.

Because of its importance to the development of public administration capacity, IPAM had also attracted support from RAMSI in the form of a civilian adviser, and it was with his assistance that IPAM realised that it needed help with its own recordkeeping arrangements and sought advice from the National Archives. This established a relationship between the two agencies, and, combined with IPAM's training role, made it another good candidate for an alliance. The Director of IPAM was personally interested in the work, which meant that his staff had full organisational support for their involvement.

IPAM was able to provide extensive testing of the new records management manual, and its Director saw sufficient merit in the new procedures to seek to incorporate them into its existing records management training for public servants. This led to a new activity, working with the IPAM training staff to help them to understand the new procedures, and to develop training activities around them. The result was a new records management training course based exclusively on the new procedures, and the first such course was delivered in early 2007. In a useful synergy, the Public Service Department records manager attended the inaugural course and was able to add his expertise to the information the trainers provided.

The development of the IPAM records management course achieved a penetration into the public service that the Archives alone would never have been able to provide. More than 30 people from a range of government agencies attended the first of the

re-vamped workshops, and IPAM's plans are to run the course regularly and to take them to the country's outlying provincial governments as well.

The IPAM training does, to some extent, preach only to the converted. Its participants are records management staff who usually already understand the importance of keeping good records, and are looking for new ways to do their existing work. In Solomon Islands, as in – I suspect – most other governments, records management is undervalued, and records management staff tend to be quite junior within government structures and consequently almost powerless to make change on their own.

The project recognised this quite early and sought to engage the support of senior managers within government in another type of alliance. Heads of government departments were briefed on the record-keeping project, and reports were that they were eager to see its outcomes. Attempts to actively engage them in the work were, however, significantly less successful. There were a range of reasons for this, many of them completely understandable given the range of administrative issues the Solomon Islands government was grappling with at the time. At the core, however, was – I believe – the very common belief that recordkeeping is always someone else's problem. Departmental heads were keen to be presented with ready-made solutions to the difficulties they saw in their agencies, particularly relating to a crisis of storage for masses of undifferentiated and unexamined records. They had much more trouble understanding that they needed to be part of the solution themselves.

One senior official who did see the importance of recordkeeping and put his weight behind the project was the Auditor-General. Following one spectacularly unsuccessful attempt to connect permanent secretaries with the project, the Auditor-General contacted the national daily newspaper, the *Solomon Star*, to publicly castigate his colleagues for failing to participate. He

was also a key figure at the launch of the completed records management manual, lending his not inconsiderable weight to its importance. In addition, he had volunteered his Office to be part of planned future recordkeeping projects, and was an important adviser in our planning processes. Sadly, the Solomon Islands Auditor-General passed away in April 2008, and it is not yet clear what view his successor might have on recordkeeping issues.

Auditors are, though, a natural ally for archivists, relying as they do on recordkeeping to fulfil their functions. In Solomon Islands the Auditor-General estimated that between 2001 and 2004 the cost of corruption to the country was around \$433 million Solomon dollars – more than the nation's annual gross domestic product. The first of his recommendations to tackle this? Strengthen internal financial, administrative and accountability processes, including recordkeeping.

In closing, there are a few observations I'd like to make about my experience of forging alliances within the Solomon Islands government. The first is that the success of these alliances relies both on the enthusiasm of our allies and on their position within government. An enthusiastic yet relatively powerless ally is still an ally, and we as archivists sometimes feel we need all the allies we can get. The Public Service Department's records manager, while relatively junior in the governmental structure, was a champion for the new records management manual among his peers.

Conversely, a powerful ally who has no enthusiasm for your work is possibly no ally at all. Our attempts to engage with senior public servants within the Solomon Islands government were largely unsuccessful, and as a result we had no significant assistance from them as a group. While they had great potential to improve the outcomes of the project, their lack of engagement meant that this potential is not being tapped.

The best ally an archivist can have is

one who is both powerful and enthusiastic. Both the Director of IPAM and the Auditor-General are examples of the kind of alliance that is possible. Both have had a significant influence over the way records management evolves in the Solomon Islands civil service.

Finally, alliances, like any kind of relationship, need work. Perhaps powerful but unenthusiastic allies like the heads of government agencies will come around in time if we keep working on the relationship. The IPAM relationship was one that developed through stages where each party gradually recognised the contribution the other could make to their own aims and objectives. We need to choose our allies well and continue to work on our relationships with them.





# Propuesta de estructura del proyecto “La memoria digital de la sociedad: los archivos notariales”

## María José Justo

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sección para la Enseñanza y la Formación en Archivística del mismo consejo (SAE).

*Los documentos notariales son esenciales para el estudio de la historia urbana, por cuanto registran la mayoría de las actividades de la mayoría de los hombres, en lo que se puede definir como “gestiones de la vida ordinaria”, así como las situaciones que se pueden calificar de extraordinarias, o de comportamientos no acordes con las normas de la sociedad. El objetivo fundamental de este proyecto es conocer las fuentes notariales existentes en los setenta y seis países que tienen notariado, su localización, y la posibilidad de acceder a la información desde cualquier punto y a cualquier lugar. Se propone la descripción unificada en todos los archivos notariales, y la elaboración de un Tesauro General.*

## El proyecto general

### Objeto de este programa

El objeto fundamental de este proyecto es, en primer lugar, tener un conocimiento lo más exhaustivo posible de todas las fuentes notariales existentes, su localización, y la posibilidad de acceder a la información desde cualquier punto y a cualquier lugar.

Con esto daríamos el primer paso: conocer los fondos existentes, su estado, volumen, dimensión, etc., teniendo en cuenta el valor histórico, el nivel de consulta que lograríamos con lo que estaríamos haciendo una labor de difusión del protocolo notarial por medio de una base datos.

### Ámbito y dimensión

Se extendería a todos los países productores de documentación notarial para así poder conocer en primer lugar cuales son y que fuentes documentales custodian. Se valoraría el volumen de las fuentes, lugares, fechas, número de notarios, es decir poder tener una información general de los 76 países que tienen notariado.

Nos preguntamos ¿por qué es importante el conocer las fuentes? Porque la función notarial es primariamente documental y tiende a la creación del instrumento público y se manifiesta o exterioriza a través de él.

### Condiciones necesarias

Para desarrollar este proyecto serían necesarias tres condiciones.

La primera sería conseguir que los protocolos notariales tengan un tratamiento unificado en todos los archivos que custodien estas fuentes documentales, cualquiera que fuese el nivel de descripción. Así y en primer lugar tenemos que conseguir una descripción unificada por lo menos en la mayor parte de los campos siempre dentro de la norma internacional ISAD (G).

La segunda condición sería comen-

zar una descripción a nivel inventario del documento notarial de cada país. Todo esto volcado naturalmente en una base de datos o en varias bases de datos a los que se podría acceder desde un portal general, sitio WEB, que bien podría construirse dentro de la sección de Archivos Notariales.

La tercera condición y la idónea para este tipo documental sería la descripción pormenorizada, escritura por escritura, lo que permitiría obtener una información extraordinariamente interesante para la investigación, pues tras la indización se elaboraría un Tesoro general y de esta forma se podría hacer accesible por materias, por países, por negocios jurídicos, por tipos documentales cualquier documento.

### Fases

La primera fase sería conocer que países tienen inventarios de sus fondos notariales y poder dar esa información en Red.

La segunda, si algunos países tuviesen ya unas bases de datos estudiar la posibilidad de implementarlas en el sitio Web de la sección de Archivos notariales, en su caso. Esto nos llevaría a estudiar y analizar proyectos existentes.

La tercera fase sería la colaboración con otros proyectos ya existentes.

## El notariado y sus documentos como testimonio de la vida social

### Introducción

En el siglo XIX y comienzos del XX, la historiografía era prisionera del documento de la administración, de los archivos del Estado que habían acumulado no sólo la documentación que le era propia, sino también toda la documentación eclesiástica y de la Desamortización, producto de las leyes desamortizadoras. La historiografía, pues, estaba más preocupada

de la construcción del estado que de las respiraciones lentas de la sociedad civil, había ignorado a los notarios reales, de jurisdicción y a los tabeliones, aunque estos necesitaban que se le impusiera la fe (*imponere fidem*), estos comenzaron a ser notarios cuando recogen las funciones públicas de los tabularios, convirtiéndose en personas públicas y por tanto, sus documentos llegan a ser documentos públicos. Podemos decir que esos tiempos han terminado y hoy estamos ante una historiografía social basada en los fondos notariales, del notariado como fuente e incluso me atrevería a decir de una historiografía del notariado.

### **Importancia de la documentación notarial**

La documentación notarial tiene una gran importancia porque enseña algo sobre la mayoría de las actividades de la mayoría de los hombres y porque registra lo que podríamos llamar actividad "normal" de la sociedad o sea las actividades de la vida ordinaria. En esta documentación están reflejados tanto el aprendizaje con un contrato de aprendizaje como las personas que ocupan un lugar más alto en la escala social, las élites urbanas.

Y es, desde luego, imprescindible y esencial para el estudio de la historia urbana.

Hay otra gran masa documental, la judicial, que se ocupa de situaciones que calificaríamos de extraordinarias, o de comportamientos no acordes con las normas de la sociedad. Esta documentación tuvo una relación importante con la documentación notarial, pues no olvidemos que los escribanos y notarios anteriores a la caída del antiguo régimen tenían la función *actuaria* además de la *escrituraria* y eran parte importante en las causas y la relación entre los dos cuerpos: notarial y judicial era muy estrecha.

Otras fuentes son los padrones vecinales y los padrones fiscales. Estos últimos nos informan de la riqueza o fortuna que

poseen unas determinadas personas en un determinado momento, pero no sabemos como lo consiguieron, en que la transformaron, como la transmiten o van a transmitir, etc. Todo esto lo sabemos, en cambio, por la documentación notarial: como se convierte una fortuna en nivel de bienestar, de civilización lo sabemos por los inventarios domésticos: ropas, vajillas, libros, etc.

Por tanto, el protocolo es fiel reflejo de la sociedad del momento. Por ejemplo, a finales del siglo XVII y principios del XVIII es manifiesta la importancia que se da a la decoración interior de las casas. Hay que asociarlo, naturalmente, con el momento artístico del paisaje urbano y de interiores. Así en los inventarios aparecen cuadros de esta temática, naturalmente entre las clases acomodadas, las élites urbanas.

En el protocolo también aparece reflejado el ocio, el ocio que ocupa un tercio de la vida diaria, entendiendo como tal: descanso, diversión y desarrollo, (*délassement, divertissement, développement*) las tres D que según Dumazedier tipifican el ocio. En el protocolo nos encontramos con escrituras de compañías teatrales, construcciones de teatros, plazas de toros, celebraciones de carnaval, etc.

Pero hay algo que no se formaliza ni se refleja ante notario: el amor, aunque algunas personas dicen que sí están reflejados sus antecedentes y consecuencias: esponsales, reconocimiento de hijos naturales, dotes, etc.

## **El proyecto del AHUS**

### **Punto de partida**

El archivo histórico universitario, (en adelante A.H.U.S.), está ligado a la historia de la Universidad desde su fundación. Además custodia fondos documentales de otras instituciones. Ya en el siglo XIX, al ser el Rector la jerarquía máxima de la enseñanza en Galicia, entraron fondos tan importantes como los relativos a Enseñanza Primaria, Escuelas Normales, Escuelas especiales como las de Náutica, Sordomudos y Ciegos,

Escuela del Notariado, etc. Pero será el siglo XX y sobre todo en su segunda mitad cuando empiezan a ingresar fondos de otras instituciones ajenas completamente al campo de la Enseñanza. Así tenemos los fondos de Clero, del Hospital Real, de Contaduría de Hipotecas y sobre todo el fondo documental más voluminoso el de Protocolos Notariales de la provincia de A Coruña.

### **El fondo de protocolos como objeto y objetivo de este programa**

El A.H.U.S. en el año 1992 comenzó una política de conservación y difusión de este gran fondo documental

Este fondo contiene protocolos de los distritos notariales siguientes: Arzúa, Corcubión, Muros, Negreira, Noia, Ordes, Padrón y Santiago de Compostela.

Además conserva protocolos de otras instituciones: Hospital Real, clero regular y secular, casas nobiliarias etc., que tenían el privilegio de nombrar notarios en sus jurisdicciones. El libro de notas/registro más antiguo es uno procedente de la antigua jurisdicción de Rianxo del año 1434.

Los protocolos notariales de Santiago de Compostela estaban en el archivo desde finales de los años 60, y había un inventario general. Este inventario fue revisado y actualizado, porque entre otras cosas contenía protocolos de notarios que no pertenecían al distrito de Santiago de Compostela. Posiblemente quedaron en esta ciudad cuando los escribanos venían a la llamada visita de escribanos. Estos protocolos se enviaron al distrito notarial correspondiente.

Con el apoyo del Colegio Notarial se editaron cuatro grandes inventarios pertenecientes a los distritos notariales de A Coruña, Carballo, Santiago de Compostela y Noia.

El protocolo de este último distrito está, a su vez, microfilmado y se está volcando a formato digital.

Los protocolos de los distritos de Arzúa

y Muros están confeccionados pero sin edición. Los de Corcubión y Padrón están prácticamente acabados y el de Negreira está en estado de ejecución.

Este fue el primer gran paso: conocer lo que había, valorar su estado, volumen, dimensión, etc., es decir se tuvo en cuenta el valor histórico, el nivel de consulta y poder acotar así el trabajo para pasar a la siguiente fase: la difusión del protocolo a través de la base de datos del archivo.

### **Tratamiento archivístico: Programa de descripción y digitalización**

Se utiliza la misma base de datos e imágenes del archivo en las que se utiliza la norma internacional ISAD (G). Las imágenes cuentan con los metadatos necesarios para poder hacer migración, en su caso, de las imágenes.

Para el programa de descripción se utiliza la norma internacional ISAD (G), que está implementada en la base de datos ARCHI-doc ARCHI-ges, que corre en Oracle. Aparte de los campos obligatorios de la misma, a saber: unidad de identificación y fechas, se cubren los campos siguientes: nombre del productor, fechas límites del mismo, firmas antiguas, firmas en otros soportes, volumen de la unidad de descripción, área de contenido, documentación relacionada en el archivo, instrumentos de descripción, notas.

En el campo de contenido se describe escritura por escritura con los datos de los otorgantes, el tipo documental y la fecha. Igualmente el número de folios o número de escritura o los dos según se presente el registro.

Todo protocolo descrito lleva a su vez incorporadas las imágenes digitalizadas. Se comprueba que estas imágenes concuerden perfectamente con las unidades descriptivas para que al hacer una búsqueda el investigador vea sin dar lugar a error la imagen que corresponde a lo que él está buscando.

## Fases

Se comenzó la descripción en los distritos de Santiago de Compostela y Noia, porque estos tenían ya un inventario publicado y terminado, es decir ya conocíamos cuantas unidades teníamos, de cuantos folios y escrituras constaba cada una de esas unidades o registros, como era su estado de conservación, etc. Dentro de esta fase se comenzaron a describir los protocolos de los notarios de número y concejo.

En Noia contamos en un primer momento con la ayuda de la consellería de Educación de la Xunta de Galicia que nos permitió describir el protocolo del siglo XVI y parte del siglo XVII. El primer notario de este distrito comienza su andadura en el año 1534.

En la segunda fase se revisó la documentación que estaba previamente microfilmada para ver si era susceptible su paso a digital. En el caso del protocolo del distrito de Noia se está efectuando la conversión a formato digital, no así en el de Santiago de Compostela por carecer el microfilm de la calidad suficiente. En Santiago se digitaliza la documentación a partir del original.

El protocolo de Santiago de Compostela ya se había comenzado a describir y digitalizar hace años, pero ahora el proyecto URBE del Consorcio de Santiago ha venido a dar un gran impulso a este fondo ya que nos permitió contar con personal externo al Archivo: personas para describir, digitalizar, etc., siempre bajo la supervisión de archiveros del A.H.U.S.

## Beneficios

Estas tareas conllevan la conservación del protocolo notarial, pues gracias a su digitalización la consulta se hace a través del sistema informático y se evita así la consulta directa sobre el original. Si un protocolo está en mal estado se envía al taller de restauración para el tratamiento correspondiente. Según el estado se realiza una digitalización de conservación antes del proceso de restauración y la definitiva

cuando está restaurado. Esta última es la que se cuelga en la Red.

## Difusión

Todo esto ha permitido que el volumen de consultas haya aumentado considerablemente, pues este programa va implementado en la base de datos del A.H.U.S., que está abierta a través de Internet a todos los países del mundo. El acceso es libre y tenemos consultas de todos los países sobre todo de Europa y América. De Europa muchas consultas están relacionadas con el camino de Santiago y peregrinos. Aunque aquí no sea quizás el lugar, quiero añadir que estamos construyendo una base de datos con peregrinos que han llegado a Santiago de Compostela. Esto en colaboración con el Museo de las Peregrinaciones.

Así el volumen de consultas de la documentación notarial desde su inclusión en base de datos es, en el año 2006 del 65% y en el 2007 al 79% del total de consultas del archivo. Además, y en colaboración con el Colegio notarial de A Coruña, se celebraron exposiciones tanto en la Universidad como en la sede del Colegio, entre las que destacaremos la titulada "El notariado, una necesidad de ayer y de hoy".

## Conclusiones

Las Tecnologías de la Información (TIC) sirven para optimizar el tratamiento de la información documental.

Las TIC están completamente implementadas en la Universidad de Santiago en todos sus campos y en sus archivos con el programa Archi-DOC Archi-GES, que contiene los módulos de descripción, búsqueda, gestión de usuarios, digitalización, etc., y permite el acceso a Internet de la base de datos e imágenes.

En este momento estamos con una nueva versión, en Java en respuesta a las grandes demandas de usuarios. Esta nueva versión permite hacer búsquedas de diferentes maneras y amplía el servicio de búsquedas de la anterior.



# Lorsque la coopération internationale s'intéresse aux archives : l'exemple de la Tunisie

## Christophe Jacobs

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*Les programmes de coopération extérieure de la Commission européenne (EuropeAid) consacrent une part de leurs financements à des projets portant sur l'amélioration de la gouvernance, la garantie des droits fondamentaux. Certains visent au renforcement des capacités de l'appareil judiciaire d'un pays et comportent des objectifs concernant la gestion des archives. C'est le cas dans différents pays déjà, tels que le Maroc ou encore la Tunisie. Notre communication se proposait de présenter aux congressistes les enjeux qui se posent dans de tels projets, tels que la coordination entre archivistes locaux et archivistes coopérants, le risque de l'« ingérence archivistique », la circulation des connaissances et des compétences archivistiques, à travers l'exemple du ministère de la Justice et des droits de l'Homme tunisien.*

Voici quelques années déjà que la Tunisie s'est engagée dans un processus de réforme de son administration judiciaire. Les objectifs sont multiples et les moyens pour y parvenir également. Plusieurs initiatives ont été coordonnées pour parvenir à ce résultat. C'est le programme d'aide extérieure de la Commission européenne qui va prendre en charge le financement de ce projet de coopération. Depuis peu, nous constatons que ces projets intègrent volontiers un volet d'activités pour le renforcement des capacités de gestion des archives. Elles font partie intégrante d'un projet lié à la gouvernance et au renforcement des capacités d'une administration.

Ce qu'il ne faut pas perdre de vue, c'est que la coopération internationale est un grand marché, florissant qui plus est. Les projets se multiplient, de plus en plus d'entreprises se spécialisent dans ces activités. Elles recrutent et déploient des experts pour mener de tels projets à bien.

Nous nous proposons donc de présenter le fonctionnement d'un projet, au travers de cet exemple tunisien, en ouvrant notre réflexion sur les incidences « archivistiques » de ce dernier. Quelles sont les voies pour une coopération archivistique fructueuse ? Quels sont les réflexes à avoir en tant qu'expert ? Comment réagir en tant qu'institution du pays bénéficiaire ?

## Les projets de coopération internationale<sup>1</sup>

Pour replacer le projet tunisien dans son contexte, nous allons dresser un bref panorama des principaux types de bailleurs de fonds. Nous en distinguons à l'heure actuelle essentiellement deux :

► d'une part, les multilatéraux, c'est-à-dire des organisations internationales qui regroupent plusieurs gouvernements (Banque Mondiale, fonds et programmes des Nations Unies comme le PNUD, etc.) ;

► d'autre part, les bilatéraux, où les relations sont alors de gouvernement à gouvernement (USAID pour les Etats-Unis, GTZ pour l'Allemagne, EuropeAid pour la Commission européenne).

Une troisième catégorie de bailleurs de fonds existe : ce sont les organisations non gouvernementales, de type fondations ou associations. Dans notre profession, nous pouvons citer le programme Archives solidaires du Conseil international des Archives, ainsi que l'association Archivistes sans frontières.

Lorsque ces projets intègrent des activités liées aux archives, ils peuvent revêtir plusieurs formes. Au Bénin, par exemple, un projet a consisté en l'équipement des plus importantes municipalités d'un logiciel de gestion pour les archives municipales. Ailleurs, l'on trouve aussi des projets visant à reconstituer la mémoire des innovations agricoles pour éviter la disparition des savoir-faire : il s'agit de collecte d'archives orales. D'autres projets encore concernent la constitution de cadastres, etc. où le volet gestion de documents est rarement confié à des archivistes. La plupart de ces projets consistent en une dématérialisation, mais n'incluent pas le traitement final des documents initiaux.

## Le projet tunisien : AMSJ – Appui à la modernisation du système judiciaire

Notre projet tunisien, comme indiqué précédemment, est financé par l'office d'aide extérieure de la Commission européenne (EuropeAid) au titre de leurs actions en matière de « Gouvernance et démocratie ». Les liens entre l'Union européenne et la Tunisie ne sont pas récents. Plusieurs accords ont été signés entre les deux instances depuis 1995. Le partenariat Euro-méditerranéen (2000) a permis d'accroître les initiatives de coopération envers les pays du Maghreb, notamment dans le domaine judiciaire. La Tunisie, comme le Maroc, la Mauritanie ou l'Algérie, a monté un projet d'appui à la modernisation

<sup>1</sup> Cet article est issu d'une communication réalisée au XVI<sup>e</sup> congrès international des Archives de Kuala Lumpur, le 23 juillet 2008.



de son système judiciaire. La convention spécifique de financement de ce projet a été signée en décembre 2005. Ce document fixe le contenu du projet, le montant alloué, les délais de réalisation : c'est un contrat qui lie le pays et le bailleur de fonds qu'est EuropeAid.

Une fois cet accord signé, il a fallu passer à la phase opérationnelle et mettre en place une structure chargée de la gestion de ce projet et de tous les prestataires qui vont concourir à sa mise en œuvre. Cette structure s'appelle l' « Unité de Gestion de Projet » (UGP). Elle est dirigée par le Responsable national du projet, désigné par le ministre de la Justice et des Droits de l'Homme. L'année 2007 a été consacrée principalement à la rédaction des dossiers d'appel d'offres, qui ont tous été conclus en novembre de la même année. Chaque marché concernait une partie du projet de modernisation. Parmi ces derniers, un marché est consacré au recrutement d'experts formant l'assistance technique à l'Unité de Gestion de Projet. Cette assistance technique est chargée d'accompagner l'UGP à suivre les autres marchés, à donner des conseils techniques et des avis sur les livrables des autres experts recrutés dans le cadre du projet.

Le projet AMSJ comporte trois composantes. La première concerne la formation des magistrats, des auxiliaires de justice ainsi que d'autres professions participant du travail judiciaire (greffiers, archivistes, informaticiens). La seconde, intitulée « Accès à la Justice et au Droit » a vocation à mettre en place des guichets d'information dans les juridictions ainsi qu'à améliorer la gestion des bibliothèques et plus généralement de la documentation judiciaire. La jurisprudence sera mise en ligne, en lien avec d'autres projets ayant cours au ministère de la Justice. Enfin, la troisième composante concerne l'administration de la justice. Elle inclut le développement d'un nouveau système d'information, le câblage et l'équipement des juridictions, ainsi qu'un volet archives.

## **Les archives judiciaires tunisiennes : état des lieux et projets**

En Tunisie, les archives sont gérées de façon centralisée. Les Archives nationales dépendent du Premier Ministère, elles définissent la politique nationale d'archivage. En termes de personnel, par exemple, ce sont elles qui recrutent tous les archivistes (gestionnaires de documents et d'archives) qui sont affectés ensuite dans d'autres administrations. En ce qui concerne le ministère de la Justice et des Droits de l'Homme, il compte aujourd'hui environ 50 archivistes répartis sur tout le territoire, dont 10 au sein de l'administration centrale. Les autres sont répartis dans les juridictions : toutes les cours d'appel, 80% des tribunaux de première instance et quelques juridictions cantonales.

Les travaux de la cellule Archives du MJDH sont avancés et ils collaborent fréquemment avec les Archives nationales. Ils possèdent un calendrier de conservation à jour, un plan de classification également. Certaines juridictions ont même, depuis peu, réalisé leurs premières opérations de versements.

Le projet de coopération à ce niveau-ci visait surtout un renforcement des capacités de la fonction archive au sein de ce ministère, plutôt qu'une organisation de l'archivage ex-nihilo comme cela a pu être le cas dans d'autres pays. Différentes initiatives ont donc été lancées en ce sens : la première d'entre toutes fut le lancement d'une mission d'audit de l'archivage dans les juridictions. Le but était de dresser un état de l'existant documentaire dans une sélection de tribunaux jugés représentatifs par le ministère lui-même.

Le grand défi majeur est de préparer le ministère et les juridictions au travail de dématérialisation et d'archivage électronique. L'introduction du nouveau système d'information a des incidences importantes sur le travail quotidien, tant des magistrats que des autres professions chargées des

documents dans une juridiction. Le rôle de l'assistance technique est, dès lors, d'accompagner le bénéficiaire à prendre les bonnes décisions, de former les décideurs eux-mêmes et de travailler parfois avec les autres prestataires pour les aider à développer des outils conformes aux attentes des bénéficiaires et aux normes en vigueur.

Notre rôle est aussi de conseiller le ministère dans les réformes structurelles à introduire dans son organisation la fonction archivage. La création d'une direction des archives avec davantage de rôle de coordination de ses archivistes en juridiction, le renforcement de l'offre de formations et de publications de cette direction, sont autant de pistes à suggérer et à impulser par des actions nécessairement ponctuelles. Il est important de créer des activités qui pourront être répliquées une fois le projet achevé. Le plus important sans doute dans ce domaine est de donner à une nouvelle structure tous les moyens de pouvoir agir à moyen et long termes.

Parmi ces activités, les plus fondamentales sont les formations. Ces dernières doivent toucher plusieurs publics pour rendre le changement envisageable et permettre aux acteurs de s'approprier une nouvelle pratique. Les archives électroniques suscitent de nombreux fantasmes (pouvoir tout numériser par exemple), ainsi que des craintes et réticences (fiabilité, sécurité des données, concept flou de signature électronique). Les formations dans ce domaine doivent être techniques (en direction des archivistes, des informaticiens). Elles peuvent être l'occasion de réunir des professionnels pour qu'ils soient amenés à partager un langage et des compétences communes en la matière. Des formations de formateurs peuvent aussi être envisagées pour permettre la réplification de ces formations. Enfin, il faut prévoir des formations de sensibilisation (de type tables rondes) destinées aux magistrats, aux greffiers, qui seront les utilisateurs de ces archives électroniques. Cela permettra de réunir des experts et de répondre aux questions juridiques et judiciaires que

posent les documents électroniques dans le domaine judiciaire.

Enfin, d'après la situation décrite par l'audit de l'archivage dans les juridictions, il s'est avéré qu'il était important de mettre en œuvre une charte d'archivage ou, tout du moins, d'outils équivalents. L'objectif principal est d'harmoniser les pratiques au sein de l'ensemble des juridictions du pays et de résorber un encombrement documentaire quasi-général de ces institutions. Il était envisageable de réaliser une sorte de manuel qui serait distribué à toutes les juridictions, mais des formes nouvelles, plus adéquates et plus inattendues ont été retenues. En effet, il fallait à la fois trouver un outil que l'on puisse facilement mettre à jour et profiter de cet outil pour réaliser une opération de communication en faveur des archives et de valorisation du travail des archivistes. Pour cela, nous avons proposé la création d'un module intranet pour les archives. Tous les outils archivistiques pourront être mis en ligne facilement et seront tenus à jour et accessibles simplement. Un forum permettra des échanges entre les 50 archivistes de ce réseau. L'opération de valorisation, quant à elle, va consister en la publication de manuels dans un format pour le moins original et au design assez atypique. Les outils de communication, de design et de typographie seront ici mis au service d'une opération de modernisation de la vision de l'archiviste. Les outils mis au point et diffusés par les archivistes sont généralement peu engageants et n'invitent pas les utilisateurs à changer l'image qu'ils ont des archives.

Un projet est également l'occasion d'établir des collaborations. Dans ce cas, nous avons d'emblée été amenés à travailler avec les Archives nationales. Cette collaboration a pu s'exprimer de plusieurs manières, mais la plus importante fut sans doute autour du logiciel de gestion des archives courantes et intermédiaires. En effet, depuis l'été 2006, les Archives nationales étaient engagées dans la réalisation d'un tel logiciel de gestion intégrée d'archives.

Leur objectif est de pouvoir toutes les administrations du pays avec ce logiciel. L'application est open source, les Archives nationales en sont propriétaires. Notre objectif a donc été de faire en sorte que ce logiciel puisse être installé et testé dans les juridictions dans le cadre du système d'information qui doit être développé dans le cadre du projet.

Pour que ce genre d'opération soit possible, outre les difficultés techniques que cela peut poser, il est important de rappeler à nos collègues qu'il est plus qu'important aujourd'hui de faire développer des logiciels en open source, qu'il faut l'exiger dans les dossiers d'appel d'offres que vous pourriez rédiger à l'avenir. Les collègues ont besoin de ces innovations, nous pourrions ainsi collectivement améliorer les fonctionnalités de ces logiciels plutôt que de continuer dans une voie où seuls les logiciels propriétaires seraient pertinents. Certains pays ne peuvent payer ces logiciels propriétaires sans des aides extérieures. Eux aussi ont légitimement droit à l'utilisation de produits de qualité. Lorsqu'ils perçoivent des aides extérieures, c'est leur rôle aussi de participer à l'amélioration de ces logiciels en consacrant une partie des sommes allouées au développement de nouvelles fonctionnalités qu'ils mettront à leur tour à la disposition de la communauté. C'est un choix audacieux qui a été réalisé par les Archives nationales de Tunisie.

Toutes ces actions concourent à renforcer les pratiques et accompagner les archivistes dans le traitement des nouvelles archives. L'objectif est de sécuriser au maximum la constitution des dossiers d'affaires, d'en assurer une conservation et une communication optimales. Cette rigueur est à observer pour garantir aux citoyens le respect de leurs droits fondamentaux. Le travail de la justice ainsi facilité permettra d'améliorer les délais d'instruction et de prononcé de jugements. Les parties d'un procès auront aussi des facilités pour déposer et consulter des pièces de leurs dossiers.

Ces projets présentent des avantages certains à l'échelle du pays bénéficiaire. Ils permettent d'institutionnaliser par exemple la coopération des archivistes entre eux sur des projets concrets pour lesquels un résultat est attendu dans un temps donné. Ils facilitent la circulation des compétences et des savoir-faire archivistiques entre pays : notamment les méthodes et outils de la gestion de projet. Enfin, dans certains cas, ils permettent l'introduction d'un tiers dans des situations parfois bloquées au niveau local. Faire entendre une voix neutre dans une question technique peut contribuer à leur déblocage.

En guise de conclusion, je souhaiterais esquisser un certain nombre de réflexions appelées par un tel projet et de telles activités développées dans un contexte où s'entrechoquent parfois intérêts d'États, logiques d'entreprises et enjeux politiques. Nombreux sont les projets à intégrer des activités de dématérialisation. Dans le domaine judiciaire, cela se révèle particulièrement sensible et les magistrats et la plupart des professionnels de la justice le constatent. Nous pouvons dire, me semble-t-il, que la dématérialisation pose de nouveaux enjeux démocratiques. Tout du moins, elle les pose autrement. Les avantages retirés par tous les acteurs judiciaires semblent acquis, néanmoins il faut veiller à ne pas introduire une justice à deux vitesses. La fracture numérique est encore très accentuée dans les pays en développement. Le rôle des experts est aussi de veiller, en amont, à ce que les choses produites dans un système ne puissent pas être détournées par des biais techniques et réemployées à des fins frauduleuses (exemples : les copies de sauvegarde des dossiers virtuels, ou leur réplique sur d'autres serveurs). La gestion des droits d'accès est une chose cruciale dans un système d'information.

Une autre réflexion rejoint la question de l'indépendance de la justice : faut-il militer pour une indépendance archivistique de la justice ? La justice doit-elle s'occuper de ses propres archives ? A titre personnel, je serais plutôt enclin à répondre

par la positive, à partir du moment où elles peuvent être inspectées par des instances indépendantes pour vérifier si elles sont bien conservées et surtout régulièrement communiquées. Le gros du travail consiste à former et informer ces instances qui, traditionnellement, ont vocation à remplir ce type de mission pour que leurs experts incluent l'« inspection archivistique » à leur programme. Mais il est clair que ce type de choix n'est pas neutre. C'est probablement ce qui fait la spécificité de ces archives : ces documents ne sont jamais « neutres », ils sont indissociables de leur contexte. Produits dans un contexte bien précis, ils peuvent changer de nature dès lors que la situation évolue. Nous avons pu le constater dans le cas de régimes politiques dictatoriaux, dont les archives judiciaires sont devenues, après la chute d'un régime dictatorial, des pièces à charge pour les dirigeants de l'ancien régime.

La dernière réflexion que je laisserai à l'appréciation de mes confrères, sans y apporter une quelconque réponse tant le sujet me semble encore vaste, est celle de l'ingérence archivistique. Dans ce type de projet, la coopération entre professionnels est importante, mais s'il n'y a pas d'échange, de transmission, nous passons, d'après moi, dans le registre de l'ingérence archivistique. Les archivistes étant rarement appelés lors de la constitution de ces dossiers de demande d'aide, il est important pour les experts recrutés de faire cette démarche, y compris en dehors de leur mission. Ce devrait être une question d'éthique professionnelle.

## **Messages personnels**

► **Bénéficiaires** : choisissez bien vos experts ! Vérifiez leurs compétences en archivistique ; n'hésitez pas à demander conseil aux Archives nationales et à les associer dans le processus de montage d'un projet de coopération.

► **Bailleurs de fonds** : exigez des garanties quant à la gestion des archives de vos projets ; intégrez davantage encore la réforme des archives comme projet de coopération en soi, indissociable des objectifs d'amélioration de la gouvernance, de la protection des droits fondamentaux et des processus de démocratisation.

► **Archivistes** : faites-vous connaître auprès des institutions de votre pays gérant, coordonnant ou sollicitant une aide internationale ; montez des projets de coopération vous-même au titre de l'amélioration de la gouvernance.

► **ICA** : faites-vous davantage connaître des bailleurs de fonds.

# Access and democratisation of information: the documentation of war atrocities by the Liberian Truth and Reconciliation Commission

## Proscovia Svärd

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*The Liberian Truth and Reconciliation Commission was established to document the atrocities committed against the civilian population between 1979 and 2003. It is through access to this information that citizens and civil society organisations can interrogate government on the implementation of the TRC's recommendations. The post-conflict reconstruction should include the establishment of an information infrastructure at the TRC to promote the dissemination of information, and the documentation generated must be correctly managed if it is to serve its intended purpose for which it is being created. Institutions such as the National Archives of Liberia should be equipped to allow information management activities such as preservation and access. TRC archives are the collective memory of the war atrocities; their good management is vital for the healing, democratisation, and reconciliation processes.*

## Introduction

Liberia in West Africa is transitioning from two decades of violent conflict that led to heinous and gruesome acts committed against humanity. The violent conflict was characterized by massive killings, displacement, property destruction, sexual violations, extra-judicial killings, plunder and economic crimes since natural resources were exploited to finance armed conflicts in the country. Misrule, endemic corruption and the mismanagement of the country's resources have deprived many Liberians of the dividends from its rich natural resources. Liberia is a resource-rich country with a river system that supports the cultivation of rubber, palm oil and tropical fruit plantations. The country is the richest timber resource on the African continent and also has the world's highest quality iron ore and significant deposits of diamonds and gold.<sup>1</sup> Against such background, the Liberian TRC was established in fulfilment of the Comprehensive Peace Agreement (CPA) signed in Accra, Ghana, on 18 August 2003. The Agreement mandates the TRC to document crimes committed against humanity from 1979–2003. Article 26 of the African Charter also encourages governments to carry out an official inquiry into human rights abuses and to establish national institutions to protect human rights.<sup>2</sup> The findings of the inquiry should be made public to expose the wrongdoing of those involved in the atrocities. This promotes the independence and impartiality of the process. The call for official inquiry is to establish that governments should be held responsible for their actions.<sup>3</sup>

TRC missions should be used to open up the public debate and to promote access

to information, which should enable the citizens to act on their rights. However, the financial constraints faced by post-conflict governments and lack of the political will prevent the implementation of the TRC recommendations. For example, the Human Rights Commission of Sierra Leone, which was to further pursue the work of its TRC, was only inaugurated in November 2006, yet the TRC finished its work in 2004. There are complaints that the dissemination of the findings has not been done effectively.<sup>4</sup> The international community and post-conflict nations should learn from the past TRC processes, especially the most recent ones of South Africa and Sierra Leone, in order to enhance the voices of the poor.

Truth commissions have now been embraced on the African continent in South Africa, Sierra Leone, Liberia, with Togo and Kenya soon to join the bandwagon. Research should look into how meaningful the documentation process is to the people whose trauma is documented. The recommendations of the Truth Commissions should be disseminated to the people using different modes of communication since people with low education levels are usually left out of the process. A component that would address the dissemination of the findings to the citizens should be budgeted for and should not entirely be left to the post-conflict governments. Despite the growing popularity of TRCs, their impact on the emerging political environment is not well researched.<sup>5</sup> The opponents of TRCs maintain that the limited life span and resources make it impossible to investigate each and every victim's fate, which hinders individual compensation. This limits the

1 DOYLE Mark, BBC News, 'Challenges of Liberia's Leader', 23 November 2005. Available at <http://news.bbc.co.uk/1/hi/world/africa/4464048.stm>.

2 Human Rights Watch, Academic Freedom and Human Rights Abuses in Africa, An Africa Watch Report (1991).

3 Human Rights Watch, Academic Freedom and Human Rights Abuses in Africa, An Africa Watch Report (1991).

4 SVÄRD Proscovia, 'The Challenges of documenting war atrocities in post-conflict Sierra Leone: a study of the Truth and Reconciliation Commission (TRC)', *African Journal of International Affairs*, 10:1-2, 2007, p.66.

5 BRAHM Eric, 'Getting to the bottom of truth: evaluating the contribution of truth commissions to post-conflict societies' Paper presented at Wisconsin Institute for Peace and Conflict Studies 20<sup>th</sup> Annual Conference, 'Challenges and Paths to Justice' Marquette University, Milwaukee, WI, 6-8 October 2004.

impact they ought to have on a society even though establishing the truth might enhance forward-looking politics.<sup>6</sup>

In the preface of the book on the Liberian peace process, *Peacekeepers, politicians and warlords*, it is lamented that historical records from previous periods in the Liberian peace process have been lost. Military and civil society organizations' records, such as maps, minutes, standing procedures, and telephone lists, which could have been used for future research, were destroyed. Yet, the success of future processes would require an appraisal of past failures.<sup>7</sup> This illustrates the importance of integrating records management in the peace-building processes in order to be able to reconstruct the past events and also to draw lessons from them.

The documentation of war atrocities by the Liberian TRC will require a proper information infrastructure that will promote the dissemination of its findings and lead to the democratisation of information. Information plays an indispensable role in a democratic society and, as a result, archivists and information professionals should play a more active role in TRC processes, to assist in the planning and management of information.

## Methodology

The study relies on a combination of primary and secondary data as well as the author's personal observations. It is based on visits and interviews carried out in both Sierra Leone and Liberia in 2006 and 2007. Unstructured interviews were carried out with students, researchers, activists and ordinary people on the TRC process and post-conflict developments. A literature review on the topic was also done.

6 BRAHM Eric, p.5

7 ALAO Abiodun, MACKINLAY John, and OLONISAKIN Funmi, *Peacekeepers, politicians, and warlords, the Liberian peace process*, United Nations University Press, 1999, xii.

## Theoretical issues: Documentation and dissemination of information in post-war contexts

### Documenting the truth and recordkeeping

The documentation of war atrocities involves the assessment of individual allegations, analysing the overall evolution of the human rights situation, identifying trends, processing information in a report, recording and storing information. In Liberia, the documentation process is taking place amidst challenges of low levels of education/literacy, limited financial resources, lack of electricity and hence limited Internet access, lack of computers and a functioning information infrastructure. The TRC is expected to come out with a final report, which should be disseminated to the members of the public and other interested parties. To restore the trust of a greatly traumatised people, the documentation of war atrocities should be utilised to promote an understanding of the causes of conflict in an effort to bring about national healing, reconciliation, freedom of information and a meaningful public sphere. New modes of information dissemination -like drama in local languages/locally organised seminars, video/DVD screening to the nonliterate societies- should be integrated in the dissemination strategy in order to have an all-inclusive process.

The record and its evidential value is the *raison d'être* of any recordkeeping program.<sup>8</sup> As Tom Adami further posits, archives can provide communities with information on the work done by judicial redress and supported by the international community. An accurate record of the war atrocities is hoped to prevent future atrocities through the enlightenment of the citizenry, which

8 ADAMI Tom, "Who will be left to tell the tale?" Recordkeeping and international criminal jurisprudence, *Archival Science* 7:3, 2007, p. 216.

should prevent regression to conflict.<sup>9</sup> The Amnesty International report says that 'States should preserve archives and other evidence concerning gross violations of human rights and serious violations of international humanitarian law to facilitate knowledge of such violations to investigate allegations and to provide victims with access to an effective remedy in accordance with international law.'<sup>10</sup> The documentation enhances accountability.

### Accountability

The exposure of the massive human rights violations and holding the perpetrators accountable for their deeds marks a new beginning and a break from the past. As the chairman of the Liberian TRC argues, "...exposing the true nature of massive violations that occurred during the conflict will ensure that the past is not forgotten, thereby undermining the divisions, marginalization and exclusionary policies of the past, which found themselves at the core of bad governance in Liberia and lingering social-political discontentment." The fight against impunity requires accountability for crimes committed against humanity. The pursuit of justice is important for establishing the rule of law.<sup>11</sup> Exposure of the atrocities is an acknowledgment of the suffering of the victims and is important in preventing a repetition of future violations.<sup>12</sup> Accountability is a necessity if a society is to attain sustainable peace and development. Access to information plays an indispensable role in an effort to enlighten the society.

### Hindrances to information access

In societies where repression has been the order of the day, and where governments have not been transparent, information is not made available to the electorate. The media therefore has a crucial role to play in enhancing democratic governance. Media freedom enhances public communications from which other benefits flow since it provides a channel of communication between the governed and their governments.<sup>13</sup> Media should under normal circumstances perform a critical surveillance of governments in an effort to enhance democratic rule.<sup>14</sup> Article 19 in the Declaration of Human Rights regulates access to information as a human right.<sup>15</sup>

*Article 15 (b) of the Liberian Constitution grants Liberians "The right to hold opinion without interference and the right to knowledge. It includes freedom of speech and of the press, academic freedom to receive and impart knowledge and information and the right of libraries to make such knowledge available." Part (c) of the same article states that "In pursuance of this right, there shall be no limitation on the public right to be informed about the government and its functionaries," (Liberian Constitution).*

The dissemination of the TRC findings by the media and other civil society organisations will require access to information. However, media operations also require effective tools, such as ICTs, in order to effectively deliver the information to the general public.

9 HAYNER Priscilla, *Unspeakable truths, facing the challenge of Truth Commissions*, Routledge, New York, 2002, 29.

10 AMNESTY INTERNATIONAL, *Truth, Justice and Reparation. Establishing an Effective Truth Commission*, 2007, 10. Available at: <http://www.amnesty.org/en/library/info/POL30/009/2007> Downloaded, 2007.08.06.

11 VERDIER Jerome, 'Peace and development through reconciliation, the role of the Liberian Truth and Reconciliation Commission', Public Lecture at the Nordic Africa Institute, Uppsala, Sweden, 2007, 23.

12 ADAMI, "Who will be left to tell the tale?", 214.

13 MCQUAIL, Denis, *Mass Communication Theory*, Sage Publications, 4th ed. 2000, 166; CURRAN James, 'Rethinking Media and Democracy' in CURRAN James and GUREVITCH Michael (eds.), *Mass Media and Society*, OUP, New York, 2000, 122.

14 CURRAN James, 'Rethinking Media and Democracy' in CURRAN James and GUREVITCH Michael (eds.), *Mass Media and Society*, OUP, New York, 2000, 122–127.

15 GRÄNSTRÖM Claes, LUNDQUIST Lennart and FREDRIKSSON Kerstin, *Arkivlagen, Bakgrund och kommentarer*, Graphic Systems AB, Göteborg, 2000.



## ICTs and information diffusion

The power of information technology today in knowledge and information distribution is well known. Globally, ICTs have improved the quality of life for those with access. Information and communication skills are a prerequisite in order to engage in the social, economic, cultural and political lives. The developing world is still grappling with the challenges of illiteracy, access to ICTs and lack of technical skills. Naz Rassool contends that the third phase of industrial development is driven by information and knowledge instead of energy.<sup>16</sup> Knowledge and information are central to national development goals in the post-industrial societies. Her Excellency Ellen Johnson-Sirleaf, the President of Liberia, has stated that “our vision is for Liberia to become a globally competitive knowledge and information society where lasting improvement in social, economic and cultural developments is achieved through effective use of ICT.”<sup>17</sup>

An e-Readiness assessment on Liberia established that Internet diffusion is low. In 2004, only one in 1,000 Liberians had Internet access. Liberia has no outgoing fibre connectivity and its international connectivity is via satellite. The country lacks a national network backbone, which hampers the expansion and availability of the Internet. Internet connectivity is expensive since there is no major gateway provider and individual providers have their own inter-gateway facilities. The Internet is only available to a small portion of the Liberian population through Internet cafes or wireless Internet Service Providers. The number of people with Internet access is approximately 3,300. Liberia released its ICT Policy in April 2006. About 85% of the

population does *not* enjoy ready access to ICTs. Since human capacity development is key to Liberia’s post-conflict development, educational systems must effectively use ICTs to engage with the global world.<sup>18</sup> Lack of Internet access will hamper the dissemination of the TRC findings even to those Liberians with information and communication skills.

## The promotion of national reconciliation and peace-building

Amadu Sesay, who analysed the TRC in Sierra Leone, highlights the need to improve the lives of the people in order to hasten the reconciliation process. Reconciliation is a process that is linked to government policies and structural macro-level reforms to address the causes of conflict.<sup>19</sup> The South African TRC reconciliation process that has been used as a model for both the Sierra Leonean and Liberian TRCs has still not delivered the reparations that were recommended by the TRC. The government has paid only nominal amounts to some of the designated victims. This creates bitterness and resentment in a society where the standard of living is still low for some citizens and where class cleavages are highly emphasized. This kind of situation is the reality in most countries where TRCs have been established, such as Latin America and Guatemala, Africa and post-communist Europe where the economic situation for the marginalised has not changed.<sup>20</sup> Reconciliation should be pursued in a manner that alleviates social injustices.

16 RASOOL Naz, 1999, ‘Literacy and social development in the information age: Redefining possibilities in Sub-Saharan Africa’ *Social Dynamics*, 25:1, 130-131.

17 BEST Michael, JONES Kipp, KONDO Illenin, THAKUR Dhanaraj, WOMYO Edem and YU Calvin, ‘Post-conflict communications: the Case of Liberia’, *Communications of the ACM* 50:10, 2007, 34.

18 BEST Michael, JONES Kipp, KONDO Illenin, THAKUR Dhanaraj, WOMYO Edem and YU Calvin, ‘Post-conflict communications: the Case of Liberia’, *Communications of the ACM* 50:10, 2007, 39.

19 SESAY Amadu, ‘Does one size fit all? The Sierra Leone Truth and Reconciliation Commission revisited’. Discussion Paper 36, Elanders Gotab AB, Stockholm, 2007, 16.

20 DALY Erin, SARKIN Jeremy, *Reconciliation in divided societies: finding common ground*, University of Pennsylvania Press, 2007, 130.

## The history of the Liberian Civil War

In 1816, a group of distinguished Americans formed an organization called the American Colonization Society (ACS) under the leadership of Rev. Robert Finley, who was a Presbyterian clergyman from New Jersey. The organisation had the intent of founding a colony in West Africa for the freed slaves. The colony was later called Liberia adapted from liberty. The United States gave US \$100,000 to the ACS to enable the organisation to acquire land, build infrastructure, and to enable the freed slave settlers to defend themselves against the indigenous people. This clarifies the historical linkage between Liberia and the USA. In 1821–1843, the organization resettled 4,000 African Americans and in 1822–1867, it resettled 23,000. The arrival of Americo-Liberians created tension with the indigenous people.<sup>21</sup>

The conflict in Liberia was not only a result of tyrants wanting to hold on to power, but also had its roots in the century and a half domination of the Americo-Liberians who were descendants of the freed slaves from America. They dominated the majority of the indigenous people and ruled through coercion.<sup>22</sup> The ACS agents governed Liberia for 25 years and on July 26 1847, Liberia became the first independent black republic. Under the leadership of President William V.S. Tubman (1944–1971) the tension between the Americo-Liberians and indigenous people worsened and led to the coup that overthrew the Americo-Liberian President William R. Tolbert, Jr., by Samuel K. Doe in 1980. Although the Americo-Liberians only made up 2.5% of the population, they ruled and marginalised the rest of the population, which was

comprised of 15 ethnic groups. Samuel Doe's *coup d'Etat* brought the rule of the True Whig Party (TWP) to an end. The Americo-Liberians ruled Liberia from 1847 until 1980 with Samuel Doe's coup ending the misrule of the Americo-Liberian oligarchy that had established the Liberian state in 1822 and alienated the indigenous population.<sup>23</sup>

Samuel Doe favoured the Krahn ethnic group to whom he assigned top administrative and military posts. This generated disaffection and led to an armed rebellion against him by the Gio and Mano marginalised ethnic groups under Charles Taylor a former government official. Doe's regime came to an end in 1990 and triggered a cycle of civil wars. In December 1989, a small group of 150 armed dissidents under the leadership of Charles Taylor tried to overthrow Samuel Doe. This resulted in a civil war that killed about 200,000 people. In July 1997, Charles Taylor was elected president. Liberia's transition from war to peace failed even under the leadership of Charles Taylor and in 2001 the country relapsed into war. The international community had to intervene in order to restore peace and security. On 8 August 2003, a Comprehensive Peace Agreement (CPA) was adopted in Accra, Ghana, which brought a formal end to the war. A National Transitional Government of Liberia (NTGL) was formed to administer the country until the elections of October 2005. The 2005 elections brought to power Africa's first woman president, Ellen Johnson-Sirleaf.<sup>24</sup>

<sup>23</sup> AKOKPARI John, AZEVEDO Elisabete, 'Post-Conflict elections in Africa: Liberia and Guinea-Bissau in Comparative Perspective', *African Journal of International Affairs*, 10:1-2, 2007, 77; GBERIE, Lansana, 'Liberia's war and peace process, a historical overview', in ABOAGYE Festus and BAH M. S. Alhaji, (eds.), *A tortuous road to peace. The dynamics of regional, UN and international humanitarian intervention* Peace Missions Programme at the Institute for Security Studies, funded by the Embassy of Finland in Pretoria, South Africa, 2005, 52.

<sup>24</sup> GBERIE Lansana, 'Liberia's war and peace process, a historical overview', 51; AKOKPARI John., 'Post-Conflict elections in Africa', 75–76; LAMIN, Abdul, 'Conflict and Governance in West Africa' in MATLOSA Khabele, ELKLIT Jorgen, and CHIRORO Bertha (eds), *Challenges of Conflict, Democracy and Development in Africa*, Electoral Institute of Southern

<sup>21</sup> HYMAN S. Lester, *United States policy towards Liberia 1822 to 2003, unintended consequences?* Africana Homestead Legacy Publishers, New Jersey, 2003, 2-3.

<sup>22</sup> OPEN SOCIETY INSTITUTE AND CENTRAL EUROPEAN UNIVERSITY, *Ethnic violence and justice, the debate over responsibility, accountability, intervention, complicity, tribunals and Truth Commissions*, 2003, 80.

## The Liberian Truth and Reconciliation Commission and its mandate

Article 23 of the Liberia Comprehensive Peace Agreement (CPA) defines the mandate of the TRC, which is to provide, a forum for both victims and perpetrators to share their experiences in an effort to address impunity, facilitate genuine healing and reconciliation. An Act to establish the TRC was enacted by the National Transitional Legislative Assembly on 12 May 2005 and inducted on 20 February 2006 by Her Excellency President Ellen Johnson-Sirleaf.<sup>25</sup> The TRC was launched on 22 June 2006 to investigate the root causes of the crises in Liberia, which led to the massive violation of human rights. The TRC is expected to come up with recommendations that will help in the rehabilitation of the victims.<sup>26</sup> The TRC is investigating human rights violations committed during the 24-year period (1979–2003). It can recommend prosecution where it deems necessary. It has a two-year mandate and is headed by a chairman and nine commissioners, of which four are women. It also has three members of the International Technical Assistance Committee (ITAC) that work directly with the commissioners. The local staff of the TRC are directly employed and paid by the Liberian government. The TRC also established a Diaspora program to engage Liberians in the Diaspora in its work.<sup>27</sup> It has partnerships with non-governmental organisations like the Foundation for Human Rights in South Africa, the Open Society Initiative (OSI) in New York, the International Centre for Transitional Justice (ICTJ) and the Open Society Initiative in West Africa (OSIWA).

Africa, 2007, 229.

25 WASHINGTON A Massa, 'Remarks at the official launching of the TRC-US Diaspora statement taking process', 2007, 3. At: <http://www.trcofliberia.org/news-1/trc-happenings/remarks-at-the-official-launching> Downloaded 2007.12.21.

26 LIBERIA *Comprehensive Peace Agreement*, 2003, United States Institute of Peace, 2003, at: [http://www.usip.org/library/pa/liberia/liberia\\_08182003\\_toc.html](http://www.usip.org/library/pa/liberia/liberia_08182003_toc.html).

27 VERDIER Jerome, 'Peace and development through reconciliation', 5.

The TRC is to work with media, women and youth organisations, religious and traditional communities, the civil society, and the Liberian Diaspora.<sup>28</sup>

## Challenges of documenting war crimes in post-conflict states

### Why the Truth and Reconciliation Commission?

The major challenge facing post-conflict societies is to reconcile and heal the people. During the Accra Peace talks there were two schools of thought. One was for the establishment of a TRC and the other was for a war crimes tribunal.<sup>29</sup> In the absence of effective justice systems to address the human rights abuses, the TRC, in the case of Liberia, offered an inclusive way to possibly help Liberians address the legacies of abuse. The TRC is the central element in the democratisation process that will enable Liberians to achieve sustainable peace and avoid regressing to the nature of abuses and violations that they endured during the war. TRCs have the potential to evaluate institutional responsibilities for the committed atrocities and to outline their weaknesses. They can also suggest changes in laws that have been used to perpetuate the abuse of citizens. Truth commissions enable us to understand how difficult issues of reconciliation are and highlight social-economic and racial cleavages.<sup>30</sup>

The recommendations made by the TRC should improve the lives of the victims, promote public debate about the past, and enhance a collective national memory and

28 WASHINGTON A Massa, 'Remarks', 2-3.

29 JAYE Thomas, 24 July 2007, 'Liberia's TRC: Context, Mandate and Challenges', *Pambazuka News*, at <http://www.pambazuka.org/en/category/comment/42769> (accessed 6 January 2010).

30 KWABO, Nathaniel, 'TRC Happenings News, TRC Executive Director Inducted into Office' at: <https://www.trcofliberia.org/news-1/trc-happenings/trc-executive-director-inducted-into-office> Downloaded 2007.12.21); HAYNER Priscilla, *Unspeakable truth*, 29; KROG Antije, VERWOERD Wilhelm, MABIZELA 'CHIEF' Mahlubi, *Life and Times of the TRC*, 2000, 38.

history. However, a TRC on its own cannot heal or reconcile the people. It has to be complemented by improvements in the lives of the people, inclusive politics, and the use of traditional healing and reconciliation methods. The “TRC should serve as a vehicle” to generate debates that will help the country move forward. People need to understand the causes of the war in order for Liberia to come up with solutions to its problems.<sup>31</sup> This makes the management of information even more crucial.

### The role of information

Since freedom of information is a tenet of democracy and a fundamental human right, a number of institutions in Liberia—such as the Centre for Transparency and Accountability in Liberia (CENTAL), the Centre for Media Studies and Peace Building, Liberia Democracy Watch and the National Youth Movement for Transparent Elections (NAYMOTE-PADD)—have been engaged in fostering a culture in which the government of Liberia can be scrutinized. Journalists, human rights activists, and lawyers have been pursuing the enactment of a Freedom of Information Act that guarantees the general public access to records and information in the custody of government institutions.<sup>32</sup> Even though the constitution clearly spells out the right to access information, there are several hindrances to such access.

According to the interviews that I carried out in September 2007 with a key actor in the media field and a government official, information access is still a pronounced problem in Liberia. The problem is further compounded by a serious capacity-deficit within the area of records management.<sup>33</sup>

<sup>31</sup> JAYE Thomas, 24 July 2007, ‘Liberia’s TRC: Context, Mandate and Challenges’, *Pambazuka News*, at <http://www.pambazuka.org/en/category/comment/42769> (accessed 6 January 2010).

<sup>32</sup> Access to Information Monitoring Report, *Piecing The Veil of Secrecy*, Center for Transparency & Accountability in Liberia (2007).

<sup>33</sup> Interviews carried out by the author with a media practitioner in Monrovia and a highly-placed govern-

ment official, September 2007. There has to be political will to enhance information access by improving the record-keeping regimes. In order for the government to pursue an open dialogue with the electorate, a public sphere built on mutual understanding has to be promoted. Information management institutions, such as the National Archives of Liberia and libraries, are fundamental to establishing a society that values information.

### The National Archives of Liberia

Transitional societies with fragile institutions need the support of the international community to establish an information infrastructure that can enhance the retrieval, dissemination, and preservation of government archives. In 1982, as a contribution to the development of an information infrastructure in Liberia, the Liberian government and the United Nations Educational Scientific and Culture Organization (UNESCO) prepared a report in collaboration with the Centre for National Documents and Records Agency of Liberia (CNDRA). The report identified the areas for the government to work on (Roper, 1983:4):

- ▶ To develop the archives and records management services.
- ▶ To provide adequate funding to the National Archives Centre.
- ▶ To provide adequate staff.

A visit made in 2004 by Dr. Verlone Stone of Indiana University (United States) and Elwood Dunn of the University of South Africa assessed the condition of document repositories and suggested conditions that would enable access to Liberia’s Presidential and National Archives. The challenges that existed during the 1980s still persist and the civil war made matters worse. In the 1990s, the Centre for National Documents and Records/National Archives building was looted by ex-combatants and valuable documents were destroyed. Some documents from the early-nineteenth

ment official, September 2007.

century when the Republic of Liberia was founded were rescued. Today the National Archives lacks preservation materials, training, financial resources, and proper storage facilities to cope with all these challenges. Government archives are scattered and the archival organisation of documents, which was done during the 1990s, has not been restored.<sup>34</sup>

### **Addressing some of the post-war records management challenges**

The diffusion of the TRC findings will require functioning information management institutions—such as the National Archives and libraries—because of the need to promote the importance of information in society.<sup>35</sup> The papers of the longest-serving Liberian president, V.S. Tubman, are about 30,000 in number and were deteriorating, but were rescued through the British Library Endangered Archives Program. The collection, which covers 1944–1950 and 1961–1971, is of great importance in understanding the organisation of the African Union's early years, the decolonisation era, and West African Diplomacy. The fragile documents were air shipped to the E. Lingle Craig Preservation Laboratory at Indiana University in the United States because Liberia does not have the facilities to deep-freeze and freeze-dry the damp and insect-infected documents. After treatment, the documents were to be microfilmed and sent back to Liberia. Microfilm copies were to be sent to the University of Liberia, Cuttington University College, Centre for National Documents and Records, National Archives and the Tubman family to enhance local access.<sup>36</sup> Dissemination of the TRC

findings will not take place in a vacuum, but will require a well-established information infrastructure.

### **The Liberian TRC Archives: preservation and dissemination**

Documentation and preservation of records pose numerous challenges and these include lack of effective dissemination channels, information management skills, infrastructure, and storage facilities. The recording and storing of information is crucial to the research process of the work of an investigative body like the TRC. In order to logically organize the generated information, a records management system has to be put in place to ease retrieval and security risks given the sensitivity of the information.<sup>37</sup> The documentation and archiving of the TRC findings was still at the preliminary stage as I learned during an interview that I conducted in April 2007 with TRC Chairman Jerome Verdier.<sup>38</sup> During a subsequent visit to Liberia in September 2007, in a meeting with the TRC commissioners, it was revealed that document handling at the TRC headquarters was not integrated in the work of the TRC and there was no Archivist employed to advise, plan, and take care of the documents that are being generated.

According to Chairman Verdier, the TRC has an information and dissemination strategy plan that will embrace experiences of the past as well as cultural and current socio-economic aspects of the country. Verdier argues that transitional justice processes should be taught in schools to promote a culture that builds on respect for human rights, good governance, and

<sup>34</sup> STONE Verlon and DUNN Elwood 2004, Assessment of Liberian document repositories: African studies collection, Liberian Collections Project-Archives of Traditional Music, Indiana University-Bloomington at: <http://www.indian.edu/~libsalc/african/assessment%20liberian.docrep.html> (Downloaded 2008.04.25. Not available 6 Jan 2010).

<sup>35</sup> STONE, 'Assessment'.

<sup>36</sup> CENTRE FOR RESEARCH LIBRARIES African Archives Co-operative Projects, 'Rescuing Liberian

history: Preserving the personal papers of William V. S. Tubman, Liberia's longest serving president' 2006, at : <http://www.cr.l.edu/Areastudies/CAMP/related-projects/liberia.htm> [not available 6 Jan 2010; but see also <http://www.bl.uk/about/policies/endangeredarch/vstoneoutcome.html>.

<sup>37</sup> UKWELI, *Monitoring and documenting human rights violations in Africa*, 22.

<sup>38</sup> SVÄRD Proscovia, 'Jerome Verdier on the Liberian Truth and Reconciliation Commission', *News from the Nordic Africa Institute* 3, November 2007, 18.

democracy. The TRC findings are intended to educate the people in order to create a democratic society.<sup>39</sup> The completed Sierra Leonean TRC work showed that even though a recommendation was made regarding the dissemination of the generated documentation, the fact is that there was no institution left in place to maintain the documentation packed in boxes and stored away. If Liberia is to learn a lesson from the Sierra Leonean TRC, the government and its international partners should budget for an archiving component that will enhance local capacity building in document handling, and provide for systematic arrangement of the archives that will lead to a meaningful use of the information.

### **Analysis of the documentation process**

This article has looked at the ongoing documentation process of the Liberian TRC and highlighted the challenges ahead regarding the preservation and dissemination of the TRC findings to the Liberians. Information is empowerment and if the Liberians are to learn from the findings of the TRC in order to avoid regressing to conflict, the government of Liberia with the support of the international community should invest in an information infrastructure. The challenges to the documentation process are many, and lack of the political will and financial constraints hinder the diffusion of the findings into the societies. ICTs play an indispensable role in the dissemination of information from one to many and would be the most suitable tools to employ in diffusing the TRC findings to the Liberians. Lack of electricity and Internet connectivity hinder many Liberians from tapping into the 'global information bank' and, hence, those with access to the Internet tend to know much more about the Liberian TRC. The parties involved in the planning of the TRC missions should draw lessons from past TRCs in order to address information planning issues and the implementation of the TRC recommendations.

39 SVÄRD 'Jerome Verdier', 18-19.

The media has to operate freely in order to play its watchdog role and to digest information to the masses, but also to be able to carry out investigative journalism that holds government officials responsible for the decisions they take on behalf of the electorate. Africa has just witnessed two recently concluded TRCs in South Africa and Sierra Leone. The literature available on both TRCs clearly illustrates that their effect on the lives of the poor has been marginal.

TRCs are expensive institutions, but are considered to be the most suitable mechanisms in addressing issues of massive violation of human rights. They have the potential to uncover the truth through research and enhance reconciliation by giving the victims and perpetrators a platform to account their war experiences. However, if the information generated is not actualised and used in a manner that will create a society that is enlightened and can engage in decision-making processes and governance issues, addressing the causes of conflict might be elusive. The poor would like to see the TRC process leading to policies that will address social injustices. The victims of war need hospitals and psychiatrists who will take care of them. TRCs generate important knowledge that is not fully used in countries where it is most needed. Since the TRCs are a sign of legitimacy for new governments, they should be used to enhance access to information in a manner that also will enhance accountability. The Freedom of Information Act will need to be enacted by the Liberian government in order for media to be able to perform its role and for the citizens to have access to public records. The Liberian government will need to invest in better recordkeeping systems to enhance access to information, transparency, and good governance.

### **Conclusion and recommendations**

Since Truth Commissions are instruments that signal the break away from the repressive past and the beginning of a democratic era, their findings should be

made accessible to the citizens as stated in the TRC mandates. Future TRC planners should include the suitable modes of diffusing the TRC findings to the members of the society with low levels of education. Follow-up institutions should not be established years after the TRC has completed its mission, but rather mini-commissions or Human Rights Commissions should immediately pursue the follow-up process after the TRC has completed its work. These institutions should have a focused fund to enable them to effectively see to it that the reparations are paid out to the victims and that the recommendations are embraced by the government. Legal frameworks that can ease information access should also be looked into in order to enable media to play an active role in digesting information to the citizenry. The TRC documentation should be used to formulate economic and social policies that will prevent the post-conflict societies from regressing into war. Given the multilingual nature of Liberian society, various modes of diffusion of information should be to be included in the dissemination strategy.

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# Bridging the gap between data protection and recordkeeping

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*The organization and management of data produced, received, and maintained is critical for organisational sustainability and risk management. Regulatory requirements abound: no longer can records managers afford to keep data, particularly personal information, for use other than that for which it was obtained. This impacts in turn on what accrues to archives, adding a new meaning to the principle of impartiality within the fonds. In addition, archivists and records managers must follow "new rules" most of which change frequently and which differ according to geographic boundaries or locations. Given the critical role that archivists and records managers have as administrators of and custodians of the documentary heritage, and the need to comply with myriad regulations, this paper highlights the implications of those "rules and regulations."*

## Part 1 - Data protection: key aspects and RIM compliance

### Introduction

Within today's globalized, technology-dependent, and uncertain economic climate, data protection has assumed significant international and local importance. Countries and governmental unions from both industrialized and developing nations have increasingly embraced and ratified data protection acts, regulatory requirements, directives, and codes of conduct. Wherever they are found, data protection or privacy legislation have two principal aims: the protection of privacy during the processing of personal data and the maintenance of free flows of personal data<sup>1</sup> while maintaining the rights and privacy of the parties concerned. This has come about because of the threat to personal privacy posed by increased collection of personal data during transactions, particularly those in electronic form with its attendant easy manipulability and virtual transmission.

Data protection legislation creates obligations for organizations and key personnel who keep personal information as accessible records. Of note is the concern over the management of personal data held in filing systems, whether these are computerized or manual. Information professionals have to be cognizant of various safeguards relating to the management of individuals' personal data and the collection, keeping, processing, and use of this personal data. This places a number of obligations on various organizations to ensure that data is managed effectively and lawfully. Therefore, archivists and records and information managers need to change their *modus operandi* to ensure compliance with information collection, use and maintenance according to the new legal requirements embodied in data protection legislation.

### Principles underlying data protection and subsequent impact on recordkeeping

Recordkeeping is the primary responsibility of records, archives, and information managers; therefore, they must be concerned with the personal data in records within their custody and with organizational compliance. This is by no means going to be an easy task for managers. A review of respective organizations' records and information management policies would have to be done to ensure that they are compatible with the principles of the legislation. To fulfill the requirements and principles embodied in the legislation, organizations will have to amend their procedures and processes to ensure the following: that any personal information on the body politic is obtained and processed fairly, that this information is kept only for the original purposes stated, that it is kept safe, secure, accurate and up-to-date, that it is not retained longer than necessary regarding the initial purpose of collection, and that rights of access to personal data are applied. Failure to carry out these measures will result in enforcement strategies which may contain sanctions inclusive of monetary fines and imprisonment.

In several jurisdictions, codes of practice are attached to the principles for the benefit of the practitioners in various functional areas. These codes serve as guidelines in the practical implementation of the legislation. The "Code of Practice on the Use of Personal Data in Employer/Employee Relationships" is designed to assist employers in implementing data protection with regard to human resource management data.<sup>2</sup> These guidelines focus on the storage and use of employee data and consider the relevant aspects of the codes in context of common employer activities.<sup>3</sup>

1 ROOM Stewart, *Data Protection and Compliance in Context*, (Scotland: 2001), 3.

2 CAREY Peter, *Data Protection - A Practical Guide to UK and EU Law* (Oxford: 2004), xviii.

3 Ibid. UK Information Commissioner's Web site Appendix 8.

## Key data protection terminology

When one refers to data within the context of the data protection legislation, it means information, electronic or manual, which falls within the following categories:

- ▶ information processed by means of equipment operating automatically in response to instructions given for that purpose;
- ▶ information recorded with the intention that it should be processed by means of such equipment;
- ▶ information recorded as part of a relevant filing system or with the intention that it should form part of a relevant filing system; or
- ▶ information that does not fall within these three categories but forms part of an accessible record.

*Personal data* means data which relates to a living person who can be identified from that data, or other information which is in the possession of or is likely to come into the possession of the data controller. A marketing list containing names and contact details is an example of personal data. On the other hand, sensitive personal data relates to information concerning a data subject's racial or ethnic origin, political opinions, religious beliefs, trade union activities, physical or mental health, sexual life, or details of criminal offences. This is information about living individuals from which they can be identified. For example, information about an individual's medical history would fall under the concept of sensitive personal data. Both facts and opinions about individuals are caught within this definition.

*Relevant filing system* means any set of information or data relating to individuals to the extent that although the information or data is not processed by means of equipment operating automatically in response to instructions given for that purpose, the set is structured, either by reference to individuals or criteria relating to individuals, in such a way that the specific information or data

relating to a particular individual is readily accessible. The files which form part of the relevant filing system should be structured or referenced in such a way that information about the applicant can be easily located. Where manual files fall within the definition of a relevant filing system, the content should either be subdivided, which allows the searcher to go straight to the correct category and retrieve the information requested without a manual search, or should be indexed to allow the searcher to go directly to a relevant page.

Data protection legislation lays down a solid framework for fair use of data, mainly through the eight data protection principles.<sup>4</sup> However, these interact with the organization's policies on confidentiality and security as well as other policies regarding the data held on employees, customers, and service users.

## Data protection responsibilities - associated parties/bodies

The *data subject* is the living person about whom the personal data is held. However, the main responsibility lies with the *data controller*. This is the party or organization who or which, alone or jointly or in common with other parties, has power or control over the purpose and manner of the processing and determines the purpose(s) for which and the manner in which the personal data is to be processed. The *data processor* is the party or organization which processes the personal data on behalf of the data controller.

The legislation usually provides for a *data protection/privacy/information commissioner* who is the supervisory authority over the implementation and enforcement of the provisions of the legislation, and whose functions are mainly to promote an understanding of the provisions of the act; ensure that data protection principles are complied with; investigate and take

<sup>4</sup> TICHER Paul, *Data Protection for Library and Information Services* (London: 2001), 2.

action in respect to abuse of the principles, and provide guidance to entities handling personal data.

The *Data Protection Appeals Tribunal* is a body established under the legislation to deal with any complaints brought against the decisions of the supervisory authority.

It must be noted that data subjects have the right to know whether you or someone else on your behalf are processing personal information about them; know what information is being processed, the reason it is being processed and those to whom it may be disclosed; receive a copy of the personal information about them and be informed about the sources of the information.

### The Eight data protection principles

Regardless of jurisdiction, eight principles generally govern the legislation and are set out in the First Schedule.<sup>5</sup> In summary, fairness, lawfulness and legitimacy are judged by the “yardstick” of the eight principles as follows:

**1-** Personal data shall be processed fairly and lawfully, and in particular, shall not be processed unless there is compliance with at least one of the conditions set out in the Second Schedule<sup>6</sup>, for example, consent of the data subject or processing necessary to protect the data subject.

**2-** Personal data shall be obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes.

**3-** Personal data shall be adequate, relevant, and not excessive in relation to the purpose or purposes for which they are processed.

**4-** Personal data shall be accurate, and where necessary, kept up-to-date.

**5-** Personal data processed for any

purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes.

**6-** Personal data shall be processed in accordance with the rights of data subjects.

**7-** Appropriate technical and organizational measures shall be taken against unauthorized or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.

**8-** Personal data shall not be transferred to a country or territory unless that country or territory ensures an adequate level of protection for the rights and freedom of data subjects in relation to the processing of personal data.

The principles refer repeatedly to “processing.” This term is used broadly to encompass every single act of obtaining, holding, storing, using, changing, transferring, erasing, deleting, anonymising, or disposing of data. This processing must be perceived to be fair, that is, the data obtained without misleading the data subject or by using any form of deceit. These can be checked against “fair processing conditions” as set out in Schedule 2.<sup>7</sup>

### Key aspects of the principles / interpretations

*Transparency* provisions provide a basic level of protection for the personal data being processed. These include the promotion of consensual processing; the requirement of fair processing; specified processing purposes; notification and notices to the data subject; and the right of access to personal data held inclusive of correcting that data if inaccurate.

The second principle addresses *lawful processing*. This seems to duplicate the transparency provisions mentioned above, but may nevertheless seek to remind the data controller and processor of the broad

<sup>5</sup> See First Schedule *UK Data Protection Act 1998* at <http://www.opsi.gov.uk/Acts/Acts1998>.

<sup>6</sup> See Second Schedule *UK Data Protection Act 1998* at <http://www.opsi.gov.uk/Acts/Acts1998>.

<sup>7</sup> *Ibid.*

legal framework within which the principles reside.

The *right to object* by the data subject is coupled with the remedy of *enforcement* through rectification, supplementation, blocking, erasure, and the destruction of personal data.

*Security* measures must be technical and organizational in their approach and scope, covering physical security, system design, and policies and procedures. In the same way that recordkeepers are mandated to provide and manage the security of the records under their charge, personal data within those records must be protected through password and backup systems, locks, custodial control, and the like. Standards should be followed regarding documented security policies and processes, training, and checks and balances through audits and evaluations.

The eighth principle relates to *trans-border data flows* to countries that provide similar adequate protection for the personal data. This is an area where the US has sought arrangements through *safe harbour provisions*. Multinational companies need this provision to transfer organizational data which may include personal data between their companies. This is one principle which may be difficult to enforce in this technological age and with the use of laptops, connections to the World Wide Web, and the use of USB flash drives.

Exemptions of note to recordkeepers include national security provisions, research for historical and statistical purposes, domestic use by the data subject, freedom of expression for genuine journalistic, artistic and literary purposes, some manual records held by public authorities, and disclosures required by law or made in connection with legal proceedings.

### **RIM compliance with the principles**

The first step for recordkeepers is the development of a compliance strategy. There must be an assessment of the

nature of risks to which their respective organizations are exposed inclusive of the probabilities of the risks turning into realities, the consequences, and the actions to counteract these risks. Within this scenario, consideration of criminal prosecution, data subject action, and enforcement action are paramount.

The second step should be the gathering of data which would inform the what, who, why and how of the data processing procedures. This would provide the basis for the provisions that one may need to put in place so that the organization can meet its obligations. During this process, one should look for triggers or warning signs that weak processing, unauthorized transfers, or poor security of data may be occurring.

The third step should be to seek to become compliant with the data protection legislation. This can be achieved in many ways dependent on the status of the records *vis à vis* the legislation. Some "fix it" measures would include the use of good quality privacy statements for Internet users; the use of standardized scripts by all staff; obtaining consent from all data subjects including opt-ins and opt-outs; ensuring accuracy and adequacy of personal data within the holdings; training of staff on operational compliant methods; examining the use of information technology in the organization paying special attention to security and compliance issues; preparing contingency plans regarding availability of legal counsel and response; and making provisions for timely audits and evaluations of the compliance program.

### **Some practical responses for recordkeepers**

The term *accessible public records* means any record that is kept by any authority to which members of the public are given access. Bearing in mind that the data protection legislation is based on human rights and seeks to ensure the individual right of privacy on personal information, all records accessions in relevant filing

systems would have to be checked; in other words, you would have to pay particular attention to old information about former customers or clients which might have been necessary to hold in the past for a particular purpose, but which you do not need to hold any longer.

Recordkeepers would also have to ensure that the information was obtained fairly by going through "the what, who, why, and how" and by following up to ensure that all of the data is accurate and up-to-date. Further, the access and retrieval audit trail must be transparent enough to provide evidence of how the information was used should it come into question at any time.

Recordkeepers will need to be persuasive in their advocacy for adequate storage facilities and security "holds" to ensure safekeeping of the data. So too, it would be incumbent on RIM managers to ensure that off-site contractors where used are compliant with the legislation inclusive of environmental controls, disaster planning, and destruction processes.

In the effort to show that the records kept are adequate and relevant but not excessive, RIM managers would have to scrutinize their retention policies, adjusting them to ensure that the records are kept no longer than necessary. At the same time, the quality control in transfer and destruction arrangements would also have to be reviewed to ensure that processes support compliance.

An additional appraisal consideration now arises for archivists and records managers, that is, the consideration of the data protection legislation when making decisions on what data to acquire or collect at creation or receipt, the necessity of the data, how long to keep it, when to destroy it, and procedures regarding destruction including fairness and security.

Transfer and deposit agreements would also have to be compliant with the legislation as it pertains to personal information and in, addition, organizations must ensure that they have the infrastructure (trained

staff, secure systems, documentation, etc.) in place to provide fair access to this information. For records and information managers in particular, it will become mandatory to keep up-to-date inventories of personal information.

## **Conclusion**

One must bear in mind that the ultimate responsibility is at the corporate level. The legislation states that the data controller is the responsible person who must comply with the data protection principles as embodied in the legislation. Although, the chief executive officer or corresponding title holder has the ultimate responsibility, this role may be and is often delegated to archivists, records managers, records officers, human resource managers, chief compliance officers, or chief information officers. It is therefore essential for information officers to be fully cognizant of data protection and its implications in order to carry out their work in an efficient manner.

Other problems which may arise in practice pertain to issues of consent and informed consent. If, for example, an organization wishes to retain information on customers to help them provide better service in the future, one would have to obtain the customer's consent in advance. Similarly, agreements for transfer of data and data leaving the country, questions of use of database sites, the contracts and consent needed to provide evidence of transfer back-and-forth in the course of business, the issue of "safe harbour," allowing transfer to be seen but not processed or used, are all critical to an organization's implementation of the legislation. All of these are areas of concern which must be systematically worked out by data controllers for the legislation to be effective and not obstructive.

Judging from experiences in the international arena where similar legislation has been passed, newcomers would need to embark upon an information program to reduce the fair amount of confusion and

controversy which tends to ensue after the passage of such legislation. This program will need to address two levels: first, the corporate and administrative levels where there must be adequate awareness training provided for the understanding of the obligations, including determining appropriate security measures, providing staff training and compliance, and ensuring third-party compliance through proper contracts, inspections, and audits; and second, at the public domain levels, where the citizenry must be made to understand their rights and what is the acceptable use of their personal information. These rights would include rights of access, rights of rectification or erasure and blocking, and complaint and compensation rights.

This legislation is indeed necessary in this era of transparency and accountability, but may initially pose challenges in implementation if recordkeepers are not prepared in terms of training and skills to perform effectively. Data protection legislation needs to be monitored and amended from time to time, or even alternative approaches or solutions put forward, to ensure that it remains viable in the particular jurisdiction given that the nature of threats to privacy of individuals are fluid in this technological age. Data protection and its provisions demand that we as keepers of the record redefine the reality under which we operate, allowing us to effectively bridge that gap between practice and compliance.

## Part 2 - Data protection and access to documents: a delicate relationship

### Introduction

The first part of this article provided detailed input on privacy and personal data protection and its impact on records and information management. This part will discuss personal data protection at the European level, highlighting the key points of the European Union (EU) legislation. Furthermore, this section will examine the

delicate relationship between EU personal data protection and access to documents (or freedom of information) legislation, and explain why it is important for records and archives professionals to stay abreast of the latest developments in this area.

### European personal data protection framework

In Europe, the right to protection of personal data is a fundamental right. This right is specified in article 8 of the EU Charter of Fundamental Rights, which stipulates that:

- ▶ everyone has the right to the protection of personal data concerning him or her;
- ▶ such data must be *processed fairly for specified purposes* and on the basis of the *consent of the person* concerned or some other legitimate basis laid down by law; everyone has *the right of access to data* which has been collected concerning him or her, and the *right to have it rectified*; and
- ▶ compliance with these rules shall be subject to control by an independent authority.<sup>8</sup>

The Treaty on the European Union (Article 286) and the European Convention for the Protection of Human Rights and Fundamental Freedoms also make reference to the right to the protection of personal data<sup>9</sup>.

Legislation to govern the protection and processing of personal data exists at both the national and European level. As such, citizens of the EU whose personal data are processed have rights at the national level, as well as at the level of the European Community institutions and bodies. Data Protection Authorities (DPAs) at both

<sup>8</sup> For more information, see The Charter of Fundamental Rights of the European Union official Web site at: [http://www.europarl.europa.eu/charter/default\\_en.htm](http://www.europarl.europa.eu/charter/default_en.htm).

<sup>9</sup> See the following websites for the text of the Treaty and the Convention: [http://europa.eu/eur-lex/pri/en/oj/dat/2002/c\\_325/c\\_32520021224en00010184.pdf](http://europa.eu/eur-lex/pri/en/oj/dat/2002/c_325/c_32520021224en00010184.pdf) and <http://www.echr.coe.int/NR/rdonlyres/D5CC24A7-DC13-4318-B457-5C9014916D7A/0/EnglishAnglais.pdf>.

levels ensure that these rights are respected in the member states of the European Union and within the European Community institutions and bodies<sup>10</sup>

Personal data protection at the European level is regulated by the following three pieces of legislation:

- ▶ Directive 95/46/EC of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data;
- ▶ Directive 2002/58/EC of 12 July 2002 on the processing of personal data and protection of privacy in electronic communications; and
- ▶ Regulation 45/2001 of 18 December 2000 on the processing of personal data by EU institutions.

The first, Directive 95/46/EC, is the central piece of legislation, regulating the protection of individuals with regard to the processing of personal data and the free movement of such data. The directive applies to all EU member states as well as to Iceland, Liechtenstein and Norway. The law was adopted in 1995. Two years later, a directive on privacy and electronic communication was approved. In 2002, this piece of legislation was modified and became Directive 2002/58/EC. It regulates areas that are not sufficiently covered by Directive 95/46/EC, such as rules on spam and the processing of electronic data. Together, these two directives create a solid framework for personal data protection in the EU. The third piece of legislation, Regulation 45/2001, applies to the processing of personal data by all the European Community institutions. The European Data Protection Supervisor (EDPS) monitors the implementation of Regulation 45/2001 within the administra-

tion of the European Community.<sup>11</sup>

These legislations describe in detail the provisions that apply to the protection of personal data. The legislation contains a number of principles that are relevant for records and information management:

Personal data shall be:

- ▶ adequate, relevant, and not excessive;
- ▶ accurate and, where necessary, kept up to date and retained (stored) for no longer than is necessary;
- ▶ protected against unauthorized processing and accidental loss, destruction, or damage.

Individuals:

- ▶ must give consent to personal data collection;
- ▶ may access and correct data.

### **A future legal framework of personal data protection**

In November 2007 the European Commission launched a process to revise directives related to electronic communications—also called the e-Privacy directive—including Directive 2002/58/EC on the processing of personal data and protection of privacy in electronic communications. The rationale behind this revision process was that security and privacy have become critical in the development of the information society (including the Internet, science and research networks, and social networks), and therefore of the telecoms and electronic communication services that provide its backbone. According to the European Commission, consumers are increasingly concerned about possible misuse of their personal data. Consumers worry about criminal misuse of their financial information and reuse of their personal information (for unwarranted or unauthorized commercial purposes by third parties). A recent example of consumer concern is

<sup>10</sup> For more information, see for example the Web sites of the European Data Protection Supervisor at: <http://www.edps.europa.eu>, or the Information Commissioner's Office of the United Kingdom at: <http://www.ico.gov.uk/>, or College bescherming persoonsgegevens in the Netherlands at: <http://www.cbpbw.nl/>.

<sup>11</sup> For more information and complete text of the Regulation see the portal to the European law at: <http://eur-lex.europa.eu/en/index.htm>.



the users' reaction to the changed terms of service of the social network site Facebook. In February 2009 Facebook reorganized its terms of service. Users of Facebook understood that this change implied that Facebook claimed ownership of any content on the site (including personal profiles), even if the user had deleted the content. A firestorm of banter and panic ensued on the Web. Facebook later issued a statement to clarify what it really meant with the change of terms of service, and said that it was a communication error.<sup>12</sup> Other consumer concerns include spam; spy ware and related malicious uses of the telecoms system; and personal data loss by companies who hold large amounts of personal information in their databases.<sup>13</sup>

The revised text of the e-Privacy directive proposes creation of a mandatory system for security breach notification. The system would require companies, such as Internet providers, online banks, shops, and pharmacies, to notify individuals when their personal data have been compromised. The EDPS, who has reviewed the proposal, argues that not only should there be a notification requirement, but also detailed provisions for managing and retaining records related to security breaches and the actions taken in response to the security breach. Business lobbyists representing companies, on the other hand, are concerned that companies might be adversely affected by the scope of the new directive and the repercussions they face if they lose customers' data. The Commission's proposals for reform have yet to be discussed and approved by the EU's decisional process.

The revision of the e-Privacy directive is a first step in creating a new legal framework for personal data protection legislation within Europe. Moreover, the

European Commission has installed an Expert Group on Personal Data and has commissioned a study on the future of the legal framework for personal data protection. The European Conference of Data Protection Commissioners will discuss this issue in 2009.

In addition, developments are being made towards the global harmonization of data protection standards. The United States and the European Union are negotiating an agreement for the exchange of personal data. The application of EU law on personal data protection to non-EU-based databases (for example, search engines such as Google) demonstrates the need for a more global approach.

The current data protection law already has provisions with regard to the retention of the data. The proposed text and the revisions suggested by EDPS will further impact the retention of personal data, for example, the retention of records related to security breaches. Archivists and records managers have to be aware of these changes in order to ensure that the related records are retained and destroyed in accordance with the legislation. Additionally, the legislation provides instructions with regard to an individual's access to his or her own data and the right to correct this data. Records and archives professionals thus have to stay abreast of developments in this area to ensure that appropriate procedures are put in place for the relevant records, and the systems managing those records.

### **Two fundamental rights meet: protection of personal information and access to information**

Like the protection of personal data, the right of access to documents or freedom of information is a fundamental right in Europe. This right is specified in Article 42 of the EU Charter of Fundamental Rights. At the national level, all twenty-seven member states provide access to their documents, and most of these have the right of access to information included either

<sup>12</sup> For more information on the Facebook story, see the CNN Web site: <http://edition.cnn.com/2009/TECH/02/17/facebook.terms.service/index.html> (accessed 18 February 2009).

<sup>13</sup> For more information on the revision process, see the EU thematic portal on the information society at: [http://ec.europa.eu/information\\_society/policy/ecom/index\\_en.htm](http://ec.europa.eu/information_society/policy/ecom/index_en.htm)

in their freedom of information or access to documents legislation. At the European level, Article 255 of the treaty establishing the European Community grants citizens of the EU and any legal person having its registered office in a member state, a right of access to European Parliament, Council, and Commission documents. The principles and limits governing this right have been defined by Regulation 1049/2001/EC. Access to documents older than thirty years, or the archives, is regulated in Council Regulation 354/83 (EEC, EURATOM).

When applying both the right of personal data protection and the right of access to documents, a balance is needed between the two. As there is no hierarchical order between these two rights, the joint application of these rights may stir up conflict where a request is made for a document containing personal data. The most prominent example of this tension is in the recent court case, T-194/04 Bavarian Lager. Bavarian Lager is a German brewery with ambitions to export its beer to other European countries including the United Kingdom (UK). When an exclusive purchasing agreement in the UK hampered Bavarian Lager's efforts to export beer to the United Kingdom, the company requested access to the minutes of a meeting between representatives of the European Commission, UK government, and breweries under Regulation 1049/2001/EC. The European Commission provided partial access to this document by blanking out the names of the meeting attendees. The Commission argued that it could not disclose the names of individuals mentioned in the document. Bavarian Lager complained against this decision, and went to the European Court of First Instance. In November 2007, the Court ruled that the disclosure of the names in question did not lead to an interference with the private lives of the persons who participated in the meeting and would not undermine the protection of their private lives and the integrity of their persons. The Court thus said that the Commission was wrong in its decision to blank out the names in this

document. In January 2008 the Commission decided to lodge an appeal against the ruling of the Court of First Instance. The case is now pending before the European Court of Justice.<sup>14</sup>

The case law described above clearly shows that the legislation on personal data protection and legislation regarding access to documents do not entirely complement each other. This leads to confusion and uncertainty when applying the legislation, in particular with regard to access to documents. In the case of Bavarian Lager, the law as applied was too restrictive.

The European Commission has proposed significant changes to Regulation 1049/2001, as part of the "European Transparency Initiative." There are other reasons to amend the regulation, including (a) the adoption of a new regulation applying the Århus Convention to the European institutions and bodies<sup>15</sup>, which interacts with the regulation on access to documents as regards disclosure or access to documents containing environmental information; and (b) the availability of case law, among which is the Bavarian Lager case.

To clarify the relationship between public access to documents and the rights to privacy and the protection of personal data, the Commission proposes Article 4(5) which replaces the present Article 4(1)(b), which has been criticized as being ambiguous about the precise relationship between these fundamental rights.<sup>16</sup> The proposed

<sup>14</sup> For more information on the T-194/04 Bavarian Lager case, see the Web site of EUR-LEX at: <http://www.eur-lex.europa.eu>.

<sup>15</sup> Regulation (EC) No 1367/2006 of the European Parliament and of the Council of 6 September 2006 on the application of the provisions of the Århus Convention to Community institutions and bodies.

<sup>16</sup> Opinion of the European Data Protection Supervisor on the Proposal for a Regulation of the European Parliament and of the Council regarding public access to European Parliament, Council and Commission documents, available at: [http://www.edps.europa.eu/EDPSWEB/webdav/site/mySite/shared/Documents/Consultation/Opinions/2008/08-06-30\\_access\\_documents\\_EN.pdf](http://www.edps.europa.eu/EDPSWEB/webdav/site/mySite/shared/Documents/Consultation/Opinions/2008/08-06-30_access_documents_EN.pdf) and [http://www.edps.europa.eu/EDPSWEB/webdav/site/mySite/shared/Documents/Consultation/Comments/2009/09-02-16\\_Comments\\_public\\_access\\_EN.pdf](http://www.edps.europa.eu/EDPSWEB/webdav/site/mySite/shared/Documents/Consultation/Comments/2009/09-02-16_Comments_public_access_EN.pdf).

Article 4(5) says:

*Names, titles and functions of public office holders, civil servants and interest representatives in relation with their professional activities shall be disclosed unless, given the particular circumstances, disclosure would adversely affect the persons concerned. Other personal data shall be disclosed in accordance with the conditions regarding lawful processing of such data laid down in EC legislation on the protection of individuals with regard to the processing of personal data.*

The proposal contains many more provisions, including access to member states' documents, access to third-party documents—such as those submitted to the European institutions by for-profit companies—and the active dissemination of documents. The European Commission's proposed amended text of Regulation 1049/2001 needs to be further discussed and approved by the EU's decisional process. The new text will need to be adopted under "co-decision" whereby the Council of the European Union and the European Parliament have to agree on the revisions. At its March 2009 meeting the European Parliament adopted a report on the Commission's proposals and put forward new amendments. The three European institutions will continue the dialogue until an agreement has been reached on the revised text of the Regulation 1049/2001.

Upon reviewing the proposed changes, the European Data Protection Supervisor (EDPS) made comments focused on the relationship between access and the protection of personal data, which is defined in Article 4(5). The EDPS criticized the wording of this article. In its Opinion paper published in the Official Journal of the European Union, the EDPS gave reasons for its criticism. First of all, it is not convinced that the timing is right as the appeal in the Bavarian Lager case, which would provide important case law, is still pending. Furthermore it says that the proposal as outlined in Article 4(5) does not provide

an adequate solution. According to the EDPS, the article consists of a general rule (second sentence of the article), which:

- ▶ does not reflect the judgment of the Court of First Instance in the Bavarian Lager case;
- ▶ does not strike the right balance between the two fundamental rights;
- ▶ is not workable since it refers to legislation on data protection that does not provide a clear answer when a decision on public access must be made.

Lastly, the EDPS criticizes the first sentence of the article, saying it is a specific and well-defined rule but too narrow in its scope. According to the EDPS the rule should not be limited to a specified group of persons, but should apply to all professional activities, including private sector employees, academics, and experts.

The EDPS proposes an alternative rule. The aim of this alternative rule is to ensure that the article reflects relevant case law adequately and balances the two rights appropriately, but most importantly provides clear guidance where decisions must be made on public access to documents containing personal data. The alternative rule to replace part of the text of Article 4(5) states that personal data can be disclosed without harm in the following instances:

- ▶ If the data solely relate to the professional activities of the person concerned unless, given the particular circumstances, there is a reason to assume that disclosure would adversely affect that person;
- ▶ If the data solely relate to a public person unless, given the particular circumstances, there is a reason to assume that disclosure would adversely affect that person;
- ▶ If the data have already been published with the consent of the person concerned.

It further indicates that personal data that does not fall under one of the above categories, but falls instead under the personal data protection legislation, shall nevertheless be disclosed if an overriding public interest requires disclosure. Allowing

access to certain data is absolutely necessary for the public to make an informed decision on the working of the European legislative process.

The right of access to documents as provided for under Regulation 1049/2001 is different from the right of access to one's own personal data as provided under the personal data protection legislation. The latter grants the right of an individual to the personal information relating to him or her, with the possibility of correcting the data. For example, a citizen of the EU may request access to his or her own data contained in commercial, research, medical, census, or employee files. Not all citizens might be aware of this right of access to personal data. A review of Web sites of companies collecting personal information (for example, online retail shops or travel agents) reveals that a large number of companies do not provide the facility of online access to allow for the correction of erroneous entries.

### **Conclusion and relevance to the profession**

The ongoing revision to legislation relating to personal data protection and access to documents, and recent case law in these areas, highlights the impact of this legislation on archives and records management systems, in particular access to and the retention of this information.

The delicate relationship between data protection and access to documents rights, and the importance of striking a balance between the two when handling requests for access to documents, is fundamental to an understanding of the relevance of this issue to the archival profession. The current practice within European institutions, such as blanking out names and other personal data in documents to be disclosed, has been perceived as too restrictive, in particular, where persons act in a public capacity. The Court of First Instance ruled that the European Commission point of view did not strike an appropriate balance between

the right of access to documents and the protection of personal data. Although the European Commission revised the article on personal data in the new version of the access to documents regulation, the Commission received criticism from the EDPS on its proposal. The EDPS suggests a more concrete and workable alternative, which gives a much clearer answer when a decision on personal data in relation to access to documents must be made. The legislative revision process is currently underway, and depending on the outcome of this process, the alternative text as proposed by the EDPS may be adopted.

While the data protection and access to documents discussion of this article is primarily focused on documents of the European institutions, it is also highly relevant to the archives and records professionals outside of European institutions. European law has an important impact on national legislation and, in particular, on the legislation of member states. Practices at the European level are often adopted to a certain extent at the national level. Given the importance of privacy and personal data protection in today's information society, the discussion is also relevant to professionals who receive requests for access to information as part of their daily responsibilities, regardless of whether the records in question are current or inactive. Names of officials appear frequently in documents. The case law and final outcome of the EDPS proposal is of immediate relevance to those who need to handle requests for documents containing personal data. The text as suggested by the EDPS seems to offer a viable approach, allowing for transparency when handling requests for access in alignment with privacy and personal data protection.

# Management of archives relating to population resettlement from the Three Gorges Dam on the Yangtze: a keystone for governance and development

## Wang Yanmin

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■ Wang Yanmin, born in 1965, is now a research archivist and serves as the Deputy Director of the Supervision Department of Economic, Scientific and Technological Archives of the State Archives Administration of China (SAAC). Among his responsibilities are the research and provision of guidance in records and archives management work in major national construction projects such as the Three Gorges Dam on the Yangtze River."

*Population resettlement as a result of the Three Gorges Dam project on the Yangtze River in China will affect around 1.35 million people. The archives associated with the resettlement project are hugely important: for recording the effects of the resettlement on the areas and populations concerned, for protecting the rights of the resettled population and allowing future generations to learn about their families, and to support government administrations in making evidence-based policy and decisions. Recognizing the importance of these archives, the state has put in place a variety of measures, including specific regulations, project monitoring and resources, to ensure that the archives are collected, organized and made accessible.*

## Introduction

It is estimated that final number of people to be resettled from the area to be affected by the building of the Three Gorges Dam on the Yangtze River will reach 1.35 million. The resettlement constitutes an important component of the Three Gorges Dam project. By 2009 when the whole dam project is completed, the reservoir behind the dam will have inundated 20 municipal districts, cities and counties under the Chongqing municipal government and the Hubei Provincial government. The project requires the entire or partial rebuilding of two cities, 11 county towns and 116 towns and the moving or rebuilding of more than 1,600 business industrial concerns .

Most of the people are to be resettled somewhere further back from the would-be submerged area, some of the rural residents to be resettled in other parts of the country and a small percentage will seek resettlement through relatives and friends. The resettlement is part of the central planning process, and implemented by the local governments and many social agencies in the affected area. The project is lengthy, involving an immense amount of work.

## Value of the Archives of the Population Resettlement

The volume of the archives involved is massive, exceeding 1.4 million files, although the media are varies. The content of the archives is very rich and have a plurality of values. Three of these are emphasized here:

**1. Recording the social development of the affected area:** the archives systematically record the social and economic changes of the areas of evacuation and resettlement, and the changes in the lives and economic activities of the population to be resettled. The archives will provide a huge amount of truthful and objective original information on both the macro and micro-level planning

**2. Protecting the rights and interests of the population to be resettled,** including political, economic and cultural rights and interests, providing residents with information for the settlement of disputes and legal proceedings, safeguarding individual interests and social justice for the re-settlers, and providing documentation for the future descendants of the re-settlers to trace their family history and pay homage to the ancestors.

**3. Supporting government administration.** The archives, as important fundamental information resources for the social and economic development of the Three Gorges Dam area will provide reliable information and documents allowing for the local governments to make policy decisions on social administration on population resettlement. The collection and use of the archives may facilitate the oversight of the administration and facilitate the prevention and punishment of corruption.

## Government actions relating to archives

**1. Unified Planning.** The "Regulations for the Resettlement of Population in Connection with the Construction of the Three Gorges Dam" promulgated by the State Council states that, "Local governments involved should strengthen the administration of the relevant archives on the population resettlement in connection with the Three Gorges Dam project and ensure the completeness, accuracy and safety of the relevant archives." The "Rules for the Administration of Archives on Population Resettlement in Connection with the Three-Gorge Dam Project" state that archives are to be collected and sorted primarily by the local county and township governments in the dam area, along with other organizations with relevant archives, and will finally be handed over to the government archive departments.

**2. Administration of the process.** There has been extensive training, clear definition of the scope, methods and norms

for the collection of archives, and the exercise of supervision and checks. It is necessary to let archive experts check the collection and sorting out of archives at every stage work of population resettlement and make appraisals and comments for improvement of the work.

**3. Funding.** Central and local governments shall make allocations for the collection, sorting out and keeping of archives so as to provide the necessary financial support for the management of the archives.

**4. Preserving and providing access to the archives.** After the dam project is completed, the relevant archives on population resettlement will be handed over to the archival institutions by batches and stages for permanent retention and orderly utilization.

Thus the administration of archives on the population resettlement aims at completeness in collection, accuracy in content, systematic sorting out, safe-keeping and convenient access.

## Conclusion

The archives on the population resettlement in connection with the Three Gorges Dam project will record the history of a large-scale population movement amounting to more than a million people in China. Proceeding from the principles of treating the interests of the people as paramount, developing on a scientific basis, and building a harmonious society as the guideline for running the country, Chinese archivists have been actively participating in the process of recording this historic event, making archive work serve the interests of the people, safeguarding people's rights and interests, helping improve government administration and contributing to the socio-economic development of the country.





# Special delivery: getting the message out about archives in North America

## Shelley Sweeney

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*Associations of professional archivists in North America have been promoting archives, while other professional societies, such as those representing lawyers, engineers, and doctors, have been almost exclusively engaged in promoting their professions. Archives, however, need a higher profile before the archival profession can gain recognition. Canadian archival associations have created Web pages with resources, conferences, displays, and radio shows, and have developed the successful "Québec Declaration on Archives." The Society of American Archivists has promoted Archives Month. Individual archives in both countries have experimented with Web 2.0 in presenting their archives. All of these promotional efforts have been modestly successful, but at least the battle for recognition that archivists must promote archives and archivists has been won.*

At one time archivists<sup>1</sup> felt that their mission was so important to society that society would automatically appreciate the value of the archival institutions, their holdings, and the archivists' role in preserving and making available these precious resources. But archivists have come to realize that this appreciation has not been forthcoming and that without societal recognition of archives, morale and monetary support will continue to lag behind the real needs of the archives. Thus, archivists have come to realize that it is increasingly important to promote archives and archival records.

It is interesting that associations of professional archivists (as opposed to organizations representing archives) promote archives and archival records. This promotion does not follow the same path that other professional associations have trod. Traditionally, professional associations safeguard and promote their members and their members' interests. They are normally engaged in such activities as education and training, regulating entry to the profession, creating tools for increasing capacity to work, and encouraging the development of the profession in society.

An example of "encouraging the development of the profession in society" can be found in the profession of chartered accountants (CAs). There are global companies of accountants, such as PricewaterhouseCoopers and KPMG, but it is the national professional associations which promote the interests of accountants in each country. These associations have promoted the idea that chartered accountants are more than experts in finance. Originally, chartered accountants provided clients with financial services and assisted with taxes. Now they provide a wide variety of services, including program auditing, information management, information

technology enhancement, human resource management, and performance improvement. Chartered accountants have taken over areas traditionally held by others, including, one might argue, archivists and records managers. National professional associations of chartered accountants have raised this new profile of the profession with ad campaigns that attract new people to the profession and increase the awareness of the general public, and more particularly the business community, that chartered accountants do more than the traditional roles of finance and tax auditing. The Canadian Institute of Chartered Accountants, for example, created a multi-million-dollar ad campaign in 2006 called "The CA Advantage."

This promotion of the profession's interests is carried out by other professional associations, such as those of lawyers, engineers, and doctors. In all of these professions, the role of the professional association is to emphasize the value of the professional and not the environment the professional is in. Why, then, have associations of archivists been more engaged in promoting archives than archivists? This reflects a certain amount of enthusiasm displayed by archivists for archives. They want others to recognize the importance of archives and archival records the way that they do. Furthermore, the low profile of archives impacts archivists. It would be impossible for archivists to promote themselves when no one knows what they represent. There must be some idea of what archives are before archivists can be promoted. Finally, archival associations have been poorly funded and in a relatively weak position to promote archivists. Thus, they rely on institutional support to promote archives and archival records.

In the international context, archival associations most often promote "Archives Day/Week/Month." Mexico is one of the few countries that promotes "Archivists Day," and this is a reflection of the cultural context as professions are traditionally celebrated in Mexico. In North America,

<sup>1</sup> Although this article is based on a presentation made 24 July 2008 at the International Congress on Archives, held in Kuala Lumpur, Malaysia, it also integrates material and notes gathered after the presentation.

the promotion of archives and archival records has been carried out largely by organizations of archivists and by individual archivists associated with their home institutions. Although in some cases the archivists involved in the organizations and individual institutions might be the same, there are subtle differences in the approaches to promotion.

Archival associations in North America have chosen to promote archives in a variety of ways. In Canada there are national associations, regional associations, and municipal associations conducting this promotion. At the national level, there is the Association of Canadian Archivists, l'Association des archivistes du Québec, and the Canadian Council of Archives. The first two associations primarily serve anglophone and francophone archivists respectively, while the third represents associations of archives.

The Association of Canadian Archivists has a public awareness committee that has been planning for Web pages with resources for archivists to use in promoting their archives. In addition, the association has a portable exhibit which outlines the association and its functions. This exhibit is attractive to viewers but problematic to actually display. It is costly to ship, expensive to mount at other organizations' conferences due to required fees, and it is difficult to find volunteers to staff the display, particularly since conference registration would need to be paid. The association has been more successful in advocating archivists' interests, having made presentations on such issues as copyright, the choice of a national archivist, bills relating to the national census, and so on.

L'Association des archivistes du Québec has conducted an ongoing major campaign called the "La déclaration québécoise sur les archives: Notre mémoire et nos droits" or "Quebec Declaration on Archives: Our Memory and Our Rights." This campaign, launched in January 2006, is available through the Web at: [http://www.](http://www.archivistes.qc.ca/declaration/pages/declaration_anglais.html)

[archivistes.qc.ca/declaration/pages/declaration\\_anglais.html](http://www.archivistes.qc.ca/declaration/pages/declaration_anglais.html).

It provides the opportunity for members of the public, not just archivists, to sign a declaration stating that they recognize the originality, diversity, and necessity of archives and the responsibility of all to manage archives; those signing make a commitment that they will work together to ensure that the management of archives is valued and carried out fully, that archives are conserved, and that they are made accessible to everyone.

In addition to this campaign, the association has created a Webzine that features "Coups de coeur," or striking archival photos with explanatory texts written by various archivists. The Webzine also presents brief articles on archives and archivists as they are presented in literature, cinema, art, and media in general. Another section entitled "Entrevues" presents the stories of individuals for whom archives play an important role in their professional life. All of these sections feature material that supports the goals of the declaration, to have the public recognize the importance of archives to daily life.

The Canadian Council of Archives has chosen a different approach to promote archives. For several years it has sponsored the "Archives and You" conference. The original intent of the conference was to introduce people outside the profession to archives. However, the majority of attendees are often archivists or allied professionals. This may reflect the difficulty of reaching an audience for which the Council has no mailing lists. The Council also offers resources for archivists, to assist them during a tour by government officials, for example.

Local and regional associations organize activities to promote archives in Canada. In the province of Ontario, for example, the Archives Association of Ontario helps coordinate the schedule of events put on by individual archives to celebrate Archives Day. The Bruce County archives provides

tours of areas usually closed to members of the public. The Dundas Museum and Archives runs a Home Movie Festival complete with a pianist and popcorn. The Region of Peel Archives hosts talks, such as "Caring for Photos" and "Preserving Family Records."

The Saskatchewan Council for Archives and Archivists has organized events for an Archives Week, including readings of archival material by celebrities, a province-wide phone-in radio program hosted by archivists, and the creation of "Celebrate Archives" buttons. A slightly different take on a common promotional activity in Canada surrounds the awarding of prizes for the best essay on an archival theme at a Youth Heritage Fair. The archival association presented the award to the recipient at his school. The ten-year-old winner in the city of Regina said he was so excited to learn about archives that when he grows up, he wants to be a dog trainer or an archivist! Interestingly, his little brother, age seven, said everyone treated his brother like "some kind of celebrity." Although this brief exposure will doubtless not explain archives to children, they have been exposed to the idea of archives and they will associate it in the future with something exciting and important.

In the United States, two national associations include the Academy of Certified Archivists and the Society of American Archivists. The Academy of Certified Archivists (ACA) focuses on promoting standards of certification and certified archivists, and so in this way may be said to promote archivists rather than archives. The Society of American Archivists (SAA) takes on the more traditional role of helping archivists promote archives. State and regional archivists' associations do so as well.

The Society of American Archivists made an early attempt at coming to grips with the lack of status of the archival profession. In June 1983, under the leadership of SAA President David B. Gracy II,

the SAA Council created a Task Force on Archives and Society that was charged with addressing the image or perception that persons outside the archival profession held of archival work and the people who performed that work. A study was commissioned that resulted in the so-called "Levy Report" entitled "The Image of Archivists: Resource Allocators' Perceptions."<sup>2</sup> The report covered the nature and uses of archives, how funders saw their own archives, public awareness of archives, and the image of archivists. In his presidential address in 1984, Gracy stated that his definition of outreach lay in promoting archives: "making archives interesting and inviting, and showing people that the records of enduring value touch and enrich their lives in a meaningful way."<sup>3</sup>

Under the aegis of the International Council on Archives, SAA established an International Archives Week in the United States in 1985.<sup>4</sup> More recently, the Society of American Archivists has begun celebrating an Archives Month. The broad-based promotion of Archives Month in 2007 saw a kit sent to all members of the Society. The kit contained "A Dozen Ideas for Reaching Out," "Talking Points on the Value of Archives," and "Communication Planning 101/Media Relations/Ensuring Media Coverage," among others. The 2008 program contained a poster and booklet that built on the previous year. The booklet included advice on how to preserve family photos and suggestions on how to use prized items to tell a compelling story.

In the state of New York, Archives Week has been celebrated every October since 1989. In New York City, publicity about events at individual archives is coordinated by the Archivists Round Table of

<sup>2</sup> LEVY Sidney J., ROBLES Albert G., "The Image of Archivists: Resource Allocators' Perceptions," Study #722/01 (n.p.: Social Research, Inc., 1984) <http://www.archivists.org/governance/taskforces/Image-of-Archivists-Levy1984.pdf>.

<sup>3</sup> GRACY II David B., "Our Future Is Now," *American Archivist* 48, no.1 (Winter 1985): 20.

<sup>4</sup> DANIELS Maygene, "International Archives Week," *SAA Newsletter* (January 1985).

Metropolitan New York. The Arizona State Archives coordinates a themed program for Archives Month. In 2008, for instance, the theme was "Arizona at Work." Some of the suggested activities for Archives Month were "who did that baby grow up to be?" featuring baby pictures of local people, and an appraisal day, where archivists appraise archival material brought in by members of the public. The Arizona State Archives' own activities included a "Stump the Archivist" contest where individuals could bring in challenging questions.

Institutions within North America also sponsor a wide variety of outreach programs, materials, and activities, either on their own or as part of coordinated efforts by professional associations. These include newsletters and brochures, lectures, film nights, exhibitions, virtual exhibits, tours, television and radio programs, book launches, educational programs, and history fairs.

One area in which archives in North America have begun to innovate has been the use of new media, taking advantage of Web 2.0. Various archives have chosen to use blogs, a place where researchers can post comments to what they see on the Web site. The Glenbow Archives in Alberta, Canada, created the "Dear Miss Griffis" blog which allows researchers to comment on the two hundred World War I letters the archives uploaded. The archives also provides for an RSS feed, which provides subscribers with one letter posted to the blog a week. Unfortunately, the Glenbow Archives has seen little public comment on the blog, with only a small number of entries entered by researchers to date. This is not unusual; researchers often fail to provide personal responses to even popular sites.

Wikipedia has provided another forum in which archives can provide content and links. For example, the CBC Digital Archives in Canada has links to relevant materials in its collection attached to Wikipedia articles. Other institutions, such as McGill University Archives, the Archives of Ontario, and Queen's University Archives,

are beginning to put pages up relating to their fonds/collections.

YouTube is another new forum for posting archival material. Some archives have simply chosen to load archival films or to post montages of various images from their collections. The University of Manitoba Archives selected photographs from the Hamilton Family fonds. This fonds included over seven hundred photos of séances held by Dr. T.G. Hamilton and his wife in Winnipeg from 1918 to 1935. The Archives hired a student to write music and to create a video from the photos it chose. The film ends with credits that inform the viewer that the photographs are from the University of Manitoba and provides a Web site so that interested viewers can find more of these photos. The film was posted in February 2008 and within three days the video had over three thousand visits. This number jumped to twenty-one thousand when the story was picked up by "Coast-2-Coast," a syndicated night radio talk show broadcast all over North America. Currently visits number nearly 115,000, with over 400 comments and one video response posted.

There is great scope for archives to utilize a video sharing site like YouTube. It provides a dedicated channel for organizations to use. Viewers can subscribe to the channel to get regular updates as material is uploaded. The archives can add metadata tags and post film clips and images that are mediated or unmediated. The commentary from the viewers can provide useful feedback once material is posted. Unfortunately, the content of the video needs to be quirky or provocative, otherwise the number of hits for archival material tends to be in the hundreds rather than the tens or even hundreds of thousands that is customary for popular or "viral" material on YouTube.

The Library of Congress, essentially an archives for private records at the national level in the United States, experimented with a different content sharing site. In January of 2008, the Library of Congress added more

than 3,100 of their most popular photos to Flickr is a photo/video sharing site on the Web. In response to a request from the Library of Congress to describe copyright status of their material with a special statement of "no known copyright restrictions," Flickr launched "The Commons" for public photos. Adding photographs to Flickr allows the Library of Congress and other archives, museums, and libraries to reach new audiences, and provides a method for researchers to add comments, tags, and identify individuals. Users can download images and use them as they wish.

There have been some interesting outcomes from the Library of Congress's experiment. The site has been wildly successful, with the photos averaging approximately five hundred thousand views a month and the site surpassing ten million hits altogether. The images the Library placed on Flickr have greater weight in search engine results than the same photos located on the government Web site. This means that a photo located on Flickr will place higher on the list of Google hits than the exact same photo on the official government Web site. The Library of Congress has seen an overall increase in hits at its home Web site. Information provided by visitors to the Flickr site are often used by Library staff to improve their catalog records once the information has been verified. As with any of these Web 2.0 sites, there can be a downside. A report on the Flickr experiment noted that visitors also added "graffiti-type messages and smart-aleck humor to the images," a cause for some concern among Flickr members and Library staff.<sup>5</sup>

Footnote.com is a commercial Web site which contains thirty-nine million images of historical documents. For a fee visitors may search the material, upload their own images, and annotate documents. The National Archives and Records Administration (NARA) in the United

States has an agreement with Footnote.com. The company has digitized NARA documents from the Southern Claims Commission, the Name Index to the Civil War, and Investigative Case Files of the Bureau of Investigation (predecessor of the Federal Bureau of Investigation or FBI), from 1908–1922. Access to these records is on a subscription basis, however they are also freely available at the National Archives in Washington, DC, and regional facilities. After a period of five years all images will be free and located at the National Archives' Web site.

It is difficult to determine the net result of this promotional activity; archival associations have not been particularly good at assessing the success of their programs. The success of Web 2.0 initiatives is a bit easier to determine, particularly those mounted on YouTube, since statistics are given upfront with the item. Even considering the matter anecdotally, however, it might be said that a very small segment of the general public is aware of and thus supports archives in North America. Archivists need to take their marketing efforts to the next level by being more systematic about the entire process. They need to determine who their audience will be by conducting market research, what their audience's needs are, how they are going to meet those needs, and then carry out the activities that meet those needs and finally assess the success of the activities. The Internet will continue to be a good place to reach particularly the younger members of society, and that is likely where most archival institutions will devote their energies and their money. The promotional efforts of archival associations will continue to depend on the interests and efforts of the various volunteers who comprise the executives and committees of these organizations. At least the battle for recognition that archivists must promote archives and archivists has been won. Things can only improve from here.

<sup>5</sup> SPRINGER Michelle et al, "For the Common Good: The Library of Congress Flickr Pilot Project: Report Summary," October 30, 2008.

# Archives and their communities: serving the people

## Andrew Flinn

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*"Archives and their communities: serving the people" outlines some contemporary debates on the growth and impact of what are known in the United Kingdom as independent community archives and engagement. Drawing in part on research at University College London, funded by the UK Arts and Humanities Research Council, the article offers examples of the variety of community archive activity. In the context of seeking to support the sustainability of such independent and community-held collections, the article explores whether activities, such as outreach, diversity training, and post-custodial support, should now be viewed as core professional archival responsibilities (at least in public sector archives) and, if so, to what extent these should be reflected within the curricula of archival education programmes.*

*Merely to save Archives so important for local history by offering them an asylum is a work of piety and usefulness; but the question may also be raised whether they (and, consequently, any other collections of unwanted Archives which may be found anywhere in a similar plight) can be preserved with full status as Archives.*<sup>1</sup>

## Introduction<sup>2</sup>

In his classic work, *A Manual of Archive Administration*, Hilary Jenkinson outlined the situations in which it was acceptable, even essential, for nonarchival institutions, such as local authorities, libraries, and societies, to accept and care for important archival collections that would otherwise be “in danger of dispersal and destruction.”<sup>3</sup> This article considers how such “work of piety and usefulness” might apply to the “asylum” offered to collections in independent or “community” archives. In particular, it examines how contemporary endeavours to construct a more representative or democratic archival heritage leads to the consideration of such independent archival initiatives and how, in turn, interaction with these community archives may challenge and suggest a reevaluation of some elements of traditional archival theory and practice.

1 JENKINSON Hilary, *Archive Administration*, 2<sup>nd</sup> edition 1937, London: Percy Lund, Humphries and Co (1965) 39.

2 This article is based upon a paper originally delivered at the ICA Congress 2008 in Kuala Lumpur as part of a session with Laura Millar and Elizabeth Shepherd entitled ‘Archives and communities: where are the boundaries?’ which explored new developments and new research in archives and records management. My paper ‘Archives and their communities: serving the people’ introduced the concepts behind and some early research findings from the UK Arts and Humanities Research Council (AHRC) research project ‘Community archives and identities: documenting and sustaining community heritage’ based at University College London. This article sticks closely to the original paper, but some of the ideas have been developed as a result of many conversations with community archivists and other colleagues over the past few months.

3 JENKINSON, *Archive Administration*, xv & 38-41.

As is well known, Jenkinson lent “extreme importance” to the question of custody and the necessity of establishing “an unblemished line of responsible custodians”<sup>4</sup> and this assertion has represented one of the mainstays of the idea of the archive and archivist as the only “proper” guardian for archives, where their defence, their reliability, and their authenticity might be guaranteed. Jenkinson’s concern with physical custody has many adherents today, including Luciana Duranti who is in “no doubt... that moral defence passes through and is inseparable from physical defence.”<sup>5</sup> However, over the last twenty years or more, theories of postcustodialism or distributed custody, especially in digital environments, whereby the records are kept by the creators (physical custody) but the intellectual custody (and defence) is provided by the archivists, specifically in terms of supporting the recordkeeping systems which create and preserve the records, have been developed. Importantly this postcustodial shift is, as Terry Cook noted, not the same as noncustodialism.<sup>6</sup>

A few others, notably Jeannette Bastian, have explored the impact of concerns over disputed ownership of archives (particularly in terms of postcolonial heritage and identifications) on questions of custody.<sup>7</sup> But whereas Bastian examines access, custody and postcustodialism in a setting of postcolonial shared (or disputed) ownership, the continued growth of archives held within and by the communities they describe raises further questions about our attitudes

4 JENKINSON, *Archive Administration*, 11 and 32.

5 DURANTI Luciana, ‘Archives as a Place’, *Archives and Manuscripts* 24:2 (1996) 253.

6 Notable examples of which are HAM F. Gerald, ‘Archival Strategies for the Post-Custodial Era’, *American Archivist* 44.3 (1981), UPWARD Frank and MCKEMMISH Sue H., ‘Somewhere Beyond Custody’, *Archives and Manuscripts* 22.1 (1994), and COOK Terry, ‘What is Past is Prologue’, *Archivaria* 43 (1997) 48-9 and n. 82-83.

7 BASTIAN J., ‘Taking Custody, Giving Access: a Postcustodial Role for a New Century’, *Archivaria* 53 (2004) and *Owning Memory: How a Caribbean Community Lost Its Archives and Found Its History*, London: Libraries Unlimited (2003).



to professional archival custody.

This article investigates issues regarding professional practice and custody in part by reporting on research at University College London on community archives and questions of identity,<sup>8</sup> whereby some communities and groups in the UK and elsewhere retain custody of archival materials themselves rather than handing them over to formal archival or heritage institutions. One of the questions our research seeks to answer is if this material is considered important, and if it is not always to be retained within the mainstream sector, how is its long-term preservation to be assured, and further to what extent this suggests the need for a re-evaluation of professional practice. In short, I believe that professional support for independent or community archives poses a number of challenges to archival practice, of which custodialism and a more active outward-facing outreach approach by archivists are significant but not the only ones.

This article addresses these issues by first examining the case for independent archives and community histories, then discussing different patterns of custody, including some examples of distributed custody outreach activity, and finally by offering some brief conclusions on the implications for professional archival education.

## Heritage, identities, and “telling our own story”

At the societal level, one way we understand ourselves as communities and nations is through an understand-

ing of broader public stories about where we, collectively, come from. It is for this reason that the teaching of history and the commemoration of historical events frequently assume such prominence in discussions about identities and community cohesion.<sup>9</sup> In seeking to examine the impact of what they refer to as the “new identity politics” on British society, the Institute for Public Policy Research (IPPR), a respected UK left-leaning policy think tank, claims that “narratives and stories have a key role in establishing identity” both for individuals and for communities and societies.<sup>10</sup> These connections between histories and identities are frequently made by policy makers and heritage commentators, but the relationship is an extremely multifaceted one. Individuals identify with a range of different social groups, interests, and identities throughout their lives and these multiple and fluid identities shift and evolve according to a range of factors. Some, but not all, of these identifications are related to a sense of rootedness in place and time, and by relationships to both a personal history and to a history shared with others.

Questions about individual identities and their interactions with history, archives, and heritage are ones that quite properly have been receiving more attention from archivists in recent years<sup>11</sup>, but this article focuses on those identifications which are shared with others, in which people identify themselves with a group or community. In attempting to understand group or community identifications, those interested in collective or social memory often invoke history as something that can bind a community together:

*Communities [...] have a history—in an important sense are constituted by their*

8 UK Arts and Humanities Research Council funded project, ‘Community archives and identities: documenting and sustaining community heritage’, 2008–2009. The research team comprises Andrew Flinn, Elizabeth Shepherd and Mary Stevens. This research would not have been possible without the help and partnership provided by all our case studies (Future Histories, rukus!, Moroccan Memories, Eastside Community Heritage) and all the other participants and interviewees. For further details see <http://www.ucl.ac.uk/infostudies/research/icarus/community-archives/>.

9 Institute for Public Policy Research (IPPR), *The New Identity Politics*, London: IPPR (2007) 11.

10 IPPR, *The New Identity Politics*, 11.

11 See for instance MCKEMMISH Sue, ‘Evidence of Me’, *Archives and Manuscripts* 24:2 (1996) and ETHELTON Judith, ‘The role of archives in the perception of self’, *Journal of the Society of Archivists*, 27.2 (2006).

past—and for this reason we can speak of a real community as a “community of memory,” one that does not forget its past. In order not to forget that past, a community is involved in retelling its story, its constitutive narrative.<sup>12</sup>

This idea of a “community of memory” has been picked up by some archival thinkers, notably Eric Ketelaar, who similarly argues that:

*Collective identity is based on the elective processes of memory, so that a given group recognises itself through its memory of a common past. A community is a “community of memory” [...] The common past, sustained through time into the present, is what gives continuity, cohesion and coherence to a community. [...] To be a community [...] involves an embeddedness in its past and consequently, in the memory texts [in any form, written, oral, as well as physical] through which that past is mediated.*<sup>13</sup>

So the relationship between communities and their “shared memories” is frequently asserted, but it is a complex one. There is a tendency within some archival discourses to too easily conflate archives and memory or archives and history as one and the same thing. Archives are not simply “the nation’s memory”<sup>14</sup> or even a community’s memory. Rather, as Laura Millar and Michael Piggott show, they are the traces and “touchstones” which can be used to construct those memories and to produce histories.<sup>15</sup> As one recent commentator on

community and heritage has written, the two ideas are closely intertwined, supporting and lending layers of meaning and understanding to each other.<sup>16</sup>

It is important to note that these “communities of memories” can be as divisive and exclusive as they are inclusive, with *who* tells the stories and *which* stories are included being very important. The ways in which these choices are made may often strengthen the identifications within a community, while reinforcing the exclusion of others. This is especially true in the case of national histories and narratives, which frequently marginalise and exclude the stories of many within society. As Stuart Hall and other theorists have suggested, when we are asked to consider the beneficial impact of heritage and culture on perceptions of self and belonging, we must also consider what stories have been excluded, consider which groups are invisible, and which voices remain unheard.

Heritage can be an empowering experience, but it can also disenfranchise and reflect the broader exclusions within society. With only fragments and traces surviving or being selected for inclusion in the archive and the museum, then the question of what traces (and traces of whom) becomes key to what stories can be told and what memories can be constructed. In this context, some community archives have been established in recognition of (and as a challenge to) the biases of national histories and the partiality of the archival traces upon which these national stories draw.

In an influential lecture in 1999, the cultural studies and political theorist Stuart Hall addressed this issue of the partiality of present national narratives which ignore and make invisible much of the diversity of British (and world) history, and then presented a vision of what a transformed and democratised heritage might look like.

MCKEMMISH S., et al. *Archives: Recordkeeping in society*, Wagga Wagga, Australia: CIS (2005).

<sup>16</sup> CROOKE Elizabeth, *Museums and Community*, Oxford, UK: Routledge (2007) 1-2.

<sup>12</sup> BELLAH Robert quoted by OLICK Jeffery and ROBBINS Joyce, ‘Social Memory Studies: From “Collective Memory” to the Historical Sociology of Mnemonic Practices’, *Annual Review of Sociology*, 24, (1998) 122.

<sup>13</sup> KETELAAR Eric, ‘Sharing: Collected Memories in Communities of Records’, *Archives and Manuscripts* 33 (2005).

<sup>14</sup> For instance, in the UK see TNA, *Living Information* (2007) at <http://www.nationalarchives.gov.uk/documents/living-information.pdf>, 11 and in Australia, [http://www.dbcde.gov.au/Article/0,,0\\_5-2\\_4009-4\\_116801,00.html](http://www.dbcde.gov.au/Article/0,,0_5-2_4009-4_116801,00.html) and [http://archive.dcita.gov.au/2005/02/artbeat\\_summer\\_2005/keeping\\_the\\_nations\\_memory](http://archive.dcita.gov.au/2005/02/artbeat_summer_2005/keeping_the_nations_memory).

<sup>15</sup> MILLAR L., ‘Touchstones: Considering the Relationship between Memory and Archives’, *Archivaria* 61(2006); PIGGOTT M. ‘Archives and memory’ in

In the course of his address he outlined the environment in which independent heritage initiatives like community archives were flourishing: first, a crisis in the acceptance of the authority of traditional cultural and heritage institutions to tell the stories of "others," and second, a growing assertion of the right to tell one's own story, using one's own voice "as part of a wider process of cultural liberation."<sup>17</sup>

## Community archives in the UK - a brief introduction

*By collecting, preserving and making accessible documents, photographs, oral histories and many other materials which document the histories of particular groups and localities, community archives and heritage initiatives make an invaluable contribution to the preservation of a more inclusive and diverse local and national heritage.*<sup>18</sup>

So what do we understand by the phrase *community archives*? There is an emerging literature and interest in independent and community archives in the UK and elsewhere, of which the UCL research project is just one example. I have written a more detailed introduction to the range of UK community archives for the *Journal of the Society of Archivists*, and other examples can be found in the publications of the Community Archives and Heritage Group and the Museums, Libraries and Archives Council (MLA), among others.<sup>19</sup> But it is instructive here, however briefly, to convey a sense of the variety of endeavour and inspiration in this field of activity. It is also

important to acknowledge that independent archives, community archives, and other similar heritage initiatives are found all over the world—not just in the UK but also in Ireland, France, Canada, South Africa, the United States, and Australia—representing a range of different groups or communities and similarly inspired by many different motivations.<sup>20</sup>

In the UK, the recent growth in the numbers and profile of community archives has resulted in growing professional recognition of and interest in this type of activity. A number of significant archive and heritage policy documents, including the MLA's Archive Task Force report (2004), the Mayor of London's Commission on African and Asian Heritage (2005), and the subsequent Heritage Diversity Task Force, Archives Diversification Subcommittee report (2007), have all stressed the place of community archives in any comprehensive

<sup>20</sup> For instance for Ireland, see 'Living history Ireland' at <http://www.iol.ie/~plugin/history.htm> and in the north, Duchas Sound Archive (Crooke, 2007, 125-128); for France, see work of Genériques project <http://www.genériques.org/images/pdf/DP-Genériques-2-Anglais.pdf>; for Canada, see references to community archives in MILLER L., 'Discharging our Debt: The Evolution of the Total Archives Concept in English Canada', *Archivaria* 46 (1998) 131-132, the list of community heritage centres in the *Aboriginal Archives Guide* (2007) and the Canadian Women's Movement Archives and the Canadian Lesbian and Gay Archives described in CARTER R. 'Of things Said and Unsaid: Power, Archival Silences, and Power in Silence', *Archivaria* 61 (2006) 232; for South Africa, see the District Six Museum (Crooke, 2007) and Gay and Lesbian Archives (REID G., "'The History of the Past is the Trust of the Present': Preservation and Excavation in the Gay and Lesbian Archives of South Africa', in HAMILTON C. et al (eds.), *Refiguring the Archive*, New Africa Books, Cape Town (2002); for US, see many examples including for instance in New York the Schomburg Centre for Research in Black Culture at <http://www.nypl.org/research/sc/about/history.html> and the Lesbian Herstory Archives at <http://www.lesbianherstoryarchives.org/>, the Tribal PEACE online Native American heritage site, Asian & Hispanic community museum initiatives in California described in SHILTON K. and SRINIVASAN R., 'Participatory Appraisal and Arrangement for Multicultural Archival Collections' *Archivaria* 63 (2007); for Australia, see community heritage centres or 'Keeping Places' supported under the Aboriginal and Torres Strait Islander Library and Information Resources Network Protocols (<http://www1.aiatsis.gov.au/atstillrn/protocols.atstillrn.asn.au/ATSILIRNprotocols.pdf>).

<sup>17</sup> HALL Stuart, 'Whose Heritage? Un-settling "The Heritage", Re-imagining the Post-Nation' (1999), re-printed in Jo Littler & Roshi Naidoo, *The Politics of Heritage: The Legacies of 'Race'*, London: Routledge (2005) 28.

<sup>18</sup> Community Archives and Heritage Group (CAHG), 'Our Vision', 2008, available at <http://www.communityarchives.org.uk>.

<sup>19</sup> FLINN Andrew, 'Community histories, community archives: some opportunities and challenges', *Journal of the Society of Archivists*, 28:2 (2007) 151-176. See also website [www.communityarchives.org.uk](http://www.communityarchives.org.uk), and ANDER E., *Black and Minority Ethnic Community Archives in London*, London: MLA London (2008).

consideration of the UK's archival heritage.<sup>21</sup> One manifestation of this growing awareness of community archives in the UK has been the establishment of a coordinating group (originally the Community Archive Development Group (CADG), now the Community Archive and Heritage Group (CAHG)) which seeks to bring together community archivists and mainstream heritage professionals, providing a forum to discuss issues of shared interest and to act as a collective voice for the community archives movement in the UK.<sup>22</sup>

The scope of what might be defined as a community archive is extremely broad, covering a wide range of different activities and interpretations—indeed the very phrase community archive is itself contested. A recent definition seeks to acknowledge and embrace this variety:

*Community archives and heritage initiatives come in many different forms (large or small, semi-professional or entirely voluntary, long-established or very recent, in partnership with heritage professionals or entirely independent) and seek to document the history of all manner of local, occupational, ethnic, faith and other diverse communities.*<sup>23</sup>

The definition of communities used here seeks to encompass all manner of community identifications including by locality, ethnicity, faith, sexuality, occupation, shared interest, or by a combination of one or more of the above. It also allows for many different organisational forms, including time established, a physical or virtual presence, the extent of connection with mainstream organisations or independ-

ence and autonomy, levels of resources, funding, and long-term sustainability. Many community archives are owned and controlled from within the community, but others are inspired and sponsored by mainstream heritage organisations. In the latter case, the source of initial impulse is of less concern than the collection of "community" archives and the participation of members of the community in their collection and production.

The motivations inspiring such activity also vary a great deal; some projects are heritage focussed (the creation of a history or heritage collection is the primary aim of the endeavour), and other collections of such material are created as a by-product of other activities. In some instances the urge to collect archives is inspired by a political or cultural concern with documenting otherwise marginalised or largely invisible communities and challenging biased and hegemonic historical narratives. In other cases the motivation is less political and more an expression of a shared enthusiasm for the history of a place, occupation, or interest. In this respect the desire for individuals and for communities to explore their roots and document their history is very similar, and the connections and overlaps between family and local or community histories are very close.

These informal or independent archives are emphatically not a new development, but over the last ten to twenty years the numbers have grown substantially in the UK.<sup>24</sup> Some of the reasons for this growth include:

- ▶ a growing awareness of absences and biases in mainstream heritage narratives;
- ▶ the continued impact of population and social changes resulting from factors like de-industrialisation and migration;
- ▶ information and communication technology advances which have enabled interactions between often geographically distributed communities;

<sup>21</sup> ArchivesTask Force, *Listening to the Past, Speaking to the Future*, MLA London, London (2004) ('...archives in the community are as important to society as those in public collections' 43); Mayor's Commission on African and Asian Heritage (MCAAH), *Delivering Shared Heritage*, Greater London Authority, London (2005); Heritage DiversityTask Force (HDTF) Archives Diversification Subcommittee, 'Report' (2007).

<sup>22</sup> More details of CADG/CAHG can be found at [http://www.ncaonline.org.uk/community\\_archives/terms\\_of\\_reference/](http://www.ncaonline.org.uk/community_archives/terms_of_reference/) and at <http://www.communityarchives.org.uk>.

<sup>23</sup> CAHG, 'Our Vision' (2008), available at <http://www.communityarchives.org.uk>.

<sup>24</sup> FLINN, 2007.

► the availability of public funding for local community heritage projects.

A fuller idea of the extent, richness, and variety of community archives in the UK can be gained by examining briefly (in no particular order) a few examples.

*Eastside Community Heritage*<sup>25</sup> is a well-known and well-established (since 1993) community history group from East London. Eastside is interested in empowering local people to recover histories on a local, geographic basis (the East End) and in celebrating the diversity of the cultures of the East End. It aims through engagement with these different histories and heritages to promote greater interracial and intergenerational harmony. Rather than just running one project, Eastside Community Heritage has responsibility for a number of different archival and heritage projects operating in East London.

The *Black Cultural Archives* (BCA) has been in existence since 1981. Its mission is to document the political and cultural life of black people in Britain (mainly) since 1945.<sup>26</sup> It has faced numerous challenges in its efforts to establish itself as a focal point for black British culture and history in Brixton, South London, including funding, acquiring suitable premises, and finding staff with the necessary skills. At present, it is going through a period of significant transition. Following the injection of public funding and the appointment of professional archivists, the BCA is seeking to open a high profile cultural centre in the heart of Brixton in 2011. One of the challenges the BCA faces in making this transition, like other community archives in a similar position, is to make this shift into the heritage mainstream while retaining its community focus and roots.

The *Feminist Library*, by contrast, originally attempted to steer a different course by remaining wholly independent of the mainstream. Established in 1975 and origi-

nally known as the Women's Research and Resources Centre, it sought to document the women's liberation movement and to provide a space for research and campaigning. Largely funded by "donations from supporters," in recent years the continued existence of the library has been threatened by a lack of resources and rising rents. Various options have been discussed including seeking an institutional home in a university archive, "housing ourselves with other radical libraries and archives," or even breaking up the collection and closing down the library.<sup>27</sup> In end it was decided to secure the library's more unique and endangered collections in other relevant institutions, but with the library experiencing a revival of interest among committed volunteers, it has also sought to retain some of its core collections as an activist resource, independent, outside the mainstream and within the community it identifies with.<sup>28</sup> Although the long-term future of the library has been placed in doubt without sustained financial support, one library activist Gail Chester believes that the loss of autonomy that dependence on public funds entails could be equally problematic for the organisation. Clearly this remains a challenging situation and a difficult balancing act, but there are strong parallels with "the principles of radical archiving," community funding, and independence articulated by Lesbian Herstory Archives in New York.<sup>29</sup>

The *rucus! Black LGBT archive project*<sup>30</sup> is yet another initiative in which the desire to collect and document a history and culture is related very closely to that community's visibility or lack of it. Indeed rucus! is react-

<sup>27</sup> See *Feminist Library Newsletter 1 & 2* (2007-2008) available at <http://feministlibrary.co.uk>.

<sup>28</sup> This information comes from a paper (and subsequent conversations) given by CHESTER Gail at 'The Philosophy of the Archive' conference, Edinburgh 2008.

<sup>29</sup> See <http://www.lesbianherstoryarchives.org/> and REID G., 'The history of the past is the trust of the present', in HAMILTON C. et al (eds.), *Refiguring the Archive*, Cape Town: New Africa Books (2002) 201 n.11.

<sup>30</sup> See <http://www.rucus.co.uk/content/view/12/27/>.

<sup>25</sup> Available at <http://www.hidden-histories.org.uk>.

<sup>26</sup> Available at <http://www.bcaheritage.org.uk>.

ing to multiple layers of marginalisation and invisibility. According to Ajamu, one of the co-founders of the project, the invisibility of black lesbian, gay, bisexual and trans communities within society is overlain with further invisibilities within broader gay and black communities. The rukus! archive project seeks to address this by collecting and displaying the documentary and oral evidence of black LGBT culture and organisations over the last thirty years in exhibitions and at other public events.<sup>31</sup>

The stimulus to participate in community archive activities and to root oneself within a “community” is a strong one, perhaps like the “fever” that over takes some when pursuing their personal roots and uncovering their family histories. *Waltham Forest Oral History Workshop* is one of the longest established of such initiatives in London. An independent voluntary group, it has been operating since 1983, connecting back to the local history workshop movement of the 1970s and 1980s. By way of motivation, the group’s Web site offers a tempting reward to those interested in participating in its activities, the promise or possibility of immortality: “By recording your story you will have contributed to the history of this corner of London, not just for now but for ever. Your story will be part of tomorrow’s history, and your place in it will be assured.”<sup>32</sup>

Finally, as mentioned earlier, the impact of technology and the ability of social networking and other collaborative technologies to bring people together across geographic distances and enable them to interact with each other and contribute content about a local area, community, or shared interest is hugely significant in the continued development of community archives. One of the best and most active examples of this type of “local” community archives is the *My Brighton & Hove site*<sup>33</sup>

Entirely volunteer run and controlled, it accepts photographs and digitised materials and allows memories and commentaries to be uploaded from Brighton and the rest of the world. Launched in 2000, by the summer of 2008 the site had more than nine thousand pages and it continues to grow with significant amounts of new content being added every day. Among the kind of material regularly shared are identifications of people and places in the photographs of others, memories and recollections of life and events in Brighton in earlier periods, and amplification or reflections on memories offered by others. This is material that is otherwise very difficult to collect and which provides a powerful source for local history and shared community memories.

## Community archives and professional implications - a 21<sup>st</sup> century agenda

If, like the Archives Task Force, we believe that “[...] archives in the community are as important to society as those in public collections”<sup>34</sup> then what are the implications of these independent archive and community heritage initiatives for heritage professionals and in particular for archivists? The first point to be made is that nothing should be taken for granted. We should recognise that some community archives may wish to remain independent and without professional engagement—that is their choice. However, many others, perhaps the majority, are keen to work with and get advice from heritage workers. But if archivists are going to work with and support these initiatives, they should do so in the spirit of equitable partnership—responding to what is wanted by community archives themselves and recognising that as professionals they will have as much to learn from the community who created and collected the archives about the contents, the context, the meanings, and the value of the collections, as they might

31 Presentation to 2nd CADG Community Archives conference, UCL, 18 June 2008.

32 See <http://www.wforalhistory.org.uk>.

33 See <http://www.mybrightonandhove.org.uk>.

34 Archives Task Force report (2004) 43.

have to contribute in terms of professional understanding and practice. Working with different communities is likely to be more successful if the archive profession is able to better integrate an understanding of cultural diversity into professional practice and indeed if the profession itself were to diversify.<sup>35</sup> Such engagements and partnerships provide an opportunity to rethink or at least re-examine our professional practice in a number of ways.

First, engaging with community archives challenges traditional definitions of archives and records. Many community archive collections have significant proportions (if not the whole) which were actively constructed and “artificially” assembled, rather than created by any process of organic accumulation. Furthermore, materials held within community archives, community museums, and community resource centres are fundamentally the same and interchangeable—as well as the traditional archival documents, one would also expect to find objects, printed ephemera, books, grey literature, personal items such as letters, diaries, photographs and mementos, audio-visual materials, and clothing. On occasion, oral traditions and nontextual transmissions of cultural heritage and memories, including story-telling, dance, performance and ritual, and even the built environment, may also be considered core parts of collections. Along with other related societal pressures to include rather than to exclude, this should compel archivists not only to think more broadly about what we regard as an “archive” and a “record,” but also to develop more cross-

domain or cross-sectoral perspectives.<sup>36</sup>

Engagement with and recognition of the value of the knowledge of community partners also ties in with new thinking about involving users and others in areas of archival practice which have traditionally been reserved for professionals alone. Whether it be incorporating community or user representatives in selection, appraisal, and preservation decisions, or incorporating community and user knowledge into descriptions and cataloguing (perhaps via developments in Web 2.0 technologies), or allowing communities to make decisions about access and closures, there are a range of initiatives across the archival world which seek to bring the creator, the user, and the archive community (Bastian's “communities of the record”) into what has formerly been the preserve of the archive professional. Protocols and guidelines with regard to the cultural heritage of Aboriginal, First Nation or indigenous communities all suggest that these kind of inclusive practices should become accepted as good practice.<sup>37</sup> In the United States and UK, both Katie Shilton and Ramesh Srinivasan (2007) and the Revisiting Archive Collections project (2008) have sought to employ participatory methods in appraisal and description.<sup>38</sup> These are all ideas which will likely continue to develop and evolve over the next few years.

Finally, as has been suggested, some (though not all) community archives are keen to retain physical and intellectual custody and not just legal ownership over their collections. There are a variety of possible reasons for this, including a lack

<sup>35</sup> The Society of American Archivists (SAA) is committed “to integrating diversity concerns and perspectives into all aspects of its activities and into the fabric of the profession as a whole. SAA is also committed to the goal of a Society membership that reflects the broad diversity of American society. SAA believes that these commitments are essential to the effective pursuit of the archival mission ‘to ensure the identification, preservation, and use of the nation’s historical record.’” This is a model that might be adopted by other professional associations. See <http://www.archivists.org/statements/diversitystatement.asp>.

<sup>36</sup> MCKEMMISH et al., ‘Communities of Memory’ 152-153.

<sup>37</sup> See for instance Aboriginal and Torres Strait Islander Library and Information Resources Network Protocols (<http://www1.aiatsis.gov.au/atsilirn/protocols.atsilirn.asn.au/ATSILIRNprotocols.pdf>) & Protocols for Native American Archival Materials (<http://www2.nau.edu/libnap-p/protocols.html>).

<sup>38</sup> SHILTON K. & SRINIVASAN R., ‘Participatory Appraisal and Arrangement for Multicultural Archival Collections’, *Archivaria* 63 (2007) 87-101; <http://www.ucl.ac.uk/slais/research/armren/activities/workshop-2/Newman-Reilly-26-06-07-full.ppt>.

of knowledge of local heritage providers, a perception that local archives are not interested in community material, a general hostility to state heritage institutions, a lack of interest or awareness on the part of local archives, or perhaps a more general concern over the loss of control and access to community materials due to professional practice or geographical distance. In some cases (for instance, in the relationship between Northamptonshire Record Office and the Northamptonshire Black History Association, or the London Metropolitan Archive's work with the Huntley Archives or with London's Chinese Community Network) it has been possible to address some of these concerns by establishing a relationship of shared ownership, custody, and responsibility with the creators and custodians of archive collections, which results in some collections being deposited within archive repositories.

Such an outcome is not always possible. In circumstances where the community archive is clear about retaining custody or the archive service does not feel able or willing to take in certain collections, it is possible that the preservation and sustainability of collections held in the community might be achieved by postcustodial support and guidance being offered by professional archivists and other heritage workers as part of their outreach activity. If we return to Jenkinson, we have already noted how he acknowledged the crucial role that public libraries, local authorities, or local societies might play in terms of rescuing and preserving important local archive collections, as long as they could prove themselves to be "responsible custodians" by acting in a "professional" manner in terms of care and custodianship.<sup>39</sup> It appears to be perfectly in tune with this recognition that one important component of professional outreach should be to support community archives in their role as the "responsible custodians" of their collections, ensuring preservation and use for future genera-

tions. As Rodney Carter suggests, there is no reason why independent archives cannot retain their collections and their autonomy while receiving guidance and advice from the wider archival community.<sup>40</sup>

In fact there is already clear demand from community archivists and heritage groups for practical advice and guidance (on subjects as diverse as standards, preservation, copyright, digitisation, cataloguing, and access policies) and there are numerous schemes across the world attempting to satisfy these demands.<sup>41</sup> In France the *Generiques* project has identified and supported the preservation of the private archives of many migrant groups and communities, while in both North America and Australasia, heritage workers have participated in the drafting of guides and protocols such as the ACA Aboriginal Archives Guide to support and sustain archives and museums owned and run by Aboriginal and indigenous peoples. The Australian National Archives has followed the New Zealand service in printing and distributing a guide to basic archival practice aimed at private individuals and community groups, and an archival "starter kit" aimed at similar groups is offered by the National Library of Australia.<sup>42</sup>

In the UK there are also a growing number of initiatives which offer professional support in the development of community archives. CommunityArchives.

40 CARTER R., 'Of things said and Unsaid', 214.

41 See 'What support do community archives need?' survey at [http://www.communityarchives.org.uk/page\\_id\\_\\_708\\_path\\_\\_0p4p.aspx](http://www.communityarchives.org.uk/page_id__708_path__0p4p.aspx).

42 See for instance *Generiques*, <http://www.generiques.org/images/pdf/DP-Generiques-2-Anglais.pdf>, 7; Aboriginal and Torres Strait Islander Library and Information Resources Network Protocols (<http://www1.aiatsis.gov.au/atsilirn/protocols.atsilirn.asn.au/ATSILIRNprotocols.pdf>); Protocols for Native American Archival Materials (<http://www2.nau.edu/libnap-p/protocols.html>); Association of Canadian Archivists, *Aboriginal Archives Guide* (ACA, 2007); National Archives of Australia, *Keep It for the Future!* (NAA, 2007) and The National Library of Australia, *Preserving Australia's Documentary Heritage: A Starter Kit for Community Groups*, (NLA: Canberra 2004) available from <http://www.nla.gov.au/services/comgroups.html>.

39 JENKINSON, *Archive Administration*, 37-42.



org.uk (the Web site of the CAHG) which hosts a directory of community archives, also seeks to provide groups with reliable and practical guidance on a range of issues regarding the care of their collections.<sup>43</sup> Most recently the group has been involved in developing a cataloguing standard for community archives which will map on to the key professional standards but is useable and appropriate to community groups. The recent *Connecting Histories* project in Birmingham sought to ensure that the collections held within the local archives better reflected the city's diverse heritage. It also sought to support local community groups in establishing their own archives via guidance material on their Web site, publications, and the work of dedicated outreach workers. A popular initiative, the project's proactive and dynamic approach is summed up on its Web site:

*There is no set way to create an archive and there is no set material that qualifies as "archivable." Archives can be made up of photographs, minute books, posters [...] basically, anything goes! The motivations for creating archives are as broad as the potential materials that are within them [...] the website uses examples taken from different types of archives to explore how and why archives are created, collected and presented, and to suggest how you might go about creating your own archive.*<sup>44</sup>

Another potentially far-reaching project is the Living Links community heritage project supported by Hampshire Archives and Local Studies in which a community heritage liaison officer is responsible for the training of "archive ambassadors" in basic archive skills (preservation, digitisation, copyright) who are then to "act as 'champions of local history,' passing on skills learnt from archives professionals to help communities develop and safeguard

their heritage collections."<sup>45</sup>

This sort of basic, archival good practice advice has been available in the past, but it has also often been hard to locate or too expensive for most community archives to easily access, unless project money has specifically been allocated for the purpose. In absence of such funding, how is useful advice and guidance to be made more generally available? The above examples suggest that the solution may be found in online guidance supplemented by partnerships, especially local ones. Such relationships could be made a core part of the outreach activity offered by archivists employed by local services. These archivists would then be continuing to perform their traditional duties in protecting and "defending" the archive, but in a reworked fashion for the twenty-first century, not just within the walls of the formal archive but outside in record-creating and keeping communities as well.

## Conclusion

I believe that the recognition and acknowledgment of the value of community archives has significant implications for professional practice and hence for the education of archivists. In 1954 Hilary Jenkinson argued that for all those interested in the history of the Jewish community in Britain:

*[...] the most urgent work at present is themselves to turn archivist for the location, and if necessary conservation, of material [...] which may be, if that operation is not undertaken, not only neglected but lost.*<sup>46</sup>

If the preservation of "community" archives is as important as Jenkinson suggested, not just to the communities themselves, but ultimately to the whole of society, then it is essential that archivists

<sup>43</sup> Available at [http://www.communityarchives.org.uk/category\\_idtxt\\_resources.aspx](http://www.communityarchives.org.uk/category_idtxt_resources.aspx).

<sup>44</sup> See 'How to create an archive' at <http://www.connectinghistories.org.uk/guidance.asp>.

<sup>45</sup> See <http://www3.hants.gov.uk/archives/living-links.htm>.

<sup>46</sup> JENKINSON H., 'Jewish History and Archives', *Transactions of the Jewish Historical Society of England* 18 (1954) 62.

involve themselves in the construction of a framework which supports their survival. Although this most clearly pertains to those working in the public sector, it also applies more generally across other sectors where engagement with outside groups and communities may also be increasingly common and beneficial. Educators of archivists have a responsibility here as well. Their contribution to the embedding of this new framework within archival practice must include in the curriculum a clearer understanding of the necessity of diversifying workforces and professional practice, reflection on and the re-evaluation of some theoretical concepts, a greater commitment to cross-domain working, a better understanding of cultural diversity, and a foregrounding of outreach and community engagement in establishing sustainable and equitable partnerships as part of core professional duties.

# Российские архивы на службе общества

## В.П.Козлов

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*В докладе говорится об огромной роли архивов в современном информационном мире, особенно, в странах, переживших внутренние и внешние катаклизмы. Архивы являются важнейшим инструментом осмысления пережитого и реабилитаций. XX век оказался для России веком грандиозных потрясений, и с середины 1980-х годов архивы оказались особенно востребованными, произошло расширение сферы использования. В докладе приводятся данные о таких направлениях работы в рамках новых потребностей, как реабилитация жертв репрессий, выяснение судеб погибших во время Великой отечественной войны (1941-1945гг.) и военнопленных, документальное обеспечение выплаты компенсаций. Документальное обеспечение реабилитационного процесса, социально-правовых запросов граждан России привело к созданию многочисленных баз данных. Ныне возможности российских архивов почти адекватны запросам общества.*

В современном информационном мире архивы востребуются все больше и больше, особенно в странах, переживших крупные внутренние и внешние катаклизмы – революции, гражданские и мировые войны, тоталитарные и репрессивные режимы, экономические катастрофы и радикальные преобразования. Эти катаклизмы неизбежно затрагивают судьбы людей – как целых социальных групп, так и отдельные личности. С переходом любого общества в устойчивое состояние у него, с одной стороны, неизбежно возникает потребность в осмыслении пережитого не только ради самопознания, но и для выработки механизмов предотвращения ошибок, а с другой стороны, на основе новых ценностей у него появляется необходимость проведения конкретных реабилитаций. Архивы в этих условиях становятся важнейшим инструментом осмысления пережитого и реабилитаций, а их утрата всегда является болезненным ударом из прошлого в настоящее и будущее.

XX век оказался для России веком грандиозных потрясений. Революционные события 1917 г. сломали традиционный государственный уклад страны и в конечном итоге привели ее к Гражданской войне. Две мировые войны беспощадными цунами пронесли над страной, затронув судьбы каждого человека – их последствия чувствуются до сих пор. Репрессии 1920—40-х гг. искалечили жизни миллионов людей. Грандиозные проекты социализма породили мощные миграционные процессы внутри СССР, которые в начале 90-х годов после очередного, второго по счету в XX столетии, слома государственности, резко обострились и осложнились. Экономические, политические и административные реформы 1990-х годов привели к возникновению и оформлению новых, часто противоречивых, жизненных и духовных ценностей.

Как государственный, социальный, культурно-исторический и правовой институт, архивы России в XX столетии жили вместе со страной, разделяя и отражая ее достижения, ошибки и несчастья. Они были и полем поиска «врагов народа», и местом концентрации документов о жертвах репрессий,

трудовых биографий граждан. Исторические катаклизмы XX столетия, как это бывает всегда, нанесли ущерб современному и прошлому документальному наследию России, накопившемуся столетиями. Однако этот ущерб все же оказался не столь обширным, чтобы сегодня говорить о нем как абсолютно невозполнимом, исключающем восстановление тысячелетней истории страны не только в ее наиболее крупных проявлениях, но и в деталях, частностях, повседневности, включая конкретные судьбы большей части людей, по крайней мере, живших в XX веке.

Уже приблизительно с середины 80-х годов прошлого века архивы России оказались особенно востребованными, причем, как в рамках традиционных направлений использования, например, исследователями в читальных залах, так и в рамках новых потребностей, ранее по политическим и идеологическим причинам остававшихся недоступными, например, в реабилитационных процессах. Общественная жизнь России второй половины 80-х – первой половины 90-х годов XX в. в значительной степени определялась требованиями расширения доступа к архивам, включая архивы КПСС, как неперемennom условии постижения «правды истории» для оздоровления общества сначала на основе «подлинных» идеалов социализма, а затем буржуазных идеалов демократии.

Неудивительно поэтому, что с начала 90-х годов прошлого века неуклонно росло число посетителей читальных залов государственных и муниципальных архивов. Если в 1992 г. в целом по стране архивы всех уровней посетило чуть больше 42 тысяч читателей, то уже в 2007 г. их стало более чем в два раза больше – около 97 тысяч. Всего же за 1992 – 2000 гг. в государственных и муниципальных архивах работало свыше 1 миллиона 65 тысяч читателей, т.е. один читатель на приблизительно 150 граждан России. Автор не берется судить, много это или мало, но более чем двукратный рост числа читателей за 15 последних лет, безусловно, впечатляет и ставит перед архивами России новые задачи, о чем скажем чуть ниже.

Весьма показательно, что если среднее число читателей федеральных архивов, расположенных в основном в Москве и Петербурге, последние пятнадцать лет оставалось стабильным (около 11 тысяч человек в год) с неуклонной тенденцией в последние три года к снижению до 9 тысяч читателей, то в государственных архивах субъектов федерации и в муниципальных архивах все эти годы число читателей постоянно росло. В государственных архивах субъектов федерации оно выросло с 7 тысяч в 1992 г. до свыше 45 тысяч в 2007 г., а в муниципальных архивах с 23 тысяч в 1992 г. до 42 с половиной тысяч в 2007 г., т.е. почти в 2 раза. Эта статистика, с одной стороны, свидетельствует о том, что снижение числа посетителей в читальных залах федеральных архивов объясняется все более расширяющимся предоставлением их информационных ресурсов (включая научно-справочный аппарат) в сети Интернет (например, Архива Коминтерна), а с другой стороны, показывает усиление интереса исследователей к местной истории, отраженной в региональных и муниципальных архивах. Таким образом, российские архивы удовлетворяют общественные потребности в одном из их проявлений, каким является потребность в изучении истории своей страны и своей «малой родины» - республики, края, области, города, поселка, деревни.

О чем говорит приведенная выше статистика? Трудно судить на ее основе об эффективности использования российских архивов через их читальные залы. Также невозможно говорить о том, много или мало сделали российские архивы за последние 15 лет, обеспечивая исследователям возможности работы в читальных залах. Одно несомненно: все эти годы в российском обществе рос интерес к самопознанию через узнавание своего прошлого и российские архивы адекватно его удовлетворяли.

Начиная со второй половины 80-х годов интерес к прошлому в российском обществе обозначился, а затем стал неотъемлемой составляющей общественной жизни, в иной плоскости – политической, моральной и материальной реабилитации жертв незаконных репрессий в отношении правящих

классов дореволюционной России, социальных групп (крестьянства, священнослужителей и др.), политических противников большевиков, репрессированных народов, конкретных людей. Созданный в стране соответствующий правовой механизм реабилитации не мог функционировать без привлечения архивных документов. В его архивно-документальном обеспечении приняла участие не только государственные архивы, но и архивы Министерства внутренних дел России, Федеральная служба безопасности России, ряд других ведомственных архивов. К сожалению, полная статистика работы архивов по этому направлению отсутствует, однако, созданный неправительственной организацией Обществом «Мемориал» банк данных на жертв репрессий, показывает тот минимальный объем дел, который был представлен архивами в органы, занимающиеся реабилитацией. В 2006 г. в целях урегулирования условий ознакомления с материалами прекращенных уголовных, административных, фильтрационно-проверочных дел, в том числе в исследовательских целях, Министерством юстиции было зарегистрировано специальное «Положение» о порядке доступа к ним.

Великая Отечественная война советского народа против нацистской Германии для россиян, переживших лишения и унижения 90-х годов прошлого века, сегодня является не только героической, но и особо святой страницей советской истории, в которой сегодняшние граждане России находят источник духовных сил для национального возрождения.

Для темы доклада важно отметить, что архивисты России последние 15 лет были непосредственно вовлечены в распутывание узлов и распускание клубков, доставшихся от времен Второй мировой войны и Великой Отечественной войны.

В значительной степени эта работа носила гуманистический характер и проходила и проходит по нескольким направлениям.

Первое из них связано с выяснением судеб погибших на полях сражений воинов Советской армии. С помощью архивных

данных их обстоятельства гибели, места захоронений ныне зафиксированы в издающейся многотомной «Книге Памяти», а также в создаваемом банке данных, доступном в Интернете и содержащем оцифрованные документы на каждого погибшего ([www.obd-memorial.ru](http://www.obd-memorial.ru)). Родственники и потомки теперь имеют возможность узнать судьбу своих близких и предков. Работа продолжается.

Второе направление распутивания с помощью российских архивов последствий войны связано с обеспечением социальной защиты мирных граждан СССР, насильственно угнанных на территорию Германии и ее сателлитов. Тогда, в 1944-1946 гг. их судьбы, может быть, представляли интерес в первую очередь только для готовившегося Нюрнбергского процесса. Но со второй половины 90-х годов и вплоть до настоящего времени документы об этих судьбах, сохраненные в российских архивах, оказались востребованными и вовсе не ради исторического изучения одного из самых нечеловеческих явлений Второй мировой войны. Преодолевая самую мрачную страницу своей истории, Германия, а чуть позже Австрия мужественно согласились выплатить денежные компенсации ныне живущим невольникам фашистского государства.

Российские архивисты никогда не забудут этот поток писем, хлынувший в архивы, эти очереди бывших невольников рейха в архивы, требовавших архивных справок, подтверждающих факты насильственного угона, условия содержания и характер их работ. И они же, архивисты, с гордостью теперь могут говорить о том, что благодаря их работе не менее 800 тысяч только россиян (у архивистов Прибалтики, Беларуси и Украины должна быть своя статистика) получили денежные компенсации за подневольный труд. Ныне эта гуманитарная акция с участием российских архивов завершается.

Конец войны, особенно войны несправедливой со стороны поверженного, всегда сопровождается возмездием, в том числе пленом. На территории СССР, включая Россию, военнопленных оказалось несколько

миллионов – немцев, австрийцев, японцев, итальянцев, венгров и т.д. Свой грех служения гитлеровскому режиму они искупали в течение нескольких лет трудом на территории СССР, чтобы потом большинством своим вернуться на родину. Но кто-то не вернулся, оставшись лежать в земле теперешних самостоятельных государств Белоруссии, Казахстана, России, Узбекистана, Украины, и других республик бывшего СССР. Российские архивы передали в соответствующие страны все сохранившиеся данные об их упокоении на территории бывшего СССР. Более того, для Германии и Японии Россия реализует грандиозные проекты по копированию учетных дел всех военнопленных, понимая, что бывшим военнопленным, еще здравствующим ныне, или родственникам уже умерших, на их родине полагаются определенные компенсации за пребывание в плену. В настоящее время, например, Японии переданы копии учетных дел на более чем 470 тысяч японских военнопленных. И это стало третьим направлением работы российских архивов по преодолению последствий Второй мировой и Великой Отечественной войн.

Холокост – это слово и скрывавшаяся за ним трагедия еврейского народа в годы Второй мировой войны были неизвестны советскому человеку. Лишь во второй половине 80-х годов прошлого века документы российских архивов об этой трагедии оказались востребованными. Ныне копии их тысяч страниц пополнили фонды музеев Холокоста в Иерусалиме и Вашингтоне, в других городах мира, напоминая людям о случившемся и воспитывая ненависть к фашизму.

Одно из основных направлений деятельности российских архивов связано с исполнением роли социальных нотариусов – безвозмездного официального подтверждения трудовых биографий граждан, зафиксированных в разнообразных архивных документах. Специфика социальной защиты граждан России, других стран – бывших республик СССР заключается в том, что она учитывает, например, при начислении пенсии трудовой стаж гражданина, условия его труда, наличие наградений и поощрений и т.д.

Его особые заслуги перед государством, регионом поощряются также определенными льготами. Реализация тех или иных прав граждан России на социальную защиту и льготы возможна только при наличии соответствующих архивных подтверждений.

В целом по стране только в государственных и муниципальных архивах этой работой ныне занимается не менее 4 тысяч 200 архивистов. Ежегодно в среднем на протяжении 90-х годов ими исполнялось около 1 миллиона запросов социально-правового характера, причем не только граждан России, но и других государств, прежде всего СНГ. С началом третьего тысячелетия число таких запросов неуклонно растет: в 2003 г. – 1 миллион, 600 тысяч, в 2007 г. – 3 миллиона 100 тысяч. Связано это с двумя факторами. Во-первых, вопреки советской архивной практике в новой России на государственное хранение в массовом объеме стали поступать трудовые биографии граждан из архивов обанкротившихся и ликвидированных организаций и, во-вторых, в начале этого века в России был принят ряд актов, расширивших социальные права граждан, что потребовало их дополнительного архивного подтверждения.

Законом Российской Федерации «Об архивном деле в Российской Федерации» (2004 г.) государственным и муниципальным архивам предоставлено право подготовки и издания документальных публикаций. Тем самым на законодательном уровне была закреплена давняя традиция одного из направлений работы российских архивов, ведущая свое начало со второй половины XVIII в. За 15 последних лет архивами России всех уровней подготовлено и издано около 2 тысяч документальных изданий, т.е. в среднем ежегодно по 133 документальных сборника.

За последние 15 лет в России произошли кардинальные изменения в выставочной деятельности архивов. В Выставочном зале федеральных архивов в Москве ежегодно проводится не менее 6 выставок, посвященных юбилейным датам, крупным событиям отечественной и всемирной истории, например, «Агония третьего рейха», «1953

год: между прошлым и будущим», «XX съезд КПСС», «Сталин и Тито», «1937 год», «Философский пароход». Особенности современной выставочной деятельности российских архивов являются, во-первых, полнота документального раскрытия тематики выставки (в некоторых выставочных проектах одновременно принимало участие до 20 архивов разного уровня), во-вторых, обязательная кооперация подготовки выставок с музеями, в третьих, оригинальное художественное и дизайнерское оформление концептуальных идей конкретной выставки, в четвертых, издание каталогов выставок. Ряд выставочных проектов был реализован совместно с архивами Дании, Швеции, Финляндии, Монголии, Вьетнама, Сербии, Болгарии, Испании, Украины, Беларуси, Словении, Чехии, США и демонстрировался не только в России, но и в соответствующих странах. Выставочная деятельность архивов – наиболее доступный способ взаимодействия прошлого с настоящим, пропаганды прошлого и роли архивов в современном мире.

Резкое расширение сферы использования российских архивов потребовало серьезных инфраструктурных изменений. Повышение нагрузки на читальные залы вызвало необходимость увеличения числа посадочных мест, объема фонда пользования за счет микрофильмирования и сканирования оригиналов документов, дополнительного приобретения соответствующей техники, в том числе копировальной, размещения справочников по архивам в Интернете (соответствующая база данных с описанием более 100 тысяч архивных фондов находится на портале «Архивы России» [www.rusarchives.ru](http://www.rusarchives.ru)) разработки и внедрения (пока только в экспериментальном порядке) электронной системы движения дел: читальный зал – архивохранилище – читальный зал – архивохранилище.

Документальное обеспечение реабилитационного процесса, социально-правовых запросов граждан России и зарубежных стран привело к созданию

многочисленных баз данных. Из всех имеющихся в архивных учреждениях России

баз данных социально-правового характера примерно 13% составляют базы данных о репрессиях.

Иначе говоря, «служба обществу» в условиях обостренной востребованности архивных документов со стороны этого общества российским архивам давалась нелегко. Она потребовала серьезных финансовых вложений на модернизацию всего процесса, связанного с обеспечением использования архивных документов. Испытав воздействие экономического кризиса 90-х годов, российским архивам приходилось изобретать и находить в рамках существующего законодательства различные способы не только обеспечения общественных запросов, но и выживания в период формировавшейся рыночной экономики. С конца 90-х годов ситуация изменилась и ныне возможности российских архивов почти адекватны запросам общества.



# Abstracts

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## **Archives and their allies: recordkeeping for good governance – introduction**

**Ross Gibbs**

An introduction to the session, setting the context for why a National Archivist has invited an Auditor-General, an Ombudsman and a Public Service Commissioner to address the International Congress on Archives.

## **Archives, auditors and accountability – strategic alliances**

**Des Pearson**

Records and recordkeeping are fundamental to transparent, accountable government. In Australia, the number of strategic alliances between archives and 'accountability authorities' (i.e. those review and monitoring bodies which surround public sector agencies and which drive governance standards) continues to increase. In the past decade, audit work has identified key challenges for government records management including the lack of strategic planning, the management of e-records and the incompatibility of guidance with existing standards. A 2008 review of over 100 agencies by the State of Victoria's

Auditor-General's Office highlights issues of broader interest throughout the public sector. While some of these concerns have already been addressed through alliances between records managers and governance professionals, the recordkeeping community must continue to embrace the goals they share with the accountability authorities, and continue to encourage records management onto the public sector review agenda.

## **Archives and ombudsmen – natural allies**

**Leo Donnelly**

Archivists and ombudsmen are natural allies in the cause of good governance. First, good recordkeeping (as promoted by archivists) can help prevent instances of maladministration, thus reducing the likelihood of ombudsmen's investigations being required. Second, good records will assist an ombudsman when an investigation does occur or, conversely, the absence of good records can hinder such an investigation. This article illustrates its arguments with reference to investigations into the 1995 Cave Creek tragedy in New Zealand. It calls for archivists and ombudsmen to actively collaborate to advance their mutual interest in good governance.

## **Archives, governance and development – mapping future society**

**Rigo A. Lua**

A Public Service Commission (PSC) Commissioner's perspective on the importance of good public recordkeeping and how archivists and public service commissioners can work together to achieve improvement in this area.

## **“My records and me” or how an association can help archivists to educate officials**

**Alice Grippon**

The French Association of Archivists, in a desire to make public sector workers more aware of the profession, has found a way to get it talked about: a leaflet with clear text and attractive format. The profession ranks low in public awareness, and thus we must change how we communicate if we are to survive and flourish, as well as improve the daily management of archives, as swiftly as possible. Archivists need to simplify and clarify professional jargon, making the job more 'accessible'. The Association's priority was thus to make the future civil servants aware during their training of how to incorporate good records management practices into their work, in the same way as they learn how to write a report or understand public sector rules and responsibilities. A tool to facilitate this has now been put into place. The leaflet, the approach it embodies, and new associated projects, are described.

## **The management of current and semi-current records as a contribution to good governance in developing countries: the example of the Ministry of Economy and Finance in Senegal.**

**Fatou Ngom**

Senegal adopted a national good governance programme in 2001. The Ministry of Economy and Finance (MEF) is in charge of implementing national policy in economic and financial areas; consequently it is directly responsible for the economic component of the programme. In June 2003, as part of the programme, the government of Senegal, collaborating with the World Bank and other development partners, conducted an assessment exercise of the public finances management system, in order to evaluate the efficiency of public resources management and carry out appropriate correcting measures. This assessment exercise identified the main failures of the public finances management system at all levels of the fiscal chain and proposed improvements in certain areas, including the records management system in the MEF. Implementation of the subsequent recommendations led to the diagnosis and evaluation of MEF's urgent needs in the field of records management and established an emergency plan to improve the records management system. This plan opened the way to putting in place a consistent filing and records management programme, with the creation of a technical committee responsible for implementing the plan and for circulating guidance in areas such as electronic management systems, and building information managers' capacity.

## **Records management in the Malaysian corporate sector: are financial institutions aware of the importance of complying with relevant acts and regulations?**

**Zawiyah Mohammad Yusof,  
Umi Asma' Mokhtar**

The aim of this paper is to identify whether financial institutions in Malaysia are aware of the laws and regulations governing records management. The objectives of this study were to investigate whether financial institutions comply with the legislation; whether the language of the legislation is understandable to businesses; and whether institutions adopt the right attitudes towards records management. Ten financial institutions were involved in a survey carried out in 2005 which showed that while financial institutions in Malaysia are aware of the legislation, nevertheless, records management has not been prioritized, as there is a lack of enforcement. Respondents agreed about the benefits of records management programs, but do not take the appropriate steps to implement these, as the needs are not seen as pressing.

## **BARM - Bangladesh Archives & Records Management: program for democratic governance**

**Florus Geraedts**

Describes the problematic state of archives and records management in Bangladesh and the work of BARM, which endeavours to raise awareness of the importance of good recordkeeping, forge strategic alliances and support capacity building for both public and private recordkeeping in that country.

## **The Korean government innovation model for presidential records**

**Young-nam Lee**

This paper describes how the Korean government innovation model for presidential records was planned, established, and put into action between 2004 and early 2008. The roadmap for the project was drafted in 2004 at the inauguration of President Roh Moo-hyun, and concluded with the successful transfer of his presidential records to the Presidential Archives in February 2008. That the innovation model for presidential records has been successful is proved by the establishment of the Presidential Archives, the formulation of the Act on the Management of Presidential Archives, and the complete transfer of eight million files of presidential records in paper and electronic formats between October 2007 and February 2008. The critical success factors of the innovation model have been the philosophy and commitment of the president himself in pursuing innovation in presidential records management, the hard work of the innovation task force, and close cooperation with the Presidential Archives, the Office of the President, and the public archives and records management institutions. The participation of professional civil servants is also essential to realize the goal of governance-based policymaking and administration.

## **Archives and their allies**

**Danielle Wickman**

In Solomon Islands, the National Archives formed alliances within the government to make improvements to recordkeeping systems and processes. While some alliances were highly successful, other attempts were less so. This paper looks at the outcomes each alliance brought and examines the factors that may lead to a successful alliance.

## **The digital memory of society: the Notarial Archives project**

**María José Justo**

Notarial documents are essential for the study of urban history insofar as they record the majority of activities of a majority of men in managing both their 'ordinary life', as well as situations that can be described as 'extraordinary', in terms of behavior outside conventional norms of society. Notarial proceedings are, therefore, a faithful reflection of society at any defined moment. The main aim of this project is to identify the existing notarial sources (their condition, size and extent and location) in the 76 countries with a notarial profession and the possibility of accessing that information from any point and any place. It intends to provide unified multi-level descriptions of all the notarial archives, using ISAD (G), and prepare a General Thesaurus, by subject, by country, by type of legal business and by documentary type. There is existing experience of such work at the University Historical Archives of Santiago de Compostela whose holdings include the notarial records of the province of Corunna, which are being described and digitized. These activities have a dual benefit: on one hand the optimization of the access and, on the other, the preservation of the originals.

## **When international co-operation involves archives: the example of Tunisia**

**Christophe Jacobs**

The European Commission's programmes of external co-operation (EuropeAid) allocate a part of their budgets to projects to improve governance as the guarantee of basic rights. Some of them aim to reinforce the capacity of the judicial system of a county and involve objectives concerning archival management. This

has already happened in several countries including Morocco and now Tunisia. With reference to the Ministry of Justice and Human Rights in Tunisia, this article sets out the challenges of such projects such as co-ordination between local and external archivists, the risk of 'archival interference' and the transfer of archival skills and knowledge.

## **Access and democratisation of information: The documentation of war atrocities by the Liberian TRC**

**Proscovia Svärd**

The Liberian Truth and Reconciliation Commission was established to document the atrocities committed against the civilian population between 1979 and 2003. It is through access to this information that citizens and civil society organisations can interrogate government on the implementation of the TRC's recommendations. The post-conflict reconstruction should include the establishment of an information infrastructure at the TRC to promote the dissemination of information, and the documentation generated must be correctly managed if it is to serve its intended purpose for which it is being created. Institutions such as the National Archives of Liberia should be equipped to allow information management activities such as preservation and access. TRC archives are the collective memory of the war atrocities; their good management is vital for the healing, democratisation, and reconciliation processes.

## **Bridging the gap between data protection and recordkeeping**

**Sharon Alexander-Gooding,  
Ineke Deserno**

In tomorrow's world, how we organize and manage the data that we produce,

receive, and maintain will be critical for our organisation's sustainability and the management of risks. Regulatory requirements abound with which we must comply, and no longer can one store or hoard information in an ad hoc manner. No longer can records managers afford to keep data, in particular, personal information for use other than that for which it was obtained. This will impact on the residual information that will accrue to archives and adds a new meaning to the principle of impartiality within the fonds. In addition, archivists and records managers have to follow "new rules" most of which are changing frequently and which may differ according to geographic boundaries or locations.

Generally, data protection legislation is based on human rights and seeks to ensure the individual right of privacy for personal information. It focuses on structured manual files and electronic processing of such data. To fulfil the requirements and principles embodied in such legislation, archivists and records managers will have to amend their procedures and processes to ensure that any personal information on the body politic is obtained and processed fairly, that this information is kept only for the original purposes stated, that it is kept safe, secure, accurate and up-to-date, that it is not retained longer than necessary regarding the initial purpose of collection, and that rights of access to personal data are applied. Failure to carry out any of these measures will result in sanctions inclusive of monetary fines and imprisonment.

Bearing in mind the critical role that archivists and records managers carry out as administrators and custodians of the documentary heritage, and the need to comply with myriad regulations and statutory requirements, the authors of this paper intend to highlight some "rules and regulations." The first part of this paper, by Sharon Alexander-Gooding, will provide detailed input on privacy and personal data protection. It will highlight the key principles, responsibilities, and terminology of data protection, and the need for reengi-

neering some of the vital processes and procedures that we carry out in information capture, processing and preservation for access in order to comply with new and ever-changing regulatory requirements. The second part of this paper, by Ineke Deserno, will discuss personal data protection at the European level, highlighting the key points of the European Union (EU) legislation. Furthermore, it will look at the delicate relationship between EU personal data protection and access to documents (or freedom of information) legislation.

## **Management of archives relating to population resettlement from the Three Gorges Dam on the Yangtze: a keystone for governance and development**

**Wang Yanmin**

Population resettlement as a result of the Three Gorges Dam project on the Yangtze River in China will affect around 1.35 million people. The archives associated with the resettlement project are hugely important: for recording the effects of the resettlement on the areas and populations concerned, for protecting the rights of the resettled population and allowing future generations to learn about their families, and to support government administrations in making evidence-based policy and decisions. Recognizing the importance of these archives, the state has put in place a variety of measures, including specific regulations, project monitoring and resources, to ensure that the archives are collected, organized and made accessible.

## **Special delivery: getting the message out about archives in North America**

**Shelley Sweeney**

Archivists have come to realize that it is increasingly important to promote archives in order to secure societal recog-

inition, morale, and monetary support. Associations of professional archivists in North America have been promoting archives, while other professional societies, such as those representing lawyers, engineers, and doctors, have been almost exclusively engaged in promoting their professions. Archives, however, need a higher profile before the archival profession can gain recognition. Canadian archival associations have created Web pages with resources, conferences, displays, and radio shows, and have developed the successful "Québec Declaration on Archives," which asks members of the public to help ensure that the management of archives is valued and that archives are conserved and made accessible. The Society of American Archivists has promoted Archives Month through a kit which provides a poster and online resources to archivists to promote archives. Individual archives in both the United States and Canada have experimented with presenting their records through blogs, RSS feeds, links on Wikipedia, YouTube, Flickr, and Footnote.com using the capabilities of Web 2.0. All of these promotional efforts have been modestly successful, but at least the battle for recognition that archivists must promote archives and archivists has been won.

## **Archives and their communities: serving the people**

**Andrew Flinn**

This article outlines some contemporary debates on the growth and impact of what are known in the United Kingdom as independent community archives and engagement. Drawing in part on research at University College London, funded by the UK Arts and Humanities Research Council, the article offers examples of the variety of community archive activity. In the context of seeking to support the sustainability of such independent and community-held collections, the article also explores whether activities, such as outreach, diversity train-

ing, and post-custodial support, should now be viewed as core professional archival responsibilities (at least in public sector archives) and, if so, to what extent these should be reflected within the curricula of archival education programmes.

## **Russian Archives in the public service**

**Vladimir Kozlov**

The article focuses on the major role played by archives in the modern information world, especially in countries which have endured domestic and external cataclysms. Archives represent the most important tool for understanding these experience and for recovering from them. The twentieth century was one of great disturbance for Russia; from the mid-1980s the great need for archives became apparent and an expansion in the way they were used took place. The article highlights challenges within the framework of these new requirements: rehabilitation of the victims of repression, identification of the fate of the fallen during the Great Patriotic War (1941-1945) and of prisoners of war, payment of compensation to internees. The documentation of the rehabilitation process, the large amount of individual and legal inquiries, led to the creation of a great number of databases. Since the late 1990s the situation has changed and today the potential of Russian archives is almost adequate for the needs of society.

# Résumés

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## **Les Archives et leurs alliés : gestion des archives pour la bonne gouvernance – introduction**

**Ross Gibbs**

Introduction à la séance qui présente les raisons pour lesquelles un Archiviste national a invité un Auditeur général, un Médiateur et un Commissaire de la Fonction publique à intervenir au Congrès international des Archives.

## **Archives, auditeurs et responsabilité – alliances stratégiques**

**Des Pearson**

Les documents et l'archivage constituent les fondements d'un gouvernement transparent et responsable. En Australie, le nombre d'alliances stratégiques entre les archives et les responsables des finances publiques (c.à.d. ces corps de révision et de contrôle qui s'occupent des organismes du secteur public et qui gèrent les normes de gouvernance) s'accroissent continuellement. Au cours de la dernière décennie, un audit a identifié les défis majeurs que suppose la gestion des documents gouvernementaux, y compris l'absence de planning stratégique, la gestion des documents

électroniques et l'incompatibilité des directives avec les normes existantes. Un rapport de 2008 sur 100 agences du département de l'auditeur général de l'État de Victoria met l'accent sur des problèmes d'intérêt plus large dans l'ensemble du secteur public. Alors que certaines de ces questions ont déjà été abordées par des alliances entre gestionnaires de documents et professionnels de la gouvernance, la communauté archivistique doit continuer à poursuivre les objectifs qui lui sont communs avec les responsables des finances publiques et continuer à promouvoir la gestion des documents sur le calendrier de révision du secteur public.

## **Archives et médiateurs – alliés naturels**

**Leo Donnelly**

Les archivistes et les médiateurs sont des alliés naturels pour la cause de la bonne gouvernance. En premier lieu, un bon archivage (tel que les archivistes en font la promotion) peut aider à éviter les cas de mauvaise administration, en réduisant la probabilité d'avoir à recourir aux enquêtes des médiateurs. Ensuite, des archives bien tenues aideront les médiateurs quand une enquête aura lieu et, inversement, l'absence de dossiers bien tenus peut gêner une telle enquête. Cet article appuie son argumen-

tation en se référant aux enquêtes sur la tragédie de Cave Creek, survenue en 1995 en Nouvelle Zélande. Il invite les archivistes et les médiateurs à collaborer activement pour faire avancer leurs intérêts communs en matière de bonne gouvernance.

## **Archives, gouvernance et développement – bâtir la société du futur**

**Rigo A. Lua**

Perspective du Commissaire de la Fonction publique sur l'importance d'une bonne gestion des archives publiques et sur la façon dont les archivistes et les commissaires de la fonction publique peuvent travailler ensemble pour obtenir des améliorations dans ce domaine.

## **« Mes archives et moi » ou comment une association peut aider les archivistes à sensibiliser les fonctionnaires**

**Alice Gripon**

L'Association des archivistes français, en souhaitant travailler sur la sensibilisation des fonctionnaires, a trouvé un moyen de faire parler du métier : un dépliant associant discours clair et forme attractive. La profession souffre d'un déficit d'image, il faut modifier nos manières de communiquer pour vivre et survivre, ainsi que pour améliorer la gestion quotidienne des archives, le plus en amont possible. Cela répond à une attente des archivistes en matière de simplification, de clarification voire de vulgarisation du discours professionnel et du métier. Telle était la priorité de l'association : sensibiliser le futur fonctionnaire en amont de la production des documents et intégrer dans son cursus l'acquisition des réflexes de bonne gestion des archives, au même titre qu'il apprend à rédiger une note ou à connaître les droits et devoirs du fonctionnaire. Pour faciliter ce projet, un outil de communication a été mis en place.

Présenté au Congrès international des archives, le dépliant, et la démarche qui y a abouti, est exposé dans cet article, ainsi que les projets annexes qui en découlent.

## **Gestion des archives courantes et intermédiaires comme élément de contribution à la bonne gouvernance dans les pays en développement : l'exemple du ministère de l'Economie et des Finances du Sénégal**

**Fatou Ngom**

Le Sénégal a adopté un programme national de bonne gouvernance en 2001. Le Ministère de l'Economie et des Finances (MEF) est chargé d'appliquer la politique arrêtée par le chef de l'Etat en matière économique et financière, et il prend donc directement en charge le volet économique de ce programme de bonne gouvernance. En juin 2003, dans le cadre de cette bonne gouvernance, le Gouvernement du Sénégal, en collaboration avec la Banque mondiale et les autres partenaires au développement, a réalisé une évaluation du système de gestion des finances publiques afin d'apprécier l'efficacité de la gestion des ressources publiques et d'apporter les correctifs appropriés. Cette étude a permis d'identifier les principales déficiences du système de gestion des finances publiques à tous les niveaux de la chaîne budgétaire en proposant des améliorations dans certains domaines dont le système de gestion des archives et de la documentation du département. La mise en œuvre des plans d'actions de cette évaluation a recommandé une étude des besoins urgents du ministère en matière d'archivage avec un plan d'urgence chiffré d'amélioration de la gestion des documents et des archives des services du MEF. Ce plan ouvre la voie à la mise en place d'un programme cohérent de gestion des documents par la création d'un comité technique chargé de la mise en œuvre, la



confection d'outils de gestion, l'élaboration d'une circulaire sur la gestion des documents, la mise en place d'un système de gestion électronique des documents et le renforcement des capacités des gestionnaires de l'information en collaboration avec des consultants spécialistes en la matière

## **Le records management dans le secteur des entreprises en Malaisie: les institutions financières sont-elles conscientes de l'importance de se conformer aux lois et règlements dans ce domaine ?**

Zawiyah Mohammad Yusof ,  
Umi Asma' Mokhtar

Cet article a pour objectif de savoir si les institutions financières de Malaisie sont conscientes des lois et règlements [loi et règlement de 1966 ; loi sur la banque et loi sur les institutions financières (BAFIA) de 1989), Livre des banquiers (loi sur la preuve de 1989) et loi sur la preuve qui régit le records management]. Les objectifs de cette étude étaient de chercher à savoir si les institutions financières respectent ces lois et règlements, si le langage utilisé dans la rédaction de ces textes est compréhensible pour les entreprises, et si ces institutions ont des attitudes qui conviennent en matière de records management. Dix institutions financières ont fait l'objet d'une étude menée en 2005. Les résultats montrent que les institutions financières sont conscientes de ces lois et règlements en Malaisie. Néanmoins le records management ne constitue pas une priorité car il y a un manque d'application de ces lois et règlements. Les répondants s'accordent à apprécier les bénéfices obtenus par les programmes de records management mais ne prennent pas les mesures appropriées car les besoins ne sont pas vus comme urgents.

## **BARM – Gestion des archives et des documents au Bangladesh : programme pour une gouvernance démocratique**

Florus Geraedts

Cet article décrit l'état problématique de la gestion des archives et des documents au Bangladesh ainsi que le travail du BARM qui tente de faire croître la conscience de l'importance d'une bonne conservation des documents, d'établir des alliances stratégiques et d'œuvrer aux possibilités d'une conservation des documents publics et privés dans ce pays.

## **Le modèle novateur du gouvernement coréen pour les archives présidentielles**

Youg-nam Lee

Cet article montre comment le gouvernement coréen a préparé un modèle novateur pour les archives présidentielles, l'a établi et mis en oeuvre entre 2004 et le début de 2008. La feuille de route des innovations dans le domaine des archives présidentielles a été établie en 2004, au début du mandat du précédent président, Roh Moo-hyun, et a été mise en application avec succès lors du transfert de ses documents présidentiels aux Archives présidentielles en février 2008. On peut évaluer le succès du modèle novateur des archives présidentielles par les éléments suivants : l'établissement des Archives présidentielles qui rassemble et gère les documents de tous les présidents précédents, la formulation du décret relatif à la gestion des archives présidentielles et le transfert d'un ensemble de huit millions de dossiers sous formats papier et électronique en cinq mois entre octobre 2007 et février 2008. L'auteur considère les points suivants comme des facteurs essentiels de succès du modèle novateur des documents présidentiels : philosophie et implication du président lui-même dans la poursuite d'une innovation dans la gestion des documents

présidentiels, travail acharné du groupe de travail chargé de l'innovation, et coopération étroite entre les Archives présidentielles, le Bureau du président et les institutions chargées de la gestion des archives et des documents publics. La participation de professionnels civils à ce modèle novateur est également un élément essentiel pour réaliser les objectifs d'une politique et d'une administration fondées sur la gouvernance.

## Les archives et leurs alliés

**Danielle Wickman**

Dans les Iles Salomon, les Archives nationales ont noué des alliances au sein de l'administration publique pour améliorer les systèmes et les processus d'archivage. Si certaines de ces alliances ont été très réussies, d'autres tentatives ont été moins heureuses. Cet article examine les résultats de chaque alliance et les facteurs qui ont permis à une alliance de réussir.

## Proposition de structure du projet « La mémoire numérique de la société : les archives notariales »

**María José Justo**

Les documents notariés sont essentiels à l'étude de l'histoire urbaine, en ce qu'ils enregistrent la plupart des activités de la plupart des hommes, dans ce que l'on peut définir comme des «gestions de la vie ordinaire» mais aussi des situations qui peuvent être qualifiées d'extraordinaires ou encore des comportements non conformes aux normes de la société. Les registres sont, ainsi, le reflet fidèle de la société à un moment déterminé.

L'objectif fondamental de ce projet est de connaître les sources notariales existantes dans les soixante seize pays pourvus d'un notariat (état, volume, étendue), son emplacement, et la possibilité d'accéder à l'information depuis n'importe quel point et à n'importe quel endroit.

C'est la description unifiée de toutes les archives notariales qui est proposée, en utilisant la norme internationale ISAD (G), à différents niveaux, et l'élaboration d'un Thésaurus Général, par matière, par pays, par acte juridique et par type de document.

Il faut compter avec l'expérience réalisée aux Archives Historiques Universitaires de Santiago de Compostela, qui conserve, entre autres, le Fonds de Protocoles Notariaux de la province de A Coruña, avec lequel est réalisé un travail de description de cette nature, auquel s'ajoute sa numérisation.

Ces actions présentent un double bénéfice : d'une part, l'optimisation de l'accès et, d'autre part, la conservation des registres originaux.

## Lorsque la coopération internationale s'intéresse aux archives : l'exemple de la Tunisie

**Christophe Jacobs**

Les programmes de coopération extérieure de la Commission européenne (EuropeAid) consacrent une part de leurs financements à des projets portant sur l'amélioration de la gouvernance, la garantie des droits fondamentaux. Certains visent au renforcement des capacités de l'appareil judiciaire d'un pays et comportent des objectifs concernant la gestion des archives. C'est le cas dans différents pays déjà, tels que le Maroc ou encore la Tunisie. Notre communication se proposait de présenter aux congressistes les enjeux qui se posent dans de tels projets, tels que la coordination entre archivistes locaux et archivistes coopérants, le risque de l'«ingérence archivistique», la circulation des connaissances et des compétences archivistiques, à travers l'exemple du ministère de la Justice et des Droits de l'Homme tunisien.

## Accès à l'information et démocratisation : les documents sur les atrocités de guerre au Liberia par la Commission pour la vérité et la réconciliation (TRC)

Proscovia Svärd

La reconstruction du Liberia à l'issue du conflit devait inclure l'établissement d'une infrastructure pour l'information dès le commencement de la Truth and Reconciliation Commission (TRC), afin de diffuser ses conclusions auprès des citoyens. Le personnel de la TRC aurait dû comprendre des archivistes et des professionnels de l'information qui auraient planifié la gestion de l'information ainsi produite. Le processus de documentation en cours va générer des documents composites. Cette documentation requiert ses propres équipements de conservation et canaux de distribution si elle veut servir le but pour lequel elle a été créée. Cet article part des expériences du processus documentaire récemment achevé par la TRC de Sierra Leone. C'est par l'accès à l'information que les citoyens et les organisations civiles de la société peuvent interroger le gouvernement sur l'application des recommandations de la TRC. Les institutions qui gèrent l'information, comme les Archives nationales du Liberia et les bibliothèques, ou une institution indépendante chargée du suivi, auront besoin d'être équipées pour pouvoir s'engager dans la gestion de cette information. Les archives de la TRC constituent l'histoire nationale et la mémoire collective des atrocités de la guerre. La TRC du Liberia a été créée pour fournir de l'information sur les atrocités commises envers la population civile entre 1979 et 2003. La gestion de l'information issue de la documentation produite est vitale pour les processus de cicatrisation, de démocratisation et de réconciliation.

## Comblant le fossé entre protection des données et conservation des documents

Sharon Alexander-Gooding, Ineke Deserno

Dans le monde d'aujourd'hui, la façon dont nous organisons et gérons les données que nous produisons, recevons et conservons, devient crucial pour la viabilité de nos organismes et la gestion des risques. Les obligations réglementaires auxquelles il faut nous conformer abondent et on ne peut plus entreposer ou amasser de l'information telle quelle. Les gestionnaires de documents ne peuvent plus se permettre de garder les données, en particulier les renseignements personnels, pour un autre usage que celui pour lequel ils ont été obtenus. Cela aura une incidence sur l'information résiduelle qui s'accumulera dans les archives et donnera un nouveau sens au principe d'impartialité à l'intérieur du fonds. En outre, les archivistes et les gestionnaires de documents ont à suivre de « nouvelles lois », dont la plupart sont souvent l'objet de changements et qui peuvent différer selon les frontières ou la localisation.

D'une façon générale, la législation sur la protection des données est fondée sur les droits de l'homme et cherche à assurer le droit individuel au caractère privé des renseignements personnels. Elle vise des dossiers manuels structurés et le traitement électronique de ce type de données. Pour être conformes aux obligations et principes d'une telle législation, les archivistes et les gestionnaires de documents auront à amender leurs procédures et leurs processus pour s'assurer que tout renseignement personnel a été obtenu et traité honnêtement, que cette information est conservée dans le but originel, qu'elle est intacte, en sûreté, exacte et mise à jour, qu'elle n'est pas conservée plus longtemps que nécessaire au regard de l'objectif initial de sa conservation, et que les droits d'accès aux données personnelles sont respec-

tés. Faute de quoi, il y aura des sanctions monétaires et des peines de prison.

Tenant compte du rôle crucial que les archivistes et les gestionnaires de documents vont jouer en tant qu'administrateurs et gardiens du patrimoine documentaire, et du besoin de se conformer à une myriade de règlements et d'obligations statutaires, les auteurs de cet article souhaitent mettre en évidence quelques lois et règlements. La première partie de l'article, par Sharon Alexander-Gooding, apporte une contribution détaillée sur la protection de la vie privée et des données personnelles. Il met l'accent sur les principes-clés, les responsabilités et la terminologie de la protection des données, ainsi que sur la nécessité de remettre en cause quelques-uns des processus vitaux et des procédures que nous pratiquons dans la capture de l'information, dans le traitement et la conservation pour l'accès afin de satisfaire aux toujours nouvelles et changeantes obligations réglementaires. La seconde partie de l'article, par Ineke Deserno, traite de la protection des données dans le contexte européen et met l'accent sur les points-clés de la législation de l'Union Européenne (EU). En outre, il traite des relations fort délicates entre la protection des données personnelles en EU et la législation relative à l'accès aux documents (ou liberté de l'information).

## **Gestion des archives relatives à la réimplantation de la population du barrage des Trois Gorges sur le Yangtze : une pierre angulaire pour la gouvernance et le développement**

**Wang Yanmin**

La réimplantation de populations résultant du projet de Barrage des Trois Gorges sur le Yangtze affectera environ 1.350.000 personnes. Les archives relatives à ce projet de réimplantation sont extrêmement

importantes : pour enregistrer les effets de la réimplantation sur les zones et les populations concernées, pour protéger les droits de la population réimplantée et pour permettre aux générations futures de se documenter sur leurs familles, ainsi que pour aider les administrations publiques à avoir des politiques et des décisions fondées sur les preuves. Persuadé de l'importance de ces archives, l'État a pris une série de mesures, incluant des réglementations spécifiques, le contrôle et le financement du projet, pour s'assurer que les archives soient bien rassemblées, organisées et accessibles.

## **Livraison spéciale : faire passer le message à propos des archives en Amérique du Nord**

**Shelley Sweeney**

Les archivistes ont finalement réalisé qu'il est de plus en plus important de promouvoir les archives pour s'assurer une reconnaissance sociale et morale et un soutien financier. Les associations d'archivistes professionnels en Amérique du Nord ont fait la promotion des archives, alors que d'autres associations professionnelles, comme celles qui représentent les avocats, les ingénieurs ou les médecins ont presque exclusivement fait la promotion de leurs professions. Les Archives, cependant, ont besoin d'un meilleur profil avant que la profession puisse gagner en reconnaissance. Les associations canadiennes d'archives ont créé des pages Web avec des ressources, des conférences, des vitrines, des shows radio, et ont développé une très réussie «Déclaration québécoise sur les archives», qui demande au public d'aider à assurer une bonne gestion des archives et de faire que ces dernières sont bien conservées et rendues accessibles. La Society of American Archivists a fait la promotion d'un mois des archives avec un kit fournissant un poster et des ressources aux archivistes pour promouvoir les archives. A la fois aux États-Unis et au Canada,

des services d'archives individuels ont fait l'expérience de présenter leurs documents dans des blogs, des aliments RSS, des liens avec Wikipedia, YouTube, Flickr et Footnote.com, en utilisant les possibilités du Web 2.0. Tous ces efforts promotionnels ont été modestement couronnés de succès, mais il n'est pas moins vrai que la bataille entreprise pour que les archivistes fassent la promotion des archives et des archivistes est gagnée.

## **Les archives et leurs communautés : servir les gens**

**Andrew Flinn**

Cette communication présente quelques uns des débats actuels sur l'accroissement et l'impact de ce que l'on appelle au Royaume Uni archives indépendantes de communautés et engagement. Fondé en partie sur une recherche menée à l'UCL et financée par le Conseil de recherche des arts et humanités du Royaume Uni, l'article présente des exemples de la variété des archives de communautés. Enfin, tout en cherchant à soutenir la viabilité de telles collections, indépendantes et conservées par les communautés, l'article examine si des activités, telles que assistance, formation diversifiée, soutien après conservation, peuvent maintenant être considérées comme des responsabilités archivistiques professionnelles de premier plan (au moins dans les archives du secteur public) et, si c'est le cas, jusqu'à quel point cela pourrait se refléter dans les programmes d'enseignement de l'archivistique.

## **Les Archives russes du service public**

**Vladimir Kozlov**

L'article est centré sur le rôle majeur joué par les archives dans le monde moderne de l'information, particulièrement dans les pays qui ont subi des cataclysmes, à l'intérieur et à l'extérieur. Les archives sont les outils les plus importants pour compren-

dre ces expériences, et pour en guérir. Le vingtième siècle a été celui de grands bouleversements pour la Russie; depuis la moitié des années 1980 un grand besoin d'archives est apparu et il s'est étendu, en raison de la façon dont elles étaient utilisées. L'article met en relief des défis dans le cadre de ces nouveaux besoins : réhabilitation des victimes de la répression, identification du destin de ceux tombés durant la Grande Guerre Patriotique (1941-1945) et des prisonniers de guerre, paiement de compensation aux personnes internées. La documentation du processus de réhabilitation, le nombre élevé de demandes de renseignements individuelles et d'enquêtes judiciaires, ont mené à la création d'un grand nombre de bases de données. Depuis la fin des années 1990, la situation a changé et, aujourd'hui, le potentiel des archives russes est presque adapté aux besoins de la société.



# Zusammenfassungen

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## **Archive und ihre Verbündeten: Registraturführung als Mittel rechtsstaatlicher Verwaltung – Einführung**

**Ross Gibbs**

Er eröffnet die Sitzung und erläutert, warum der Chef einer nationalen Archivverwaltung, der Präsident eines Rechnungshofes, ein Ombudsmann und ein leitender Verwaltungsbeamter eingeladen wurden, vor dem Internationalen Archivtag zu sprechen.

## **Archive, Rechnungsprüfer und Verantwortung – Strategische Bündnisse**

**Des Pearson**

Für eine transparente und verantwortungsbewusste Regierungspraxis sind Behördenschriftgut und Schriftgutverwaltung elementar. In Australien steigt die Zahl strategischer Bündnisse zwischen Archiven und Rechnungsprüfämtern (d.h. den Prüf- und Beratungsbehörden, welche die Stellen der öffentlichen Verwaltung untersuchen und Verwaltungsstandards vorantreiben) weiter an. In den vergangenen zehn Jahren wurden durch die Rechnungsprüfer zentrale

Herausforderungen der behördlichen Schriftgutverwaltung identifiziert, darunter die fehlende strategische Planung, das Management digitaler Unterlagen und die Inkompatibilität von Beratungsleistungen und existierenden Standards. Eine im Jahr 2008 durchgeführte Prüfung in über 100 Behörden durch den Rechnungshof des Staates Victoria verdeutlichte breiter angelegte Probleme im öffentlichen Sektor. Während sich Schriftgutverwalter und Regierungsfachleute bereits einigen davon zugewandt haben, müssen die Schriftgutverwalter auch weiterhin die gemeinsamen Ziele mit den Rechnungsprüfungsbehörden betonen und dafür sorgen, dass die Schriftgutverwaltung auf der Agenda der öffentlichen Rechnungsprüfung bleibt.

## **Archive und die Ombudsleute – Natürliche Verbündete**

**Leo Donnelly**

Archivare und Ombudsleute bzw. Bürgerbeauftragte sind Verbündete hinsichtlich rechtsstaatlicher Verwaltungsführung. Zum einen kann eine geordnete Schriftgutverwaltung – wie Archivare sie fordern – Fälle fehlerhaften Verwaltungshandelns verhüten und

damit Untersuchungen durch Ombudsleute vermeiden. Andererseits unterstützen geordnete Registraturen den Ombudsmann im Falle einer Untersuchung. Umgekehrt kann das Fehlen geordneter Registraturen diese Arbeit behindern. Der Artikel argumentiert am Beispiel der Untersuchung der Cave Creek Tragödie 1995 in Neuseeland. Er fordert, dass Archivare und Ombudsleute aktiv im beiderseitigen Interesse an guter Regierungs- und Verwaltungsführung zusammenarbeiten.

## **Archive, Regierungs- und Verwaltungsführung und Entwicklung – Entwurf einer Gesellschaft der Zukunft**

Rigo A. Lua

Die Sichtweise eines leitenden Verwaltungsbeamten von der Bedeutung der richtigen Verwahrung öffentlichen Schriftguts und davon, wie Archivare und Leiter öffentlicher Verwaltungen zusammenwirken können, um Verbesserungen zu bewerkstelligen.

## **„Meine Registratur und ich“ oder wie ihr Berufsverband den Archivaren dabei helfen kann, die öffentlich Bediensteten auf sich aufmerksam zu machen**

Alice Gripon

Der französische Archivarsverband hat einen Weg gefunden, um Angehörige der öffentlichen Verwaltung auf den Berufsstand der Archivare aufmerksam zu machen: ein Informationsblatt mit einem verständlichen Text und in einem ansprechenden Format. Der Archivarsberuf ist weiteren Kreisen kaum bekannt, und daher müssen wir die Art und Weise unserer Selbstdarstellung möglichst schnell ändern, um zu überleben und zu gedeihen, aber auch, um unsere laufende Arbeit zu erleichtern und um unsere Tätigkeiten nach außen transparenter erscheinen zu lassen. Der Verband

hat sich daher vorrangig darum bemüht, die angehenden Beschäftigten im öffentlichen Dienst während der Ausbildung darüber zu informieren, wie man das Registraturwesen wirksam in die tägliche Arbeit einbezieht, genauso wie sie lernen, Verwaltungsschreiben zu verfassen oder die Regeln und Pflichten der öffentlichen Verwaltung. Hierzu dient das Informationsblatt. Auf dem internationalen Archivkongress wurde es vorgestellt, und die daraus folgende Vorgehensweise wird beschrieben, ebenso wie neue Projekte in diesem Zusammenhang.

## **Die Verwaltung von laufend und nicht mehr laufend benötigten Unterlagen als Beitrag zu guter Regierungsführung in Entwicklungsländern: das Beispiel des Ministeriums für Wirtschaft und Finanzen in Senegal**

Fatou Ngom

Senegal verabschiedete 2001 ein Programm zur guten Regierungsführung. Das Ministerium für Wirtschaft und Finanzen (MEF) ist für die Regierungspolitik im Wirtschafts- und Finanzbereich zuständig und daher direkt für den finanziellen Bereich des Programms verantwortlich. In Zusammenarbeit mit der Weltbank und anderen Einrichtungen der Entwicklungshilfe führte die Regierung Senegals als Teil des Programms im Juni 2003 eine Überprüfung der öffentlichen Finanzverwaltung durch. Damit sollten die Effizienz der öffentlichen Finanzverwaltung überprüft und notwendige Korrekturmaßnahmen ermittelt werden. Durch die Überprüfung wurden auf allen Ebenen der öffentlichen Finanzverwaltung wichtige Schwachstellen identifiziert und in bestimmten Bereichen Veränderungen vorgeschlagen, darunter auch bei der Schriftgutverwaltung im MEF. Die Umsetzung der daraus resultierenden Empfehlungen führte zur



Analyse und Evaluierung des Systems der Schriftgutverwaltung und zur Einführung eines Notfallplanes, um sie zu verbessern. Ein in diesem Zusammenhang gegründetes technisches Komitee ist verantwortlich für die Umsetzung der Planungen und für Hilfeleistungen bei digitalen Verwaltungssystemen und beim Erwerb von Kenntnissen im Informationsmanagement.

## **Registrierungsverwaltung bei der Privatwirtschaft in Malaysia: Sind Finanzdienstleister mit den gesetzlichen Vorgaben vertraut?**

Zawiyah Mohammad Yusof,  
Umi Asma' Mokhtar

Der Aufsatz geht der Frage nach, ob Finanzdienstleister in Malaysia mit den einschlägigen Gesetzen und Verordnungen zur Schriftgutverwaltung in ihrem Bereich vertraut sind (Gesellschaftsgesetz und Ausführungsverordnung von 1966; Gesetz über Banken und Finanzdienstleister, BAFIA, von 1989; Bankengesetzbuch - Nachweisgesetz von 1989). Diese Studie sollte feststellen, ob diese Wirtschaftsunternehmen den genannten gesetzlichen Regelungen nachkommen, ob die sprachliche Ausprägung dieser gesetzlichen Regelungen für Wirtschaftsunternehmen verständlich ist und ob diese Unternehmen die richtige Einstellung zur Aktenführung haben. Zehn Finanzdienstleister in Malaysia waren an der 2005 durchgeführten Umfrage beteiligt. Im Ergebnis zeigt sich, dass den Wirtschaftsunternehmen aus der Finanzsparte die gesetzlichen Regelungen bekannt sind. Trotzdem wird der Schriftgutverwaltung keine hohe Priorität eingeräumt, und die gesetzlichen Bestimmungen werden nicht in ausreichendem Maße umgesetzt. Die Ansprechpersonen waren sich der Vorzüge einer geregelten Schriftgutverwaltung bewusst, aber erforderliche Schritte unterblieben, da sie nicht als dringlich empfunden wurden.

## **Archiv- und Registrierungsverwaltung in Bangladesh (BARM, Bangladesh Archives & Records Management): Ein Programm für eine demokratische Regierungsführung**

Florus Geraedts

Beschrieben wird der problematische Zustand der Archiv- und der Schriftgutverwaltung in Bangladesh und die Arbeit von BARM, das sich bemüht, das Bewusstsein für die Bedeutung ordnungsmäßiger Registraturlührung zu wecken, um sowohl für öffentliche wie private Schriftgutverwaltung strategische Allianzen herzustellen, und zu schulen.

## **Das Innovationsmodell der koreanischen Regierung für Schriftgut des Präsidenten**

Young-nam Lee

Der Beitrag erläutert, wie das Innovationsmodell der koreanischen Regierung für Schriftgut des Präsidenten zwischen 2004 und Frühjahr 2008 geplant und in die Praxis umgesetzt wurde. Der Zeitplan für das Projekt wurde 2004 beim Amtsantritt des damaligen Präsidenten, Roh Moo-hyun, entworfen, und mit der erfolgreichen Übernahme seiner Unterlagen in das Präsidentenarchiv im Februar 2008 abgeschlossen. Dass das Projekt erfolgreich war, belegen die Einrichtung des Präsidentenarchivs, welches die Unterlagen aller ehemaligen Präsidenten aufbewahrt und verwaltet, die Erarbeitung des Gesetzes über die Verwaltung des Präsidentenarchivs sowie die vollständige Überführung von acht Millionen Präsidentenakten in Papier- und elektronischer Form in den fünf Monaten zwischen Oktober 2007 und Februar 2008. Der Autor hält folgende Faktoren für den Erfolg des Projekts für ausschlaggebend: die Ansichten und das Engagement des Präsidenten bei der Innovation der präsi-

dialen Schriftgutverwaltung, die intensive Arbeit der Innovations-Projektgruppe sowie die enge Kooperation des Präsidentenarchivs, des Präsidentenbüros und der öffentlichen Archiv- und Schriftgutverwaltungsinstitutionen. Die Beteiligung von Fachleuten aus der Staatsverwaltung am Innovationsmodell ist ebenfalls notwendig, um das Ziel regierungsbasierter Politik und Verwaltung umzusetzen.

## Archive und ihre Verbündeten

### Danielle Wickman

Das Nationalarchiv der Salomonen hat innerhalb der Staatsverwaltung Allianzen gebildet, um die Schriftgutverwaltung und die dazugehörigen Verfahren zu verbessern. Manche dieser Allianzen waren sehr erfolgreich, andere weniger. Der Aufsatz betrachtet die Ergebnisse der einzelnen Kooperationen und untersucht die Vorbedingungen für einen Erfolg.

## Das digitale Gedächtnis der Gesellschaft: das Projekt der Notariatsarchive

### María José Justo

Notariatsurkunden sind für die Erforschung der Geschichte von Städten von Bedeutung, da sie viele Aktivitäten zahlreicher Menschen sowohl bei der Bewältigung ihres „normalen Lebens“ protokollieren, wie auch Verhaltenssituationen außerhalb der Gesellschaftskonventionen, die als außergewöhnlich bezeichnet werden können. Notariatsakten geben daher zuverlässig die Gesellschaft zu jedem beliebigen Zeitpunkt wieder. Das Projektziel ist die Erfassung der vorhandenen Notariatsquellen (Erhaltungszustand, Größe, Inhalte sowie Lagerort) in den 76 Ländern mit der Einrichtung eines öffentlichen Notariats und die Möglichkeit des Zugangs zu diesen Informationen von jedem beliebigen Ort. Vereinheitlichte, mehrstufige Verzeichnungen aller

Notariatsarchive sollen nach der Richtlinie des ISAD (G) bereitgestellt werden, und ein Generalthesaurus nach Gegenstand, Land, Art der Rechtsgeschäfte und Dokumententyp soll erarbeitet werden. Erfahrungen mit Arbeiten dieser Art hat man am historischen Universitätsarchiv von Santiago de Compostela (Spanien), das auch Notariatsakten der Provinz Coruña verwahrt, die gegenwärtig verzeichnet und digitalisiert werden. Diese Arbeiten sind von doppeltem Nutzen: Einerseits die Verbesserung des Zugangs und andererseits die Erhaltung der Originale.

## Internationale Kooperation und Archive am Beispiel Tunesiens

### Christophe Jacobs

Die Europäische Kommission vergibt bei ihren außereuropäischen Programmen (EuropeAid) einen Teil ihrer Fördermittel für Projekte zur Verbesserung der Staatsverwaltung als Gewähr für die Einhaltung der Grundrechte. Manche Programme dienen zur Verbesserung des Gerichtssystems des betreffenden Landes und beinhalten auch Zielvorgaben hinsichtlich der Archivverwaltung. Dies ist bereits in einigen Ländern geschehen, wie Marokko und Tunesien. Mit Bezug auf das tunesische Ministerium der Justiz und der Menschenrechte zeigt dieser Artikel die Anforderungen an solche Projekte auf, wie etwa die Koordination zwischen einheimischen und ausländischen Archivaren, das Risiko ungebetener Einmischung und die Weitergabe archivischer Fähigkeiten und Kenntnisse.

## Zugang zu und Demokratisierung von Informationen: Die Dokumentation von Kriegsgräueln durch die liberianische TRC

Proscovia Svärd

Der Wiederaufbau Liberias nach dem Bürgerkrieg sollte im Zusammenhang mit der Einrichtung einer Wahrheits- und Versöhnungskommission (TRC) auch eine Informationsstruktur beinhalten, um Untersuchungsergebnisse der Kommission in der Bevölkerung zu verbreiten. Die Verwaltung der gesammelten Informationen sollten Archivare und Informationsmanager planen. Im permanenten Dokumentationsprozess der TRC entstehen zusammenhängende Unterlagen. Damit sie den Zweck erfüllen, für den sie geschaffen werden, muss für eine geeignete Aufbewahrung und für Auswertungsmöglichkeiten gesorgt werden. Der Artikel stützt sich auf Erfahrungen aus den kürzlich abgeschlossenen Dokumentationsaufgaben der TRC von Sierra Leone. Nur wenn die Informationen zugänglich sind, können Bürger und Organisationen der Zivilgesellschaft die Regierung zur Umsetzung der TRC-Empfehlungen befragen. Informationszentren, wie das Nationalarchiv Liberias und Bibliotheken, odereineunabhängigeNachfolgeeinrichtung müssen so ausgestattet werden, dass sie das Informationsmanagement bewältigen können. Das Archiv der TRC ist eine nationale Dokumentation und ein kollektives Gedächtnis der Kriegsgräueln. Die TRC von Liberia wurde gegründet, um die von 1979 bis 2003 an der Zivilbevölkerung begangenen Kriegsverbrechen zu dokumentieren. Der Umgang mit den gesammelten Informationen ist grundlegend für den Regenerations-, Demokratisierungs- und Versöhnungsprozess.

## Die Kluft zwischen Datenschutz und Schriftgutverwaltung schließen

Sharon Alexander-Gooding, Ineke Deserno

In der Welt von morgen wird für die Zukunftsfähigkeit unserer Organisationen und ihr Risikomanagement entscheidend sein, wie wir die Daten verwalten, die wir erzeugen, übernehmen und verwahren. Eine Vielzahl von Regelungen wird zu beachten sein, und niemand kann mehr ad hoc Informationen speichern oder horten. Von den Verantwortlichen für das Schriftgut dürfen Daten, besonders personenbezogene Daten, nicht mehr für andere Zwecke aufbewahrt werden als für den Erhebungszweck. Dies wird sich auch auf die sonstigen Unterlagen auswirken, die in die Archive gelangen, und dem Prinzip des unparteilichen Umgangs mit den Archivbeständen eine neue Bedeutung geben. Außerdem müssen Archivare und Schriftgutverwalter „neuen Regeln“ folgen, von denen sich die meisten permanent ändern und sich innerhalb geografischer Grenzen und Räume unterscheiden werden.

Die Datenschutzgesetzgebung beruht auf den allgemeinen Menschenrechten und strebt danach, das informationelle Selbstbestimmungsrecht zu sichern. Sie richtet sich auf personenbezogene Unterlagen und ihre elektronische Verarbeitung. Um die Forderungen und Prinzipien der Datenschutzgesetzgebung zu erfüllen, müssen Archivare und Schriftgutverwalter ihre Arbeitsabläufe und –prozesse anpassen, damit alle personenbezogenen Informationen nach geordneten Verfahren erhoben und verarbeitet werden, damit diese Informationen nur für die Erhebungszwecke und außerdem sicher, korrekt und sachgerecht aufbewahrt werden, damit sie nicht länger gespeichert werden als nach dem Erhebungszweck erforderlich und damit Zugangsrechte zu personenbezogenen Daten beachtet

werden. Verstöße gegen diese Regelungen werden zu Sanktionen führen, einschließlich Geld- und Gefängnisstrafen.

Angesichts der entscheidenden Rolle der Archivare und Schriftgutverwalter bei Verwaltung und Schutz des dokumentarischen Erbes sowie der Notwendigkeit, eine Vielzahl von Regelungen und Ordnungen zu beachten, heben die Autoren einige „Regeln und Vorschriften“ hervor. Im ersten Teil des Textes liefert Sharon Alexander-Gooding detaillierte Informationen über den Datenschutz. Vorgestellt werden Grundprinzipien, Verantwortlichkeiten und Begriffe des Datenschutzes sowie die Notwendigkeit, einige zentrale Prozesse und Arbeitsabläufe zu erneuern, damit die sich ständig ändernden Regelungen bei der Übernahme, Verarbeitung und Speicherung von Informationen erfüllt werden. Der zweite Teil des Textes, verfasst von Ineke Deserno, untersucht den Datenschutz auf europäischer Ebene und hebt die Hauptaspekte der EU-Datenschutzgesetzgebung hervor. Außerdem betrachtet er die besondere Beziehung zwischen dem EU-Datenschutz und der Informationsfreiheitsgesetzgebung.

## **Betreuung von Verwaltungsunterlagen über die Umsiedelung der Bewohner aus dem Bereich des Drei Schluchten Stauwerks am Jangtse Fluss**

**Wang Yanmin**

Die Umsiedlung der Bevölkerung infolge des „Drei Schluchten Stauwerkprojekts“ am Jangtse Fluss in China wird sich auf 1.35 Millionen Menschen auswirken. Die Verwaltungsunterlagen über das Umsiedlungsprojekt sind von großer Bedeutung: zur Feststellung der Auswirkungen der Umsiedlung auf die betroffenen Gebiete und die dortige Bevölkerung, zur Wahrung der Rechte der umgesiedelten Bevölkerung, um künftigen Generationen

die Familienforschung zu ermöglichen und die Staatsverwaltung bei rechtlich nachvollziehbarem Verwaltungshandeln und der Entscheidungsfindung zu unterstützen. In Erkenntnis der Bedeutung dieser Aktenbestände hat der Staat eine Reihe von Maßnahmen ergriffen, einschließlich einschlägiger Vorschriften, Projektüberwachung und Mittelbereitstellung, um sicher zu stellen, dass die Aktenbestände archiviert, geordnet und zugänglich gemacht werden.

## **Sondersendung: die Botschaft über Archive in Nordamerika verbreiten**

**Shelley Sweeney**

Archivare haben erkannt, dass es immer wichtiger ist, für Archive zu werben, um ihnen gesellschaftliche Anerkennung sowie moralische und finanzielle Unterstützung zu sichern. Archivarsvereine in Nordamerika haben dabei die Archive in den Mittelpunkt gestellt, während andere berufsständische Organisationen, wie Anwalts-, Ingenieur- und Ärztevereine, fast ausschließlich für ihren Berufsstand werben. Bevor der Archivarsberuf größere Anerkennung finden kann, müssen Archive jedoch zunächst ihr Profil schärfen. Kanadische Archivarsverbände haben Internetseiten mit Hilfsmitteln, Tagungsmaterialien, Ausstellungen und Radiosendungen veröffentlicht und die erfolgreiche „Québec Declaration on Archives“ verfasst, die die Öffentlichkeit um Mithilfe bittet, damit die Arbeit von Archiven anerkannt und Archive erhalten und zugänglich gemacht werden. Die Gesellschaft Amerikanischer Archivare hat einen „Monat der Archive“ mit einem Poster und Werbematerial gefördert, mit denen Archivare für ihre Einrichtungen werben können. Einzelne Archive in den USA und Kanada haben damit experimentiert, ihre Unterlagen über Blogs, RSS-Feeds, Links zu Wikipedia, YouTube, Flickr und Footnote.com bekannt zu machen, und die Möglichkeiten von Web 2.0 genutzt. Alle diese Werbemaßnahmen waren in beschei-

denem Umfang erfolgreich, haben aber wenigstens die Archivare davon überzeugt, dass Öffentlichkeitsarbeit für die Archive und für sie selbst notwendig ist.

## **Archive und ihre Communities: im Dienst der Menschen**

**Andrew Flinn**

Der Beitrag „Archive und ihre Communities: im Dienst der Menschen“ skizziert aktuelle Diskussionen über die Entwicklung und die Bedeutung dessen, was in Großbritannien als unabhängige Community-Archive und Community-Engagement bezeichnet wird. Gestützt auf Forschungen am University College London, die vom britischen „Arts and Humanities Research Council“ gefördert wurden, stellt der Artikel Beispiele unterschiedlicher Aktivitäten der Community-Archive vor. Im Bemühen, die Zukunftsfähigkeit solcher unabhängiger und von Communities gehaltener Sammlungen zu unterstützen, wird untersucht, ob Tätigkeiten wie Öffentlichkeitsarbeit, „Diversity Training“ und „Post-custodial Support“ jetzt als archivarische Kernaufgaben angesehen werden (wenigstens in öffentlichen Archiven) und, falls das zutrifft, inwieweit dies in Lehrplänen zur Archivarsausbildung berücksichtigt werden soll.

## **Die russischen Archive innerhalb des öffentlichen Dienstes**

**Vladimir Kozlov**

Der Artikel beschäftigt sich mit der wichtigen Rolle der Archive in der modernen Informationsgesellschaft, insbesondere in Ländern, die innere und äußere Katastrophen erlebt haben. Die Archive haben eine wichtige Funktion dabei, diese Erfahrungen zu verstehen und aufzuarbeiten. Das 20. Jahrhundert war in Russland durch große Umwälzungen gekennzeichnet. Seit der Mitte der 1980er Jahre offenbarte sich der hohe Stellenwert der

Archive. Die Art und Weise ihrer Benutzung nahm zu. Der Artikel hebt in diesem Zusammenhang einige neue Aufgaben hervor: Die Rehabilitation von Opfern der Verfolgung, die Klärung des Schicksals von Kriegstoten des 2. Weltkrieges und von Kriegsgefangenen oder auch Entschädigungszahlungen für Insassen von Konzentrationslagern. Die Dokumentation der Wiedergutmachungsverfahren und die große Zahl von Anfragen zu Einzelpersonen und zu rechtlichen Verhältnissen fanden in vielen Datenbanken ihren Niederschlag. Seit den 1990er Jahren haben sich die Verhältnisse geändert und das Leistungsangebot der russischen Archive entspricht heute annähernd den Anforderungen der Gesellschaft.



# Resúmenes

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## **Los Archivos y sus aliados: Gestión archivística para el buen gobierno – introducción**

**Ross Gibbs**

Se trata de una introducción a la sesión, estableciendo el contexto en el cual un Archivero Nacional ha invitado a un Auditor General, a un Defensor del Pueblo y a un Comisionado para la Función Pública a asistir al Congreso Internacional de Archivos.

## **Archivos, auditores y responsabilidad – alianzas estratégicas**

**Des Pearson**

Archivos y documentos son fundamentales para la transparencia y el gobierno responsable. En Australia, continúa incrementándose el número de alianzas estratégicas entre los archivos y las “autoridades responsables” (por ejemplo, aquellas unidades de la inspección y monitorización que actúan en el ámbito de las oficinas del sector público y que dirigen los estándares de gobierno). En la pasada década, el trabajo de auditoría ha identificado los desafíos clave para la gestión documental en la administración, incluyendo la falta

de planificación estratégica, la gestión de documentos electrónicos y la incompatibilidad entre las directrices y las normas y estándares existentes. La revisión por parte de la Oficina del Auditor General del Estado de Victoria de cerca de un centenar de oficinas destaca ciertos puntos de un gran interés que va más allá del sector público. Mientras algunas de estas preocupaciones se han abordado ya mediante alianzas entre gestores de documentos y profesionales de la administración, la comunidad archivística debe continuar abarcando los objetivos que comparten con las autoridades responsables y promoviendo que la gestión documental figure en la agenda inspectora del sector público.

## **Archivos y Defensor del Pueblo – aliados naturales**

**Leo Donnelly**

Los archiveros y los Defensores del Pueblo son aliados naturales en la causa común del buen gobierno. En primer lugar, una buena gestión archivística, como la que promueven los archiveros, puede ayudar a prevenir situaciones de mala administración, reduciendo así la posibilidad de las investigaciones de los Defensores del Pueblo cuando se requieren. En segundo lugar, los documentos pertinentes ayudarán al Defensor del Pueblo cuando se produzca

una investigación o, por el contrario, la ausencia de documentos apropiados puede dificultar esa investigación. Este artículo ilustra sus argumentos con referencias a las investigaciones realizadas en 1995 por la tragedia de Cave Creek en Nueva Zelanda. Hace una llamada a los archiveros y a los Defensores del Pueblo para colaborar activamente y avanzar en el interés mutuo por el buen gobierno.

## **Archivos, gobierno y desarrollo – diseñar la sociedad del futuro**

**Rigo A. Lua**

Se trata de la perspectiva de un Comisionado para la Función Pública sobre la importancia de una buena gestión de los archivos públicos y de cómo puede trabajar junto con los archiveros para conseguir una mejora en este campo.

## **« Mi archivo y yo » o cómo una asociación puede ayudar a los archiveros a sensibilizar a los funcionarios**

**Alice Grippon**

La Asociación de Archiveros Franceses, que deseaba trabajar en la sensibilización de los funcionarios, ha encontrado un medio de hacer que se hable de nuestra profesión: un folleto desplegable con un texto claro y un formato atractivo. La profesión sufre un déficit de imagen, es necesario modificar nuestras maneras de comunicar para vivir y sobrevivir, así que para mejorar la gestión cotidiana de los archivos, lo más rápidamente posible. Esto responde a un intento de los archiveros de simplificar y clarificar de cara a la divulgación del discurso profesional y de nuestro trabajo. La prioridad de la Asociación es sensibilizar al futuro funcionario sobre la producción de documentos e integrar en su trabajo la adquisición de reflejos de buena gestión documental, al mismo tiempo que

a prede a redactar un oficio o a conocer los derechos y los deberes de los funcionarios. Para facilitar este proyecto, se ha puesto en marcha un instrumento de comunicación. Presentado al Congreso Internacional de Archivos, este artículo describe el desplegable, el enfoque que contiene, así como los nuevos proyectos asociados.

## **La gestión de documentos activos y semiactivos como contribución al buen gobierno en los países en desarrollo: el ejemplo del Ministerio de Economía y Hacienda en Senegal**

**Fatou Ngom**

Senegal adoptó un programa de buen gobierno en 2001. El Ministerio de Economía y Hacienda (MEH) está encargado de implementar la política nacional en las áreas económica y financiera; en consecuencia, es directamente responsable del contenido económico del programa. En junio de 2003, como parte del programa, el gobierno de Senegal, en colaboración con el Banco Mundial y otros socios de desarrollo, llevaron a cabo un ejercicio de asesoría de un sistema de gestión de las finanzas públicas, con el fin de evaluar la eficiencia de la gestión de los recursos públicos y llevar a cabo las medidas correctivas apropiadas. Este ejercicio identificó los principales fallos del sistema de gestión de las finanzas públicas a todos los niveles de la cadena fiscal y propuso mejoras en ciertas áreas, incluyendo el sistema de gestión documental en el MEH. La implementación de las recomendaciones subsiguientes condujo al diagnóstico y evaluación de las necesidades más urgentes del MEH en el campo de la gestión documental y estableció un plan de emergencia para mejorarlo. Este plan abrió el camino para establecer un programa consistente de archivo, con la creación de comité técnico responsable de implementar el plan y de circular las directrices sobre áreas tales como los sistemas



electrónicos de gestión, y la capacitación de gestores de la información.

## **La gestión documental en el sector corporativo de Malaysia: ¿Son conscientes las instituciones financieras de la importancia de ajustarse a la normativa legal?**

**Zawiyah Mohammad Yusof,  
Umi Asma' Mokhtar**

El objetivo de este informe es identificar si las instituciones financieras de Malaysia son conscientes de las leyes y normativa existentes (Companies Act and Regulation 1966; Bank Act y Financial Institution Act (BAFIA) 1989); del Bankers Book (Evidence Act 1989); y de la Evidence Act, que rigen la gestión documental en la administración. Los objetivos de este estudio eran investigar si las instituciones financieras se ajustan a esta normativa; si el lenguaje utilizado para expresar las normas es comprensible en el mundo de los negocios; y si estas instituciones adoptan las actitudes correctas para la gestión documental. Se llevó a cabo una encuesta en 2005, que implicó a diez de estas instituciones. El resultado fue afirmativo: las instituciones financieras en Malaysia son conscientes de la existencia de la normativa legal. Sin embargo, la gestión documental no se tiene en cuenta como una prioridad y existe una falta de apoyo para su cumplimiento. Todos estaban de acuerdo en los beneficios que conlleva la existencia de programas de gestión documental, pero no toman las medidas apropiadas, así como no se consideran acuciantes estas necesidades.

## **BARM - Bangladesh Archives & Records Management: un programa para la administración democrática**

**Florus Geraedts**

Describe el problemático estado de los archivos en Bangladesh y el trabajo de BARM, que pretende elevar la conciencia sobre la importancia de una buena gestión de archivos, establecer alianzas estratégicas y financiar nuevas instalaciones de archivos, tanto públicos como privados, en ese país.

## **El modelo de innovación administrativa para los archivos presidenciales en Korea**

**Young-nam Lee**

Este artículo informa sobre cómo fue planificado el modelo de innovación administrativa para los archivos presidenciales y cómo se llevó a cabo entre 2004 y principios de 2008. La hoja de ruta se diseñó en 2004 con la inauguración del anterior presidente, Roh Moo-hyun, y se terminó con la fructífera transferencia de los documentos de su mandato al Archivo Presidencial en febrero de 2008. Las siguientes evidencias han demostrado que el modelo ha tenido éxito: el establecimiento del Archivo Presidencial que reúne y gestiona los documentos de los presidentes de gobierno, la publicación del Acta de Gestión del Archivo Presidencial y haber completado la transferencia de ocho millones de expedientes presidenciales en papel y en formato electrónico durante cinco meses entre octubre de 2007 y febrero de 2008. El autor relaciona los siguientes factores como determinantes en el éxito del proyecto: la filosofía y el compromiso del propio presidente para que el modelo se llevara a cabo, el duro trabajo del equipo a cargo y la estrecha colaboración entre el Archivo Presidencial, el Gabinete del Presidente y las instituciones archivísticas

públicas. Es también esencial la participación de los funcionarios profesionales en el proyecto para alcanzar el objetivo administrativo de buen gobierno.

## Archivos y sus aliados

**Danielle Wickman**

En las Islas Solomon, el Archivo Nacional estableció ciertas alianzas dentro de la administración para realizar mejoras en los sistemas y procedimientos de archivo. Mientras algunas alianzas fueron altamente satisfactorias, en otros casos no lo fueron tanto. Este informe trata sobre los resultados de cada una de ellas y examina los factores que pueden conducir al éxito.

## Propuesta de estructura del proyecto « La memoria digital de la sociedad: los Archivos Notariales »

**María José Justo**

Los documentos notariales son esenciales para el estudio de la historia urbana, por cuanto registran la mayoría de las actividades de la mayoría de los hombres, en lo que se puede definir como “gestiones de la vida ordinaria”, así como las situaciones que se pueden calificar de extraordinarias, o de comportamientos no acordes con las normas de la sociedad. El protocolo es, por lo tanto, el fiel reflejo de la sociedad de un momento determinado.

El objetivo fundamental de este proyecto es conocer las fuentes notariales existentes en los setenta y seis países que tienen notariado (estado, volumen, dimensión), su localización, y la posibilidad de acceder a la información desde cualquier punto y a cualquier lugar.

Se propone la descripción unificada en todos los archivos notariales, utilizando la norma internacional ISAD (G), a distintos niveles y la elaboración de un Tesoro General, por materias, por países, por negocios jurídicos y por tipo documental.

Se cuenta con la experiencia realizada en el Archivo Histórico Universitario de Santiago de Compostela, que custodia, entre otros el Fondo de Protocolos Notariales de la provincia de A Coruña, con el que se está realizando una tarea descriptiva de esta naturaleza, a lo que se suma su digitalización.

Estas acciones conllevan un doble beneficio: por una parte, la optimización del acceso y, por la otra, la conservación de los protocolos originales.

## Cuando la cooperación internacional implica a los archivos: el ejemplo de Túnez

**Christophe Jacobs**

Los programas de cooperación externa de la Comisión Europea (EuropeAid) dedican una parte de sus presupuestos a proyectos de mejora de gobierno como garantía de los derechos básicos. Algunos de ellos tienen por objeto reforzar la capacidad del sistema judicial del país e implican objetivos que conciernen a la gestión archivística. Esto ya ha sucedido en varios países como Marruecos y ahora Túnez. En lo que se refiere al Ministerio de Justicia y Derechos Humanos de Túnez, este artículo plantea los desafíos de dichos proyectos tales como la coordinación entre archiveros de diferentes ámbitos territoriales, el riesgo de “interferencia archivística” y la transferencia de habilidades y conocimiento archivísticos.

## Acceso y democratización de la información: la documentación de las atrocidades de la guerra de la Comisión de la Verdad y la Reconciliación de Liberia

**Proscovia Svärd**

La reconstrucción de Liberia tras el conflicto bélico debería haber incluido el establecimiento de una infraestructura de

información en el inicio de la actuación de la Comisión de la Verdad y la Reconciliación (CVR) para promover la difusión de sus trabajos a los ciudadanos. La CVR debería haber incluido entre su personal a archiveros y profesionales de la información que planificaran el tratamiento de la información que estaba siendo generada. El proceso en marcha de documentación generará documentos que requerirán instalaciones apropiadas para su conservación y canales de difusión si es que quiere servir al propósito para el que ha sido creada. Este artículo reúne las recientes experiencias sobre el proceso de documentación llevado a cabo en la Comisión de Sierra Leona. Es a través del acceso a la información cuando los ciudadanos y las organizaciones de la sociedad civil pueden preguntar al gobierno sobre la implementación de las recomendaciones de la CVR. Las instituciones de tratamiento de la información, tales como los Archivos Nacionales de Liberia y las bibliotecas, o una institución de seguimiento independiente, necesitarán estar equipadas de manera que sean capaces de comprometerse con el tratamiento de la información. Los archivos de las CVR constituyen la memoria colectiva de las atrocidades de la guerra. La CVR de Liberia fue establecida para documentar las atrocidades que se cometieron contra la población civil en el periodo 1979–2003. La gestión de la información de la documentación generada es vital para los procesos de cura, democratización y reconciliación.

## Unir el abismo entre la protección de datos y el trabajo de archivo

**Sharon Alexander-Gooding,  
Ineke Deserno**

En general, la legislación sobre protección de datos se basa en los derechos humanos y busca asegurar el derecho individual a la privacidad de la información personal. Se centra en los ficheros manuales estructurados y en el tratamiento informatizado de esos datos. Para

cumplir los requerimientos y los principios establecidos por dicha legislación, los archiveros y gestores documentales deben corregir sus procedimientos para asegurar que cualquier información personal sea obtenida y tratada adecuadamente, que esta información se guarde solamente para los fines originariamente establecidos, que se mantenga a salvo, segura y actualizada, que no se retenga más allá del tiempo establecido para el propósito inicial de la recogida, y que el derecho de acceso a los datos personales sea aplicado. Un error en el cumplimiento de estas medidas puede acarrear sanciones económicas y la cárcel.

Teniendo en cuenta el papel crítico que los archiveros y gestores documentales ejercen como administradores y custodios del patrimonio documental, y la necesidad de aplicar una miríada de regulaciones y requisitos estatutarios, los autores de este artículo intentan destacar algunas "reglas y normas". La primera parte, elaborada por Sharon Alexander-Gooding, proporciona información detallada sobre la privacidad y la protección de datos de carácter personal. Destaca los principios clave, responsabilidades y terminología de la protección de datos, así como la necesidad de hacer una nueva ingeniería de algunos de los procedimientos vitales que tramitamos en la captura de la información, tratamiento y conservación para el acceso, de cara a enfrentarse con los siempre nuevos y cambiantes requerimientos. La segunda parte, preparada por Ineke Deserno, trata de la protección de datos personales en el nivel europeo, destacando los puntos clave de la legislación de la Unión Europea (UE). Además, aborda la delicada relación entre la protección de datos personales de la UE y la legislación sobre el acceso a los documentos (o libertad de información).

En el mundo del mañana, la forma en que organicemos y gestionemos los datos que producimos, recibimos y mantenemos, será crítica para la sostenibilidad de nuestra organización y la gestión de riesgos. Los requerimientos regulados inciden en lo que debemos abordar y uno no puede ya nunca

más almacenar información de forma ad hoc. Los gestores documentales no pueden encargarse de guardar datos, en particular, información personal para un uso distinto de aquél para el que fue creado o recogido. Esto tendrá su impacto en la información residual que llegará a los archivos y añade un nuevo significado al principio de imparcialidad dentro del fondo. Además, archiveros y gestores documentales tienen que seguir nuevas reglas, la mayor parte de las cuales cambian con frecuencia y pueden diferir según los límites o localidades geográficas.

## **Gestión de documentos relativos al realojo de población desplazada por la presa de las gargantas del río Yangtze: pieza clave para gobierno y desarrollo**

**Wang Yanmin**

El reasentamiento de la población resultante del proyecto de la presa de las Tres Gargantas del río Yangtze en China afectará a alrededor de 1.35 millones de habitantes. Los documentos relacionados con el proyecto de realojo son enormemente importantes: para registrar los efectos del reasentamiento en las áreas y poblaciones afectadas, para proteger sus derechos y permitir a las generaciones futuras que tengan información sobre sus familias, y para ayudar a que las administraciones efectúen políticas y tomen decisiones basadas en evidencias documentales. Reconociendo la importancia de estos documentos y archivos, el Estado ha tomado una serie de medidas, que incluyen una normativa específica, supervisión y recursos asociados al proyecto, para asegurar que los documentos eran recogidos, organizados y puestos a disposición de los ciudadanos.

## **Envío especial: difundir el mensaje sobre los archivos de los Estados Unidos de Norteamérica**

**Shelley Sweeney**

Los archiveros han llegado a darse cuenta que es cada vez más importante promover los archivos de cara a asegurar el reconocimiento por parte de la sociedad y el apoyo moral y presupuestario. Las Asociaciones profesionales de archiveros en Norteamérica han estado promocionando los archivos, mientras otras sociedades profesionales, tales como las que representan a abogados, ingenieros y médicos, han estado casi exclusivamente dedicadas a promover a sus profesiones. Los archivos, sin embargo, necesitan un perfil más alto antes de que la profesión archivística pueda ganar reconocimiento. Las asociaciones de archiveros canadienses han creado páginas web con recursos, conferencias, audiovisuales y programas radiofónicos, y han desarrollado la exitosa "Declaración de Québec sobre los Archivos", que pide a los miembros del público que ayuden a asegurar que la gestión de los archivos sea valorada y que los documentos sean conservados y accesibles. La Sociedad de Archiveros Americanos ha promovido el Mes de los Archivos a través de un paquete que proporciona un póster y recursos para archiveros para promocionar los archivos. Archivos individuales de los Estados Unidos y Canadá han hecho un experimento mediante la presentación de sus documentos a través de blogs, enlaces a Wikipedia, You Tube, Flickr y Footnote.com, usando las capacidades de Web 2.0. Todos estos esfuerzos promocionales han sido modestamente exitosos, pero al menos se ha ganado la batalla de que se reconozca que los archiveros deben promocionarse ellos mismos y los archivos.

## Los archivos y sus comunidades: servir a las personas

**Andrew Flinn**

El artículo expone brevemente algunos debates actuales sobre el crecimiento y el impacto de lo que en el Reino Unido se conoce como archivos y compromiso de una comunidad independiente. Basada en parte en una investigación realizada en UCL, financiada por el Consejo de Investigaciones en Artes y Humanidades del Reino Unido, el artículo ofrece ejemplos de la variedad de actividades de archivos de comunidades. Finalmente, en el contexto de la búsqueda de apoyo a la viabilidad de las mencionadas colecciones de este tipo, independientes y conservadas por las comunidades, el artículo examina si las actividades, como la asistencia, formación diversificada y sostenimiento tras la conservación, pueden ahora ser consideradas como responsabilidades archivísticas profesionales de primer orden (al menos en los archivos del sector público) y si es así, hasta qué punto esto podría reflejarse en los programas de enseñanza de archivística.

## Los archivos rusos en el servicio público

**Vladimir Kozlov**

El artículo se centra en el importante papel jugado por los archivos en el actual mundo de la información, especialmente en aquellos países en los que han acontecido cataclismos internos y externos. Los archivos representan la herramienta más importante para comprender estas experiencias y para recuperarse de ellas. Rusia sufrió grandes perturbaciones durante el siglo XX; desde mediados de la década de 1980 se hizo visible la gran necesidad de los archivos y tuvo lugar una expansión en la forma en que eran utilizados. El artículo destaca los desafíos afrontados en el marco de estos nuevos requerimientos: la rehabilitación de las víctimas de la represión,

la identificación de los caídos durante la Gran Guerra Patriótica (1941-1945) y de los prisioneros de guerra, el pago de indemnizaciones a los reclusos. La documentación de los procedimientos de rehabilitación, la gran cantidad de peticiones individuales y legales, han llevado a la creación de un gran número de bases de datos. Desde finales de los 90, la situación ha cambiado y hoy en día el potencial de los archivos de Rusia está más adecuado a las necesidades de la sociedad.



# Резюме

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## **Архивы и их союзники: делопроизводство для хорошего управления - введение**

**Росс Гиббс (Ross Gibbs)**

Вводное слово, объясняющее причину, по которой Национальный Архивист предложил Главному аудитору, омбудсмену и специальному уполномоченному по вопросам обслуживания населения обратиться к Международному конгрессу по архивам.

## **Архивы, аудиторы и подотчетность – стратегические союзы**

**Дез Пирсон (Des Pearson)**

Документы и ведение учета документов являются основными составляющими открытого и ответственного государства. В Австралии количество стратегических союзов между архивами и «подотчетными органами власти» (т.е. те наблюдательные и контролирующие органы, которые окружают государственные агентства и которые создают руководящие принципы (стандарты)) продолжает расти. В прошлом веке аудиторская работа определила ключевые проблемы государственного делопроизводства, учитывая недостаток стратегического планирования, управления электронными документами

и несовместимость управления с существующими стандартами. Отчет о проверке Главным аудиторским государственным учреждением штата Виктория в 2008 г. более 100 агентств освещает вопросы, вызывающие значительный интерес со стороны общественного сектора. В то время как некоторые из этих проблем уже выносились на обсуждение с специалистами по делопроизводству и органов управления, сообщество по введению учета документов должно продолжать продвигаться к достижению общих целей с подотчетными органами власти и продолжать выдвигать вопрос делопроизводства на повестку дня государственного наблюдательного сектора.

## **Архивы и омбудсмены - естественные союзники**

**Лео Доннелли (Leo Donnelly)**

Архивисты и омбудсмены - естественные союзники в области хорошего управления. Во-первых, хорошее делопроизводство (как пропагандируют архивисты) может помочь предотвратить случаи плохого управления, таким образом, сокращая вероятность требуемых расследований омбудсменов. Во-вторых, должная документация поможет омбудсменам в процессе проведения расследования или, наоборот, отсутствие документов может препятствовать такому рассле-

дованию. В статье приводятся аргументы на примере расследования трагедии в Новой Зеландии в пещере «Cave Greek» в 1995 году. Статья призывает архивистов и омбудсменов к активному сотрудничеству с целью содействия общим интересам в области хорошего управления.

## **Архивы, управление и развитие - проектирование будущего общества**

**Риго А. Луа (Rigo A. Lua)**

Представление члена Комиссии по вопросам госслужбы (PSC) о важности хорошего государственного делопроизводства и о том, как архивисты и члены Комиссии по вопросам госслужбы могут сотрудничать, чтобы добиваться улучшений в этой области.

## **«Мой архив и я» или как ассоциация может помочь архивистам обучить государственных служащих**

**Алис Гриппон (Alice Grippon)**

Французская ассоциация архивистов, в своем желании привлечь большее внимание со стороны государственных служащих к профессии, нашла новую форму: буклет, написанный понятным языком и с привлекательным оформлением. Профессии не хватает престижа, и таким образом, нужно модифицировать наш способ общения, если мы должны выжить и процветать, а также улучшить каждодневное управление архивами как можно скорее. Архивистам нужно упростить и разъяснить профессиональный жаргон, чтобы их работа была более «понятной». Приоритетом для Ассоциации было важно научить будущих государственных служащих во время их обучения, внедрять передовые методики делопроизводства в их работу, в той же мере как они учатся писать отчеты или понимать правила и обязанности в государственном секторе. Инструмент, для облегчения этого процесса в настоящее время существует. Буклет, презентация которого состоялась на Международном конгрессе

архивов, подходы, которые он пропагандирует, а также новые проекты, связанные с ним, рассматриваются в статье.

## **Управление документацией как одна из основ результативного управления в развивающихся странах: пример Министерства экономики и финансов в Сенегале.**

**Фатю Нгом (Fatou NGOM)**

Сенегал принял национальную программу по результативному управлению в 2001 г.. Министерство экономики и финансов (МЭФ) ответственно за осуществление национальной политики в сфере экономики и финансов; следовательно, МЭФ также отвечает за экономический компонент программы. В июне 2003 г. как часть программы, правительство Сенегала при сотрудничестве с Всемирным банком и другими партнерами по реализации проекта провело акты оценки государственной системы управления финансами для того чтобы определить эффективность управления государственными ресурсами и произвести соответствующие корректирующие действия. Эти акты оценки вывели основные ошибки государственной системы управления финансами на всех уровнях фискальной сети и предложили улучшения в определенных областях, включая систему делопроизводства в Министерстве финансов и экономики. Выполнение последующих рекомендаций привело к диагностике и оценке срочных потребностей МЭФ в сфере делопроизводства и установлению срочного плана по улучшению системы делопроизводства. Этот план открыл путь к упорядочиванию наполнения и программы по делопроизводству, а также к основанию технического комитета ответственного за выполнение плана и за циркуляцию правил в таких сферах как электронные системы управления, а также разработка информационных управленческих мощностей.



## **Делопроизводство в корпоративном секторе Малайзии: Осознают ли финансовые учреждения важность исполнения соответствующих законов и инструкций?**

**Завия Мохаммад Юсоф,  
Юми Асма Мохтар  
(Zawiyah Mohammad Yusof  
and Umi Asma' Mokhtar)**

Цель этого доклада состоит в том, чтобы определить, знают ли финансовые учреждения в Малайзии о законах и постановлениях (закон и постановление о компаниях от 1966г.; закон о банках и закон о Финансовом учреждении (BAFIA) 1989г.); Книга банкиров (закон 1989г.); которыми руководствуются в делопроизводстве. Целью этого исследования было выяснить, соблюдают ли финансовые учреждения соответствующие законы и постановления; понятен ли язык законов и постановлений фирмам; применяют ли эти учреждения правильные подходы в отношении делопроизводства. Десять финансовых учреждений были вовлечены в исследование, которое проводилось в 2005 году. Результаты показывают, что финансовые учреждения в Малайзии знают о законах и постановлениях. Однако, делопроизводство не являлось приоритетом, поскольку недостаточно соблюдаются эти законы и постановления. Респонденты соглашались с преимуществом наличия (владения) программами по делопроизводству, но они не делают соответствующих шагов, поскольку эти задачи не кажутся необходимыми

## **БАРМ – Архивы и делопроизводство Бангладеш: программа для демократичного управления.**

**Флорус Гераедтс (Florus Geraedts)**

Описывает проблематичное состояние архивов и делопроизводства в Бангладеш и работу БАРМ, который пытается убедить в важности хорошего делопроизводства,

задуманных стратегических союзов, создании возможностей для государственного и частного делопроизводства в этой стране.

## **Инновационная модель корейского правительства для президентских документов**

**Юн Нам Ли (LEE Young-Nam)**

Этот доклад бумага иллюстрирует, как в период с 2004 до начала 2008 гг. была запланирована, создана и введена в действие корейская инновационная правительственная модель для президентских документов. Дорожная карта инноваций для президентских документов была спроектирована в 2004 г. при инаугурации прежнего президента, Ро Му Хуна и был закончен успешной передачей документов его президентства в Президентский архив в феврале 2008 г. Успешность инновационной модели для президентских документов была доказана учреждением Президентского архива, который собирает и управляет документами всех прежних президентов, формулированием Акта об Управлении Президентским архивом, и полной передачей восьми миллионов дел президентских документов на бумаге и электронной форме в течение пяти месяцев между октябрём 2007 и февралём 2008 гг. Автор вносит в список в список критических факторов успеха инновационной модели для президентских документов следующие: философию и обязательство президента непосредственно поддерживать инновации в области управления президентскими документами, упорный труд специальной группы по инновациям, и тесное сотрудничество Президентского архива, Администрации Президента, государственных архивов и делопроизводственных структур. Участие гражданских профессионалов в создании инновационной модели также существенно для решения поставленных задач в области политики и управления.

## Архивы и их союзники

Даниэль Викмэн (Danielle Wickman)

На Соломоновых Островах Национальный архив образовал союзы внутри правительства, чтобы усовершенствовать систему и процессы делопроизводства. В то время как некоторые союзы имели огромный успех, другие попытки были менее удачными. Этот доклад рассматривает результаты, достигнутые каждым союзом, и исследует факторы, которые могут привести к созданию успешного союза.

## Цифровая память общества: проект нотариальных архивов

Мария Хосе Хусто (Maria José Justo)

Нотариальные документы необходимы для изучения городской истории, поскольку они сохраняют записи о большинстве действий большинства людей в плане управления как их 'обычной жизнью', так и ситуациями, которые могут быть описаны как 'экстраординарные', в смысле поведения за рамками обычных норм общества. Нотариальные записи, поэтому, честное отражение общества в любой определенный момент. Главная цель этого проекта состоит в том, чтобы идентифицировать существующие нотариальные источники (их состояние, объем, охват и расположение) в 76 странах, где существует профессия нотариуса, и определить возможность доступа к информации из любого пункта и места. Это послужит созданию объединенного многоуровневого описания всех нотариальных архивов, с использованием стандарта ISAD (G), и позволит подготовить Общий тезаурус, по предмету, стране, типу юридического дела и типу документов. Существует опыт такой работы в Университетском историческом архиве Сантьяго-де-Компостелы, в хранилищах которого хранятся нотариальные отчеты области Ла-Корунья, которые описываются и переводятся в цифровую форму. Это имеет двойную выгоду: с одной стороны - оптимизация доступа, с другой - сохранение оригиналов.

## Когда международное сотрудничество касается архивов: пример Туниса

Кристоф Джейкобс (Christophe Jacobs)

В программах международного сотрудничества Европейской Комиссии (EuropeAid) часть бюджета выделяется на проекты по улучшению управления в целях гарантий основных прав. Некоторые из них ориентированы на усиление возможностей юридической системы страны, а также задачи, касающиеся управления архивами. Так уже было в нескольких странах, включая Марокко, а теперь и Тунис. Ссылаясь на Министерство юстиции и прав человека Туниса, статья излагает такие цели проектов, как координация между местными и зарубежными архивистами, решение проблем рисков «архивного вмешательства», передача архивных знаний и навыков.

## Доступ и демократизация информации: Документация о преступлениях войны Комиссии по установлению дружеских отношений и истины (TPC) Либерии

Просковья Свэрд (Proscovia Svärd)

Послевоенное восстановление Либерии должно включать установление информационной инфраструктуры под началом ТРС с целью распространения полученных данных в обществе. В состав персонала ТРС должны были бы входить архивисты и специалисты по информации, которые проектировали бы управление переработанной информации. Процесс переработки текущей документации образует основные документы. Документация требует правильного хранения и каналов распространения, так как она должна отвечать тем целям, с которыми она была создана. В статье говорится об опыте недавно законченной работы с документацией ТРС Республики Сьерра-Леоне. Речь идет о доступе к информации, которую население и организации гражданского общества могут требовать от государства за счет выполнения

рекомендаций ТРС. Учреждения по управлению информацией, такие как Национальный архив Либерии и библиотеки, либо независимые учреждения должны быть оснащены в таком виде, чтобы позволить им заниматься управлением информацией. Архивы ТРС являются национальной историей и коллективной памятью о военных преступлениях. ТРС Либерии было основано для документирования преступлений, которые были совершены против гражданского населения в 1979–2003 гг. Управление переработанной информацией представляет особую важность для процессов демократизации, оздоровления общества и установления дружеских отношений.

## **Заполнение пробела между защитой данных и хранением документов**

**Шэрон Александр-Гудинг,  
Инеке Дезерно  
(Sharon Alexander Gooding  
and Ineke Deserno)**

В завтрашнем мире то, как мы организуем и управляем данными, что мы производим, получаем, и поддерживаем, будет играть существенную роль в деле обеспечения устойчивого развития наших организаций и управлении рисками. Регулирующие требования поступают в изобилии, мы должны им подчиняться, и больше ни одно хранилище не может копить информацию в произвольной манере. Управляющие документацией больше не могут позволять себе держать данные, в частности личную информацию для другого вида использования кроме того, для которого они были получены. Это будет оказывать воздействие на остаточную информацию, которая накопится в архивах и добавлять новое значение принципу беспристрастности в пределах фондов. Кроме того, архивисты и делопроизводители должны следовать “за новыми правилами”, большинство которых часто изменяется и которые могут различаться по географическому или местному принципу.

Вообще, законодательство в области защиты данных базируется на правах человека

и стремится гарантировать индивидууму обеспечение тайны личной информации. Оно сосредотачивается на структурированных ручных файлах и электронной обработке таких данных. Чтобы следовать требованиям и принципам, воплощенным в таком законодательстве, архивисты и делопроизводители должны будут дополнить свои процедуры и процессы, чтобы гарантировать, что любая личная информация получена и обработана справедливо, что эта информация сохранена только для первоначальных целей, что она хранится надежно и безопасно в соответствии с современными требованиями, что она не будет храниться дольше, чем это требуется, и что в ее отношении будут применяться все соответствующие правила доступа. Отказ от выполнения любой из этих мер влечет за собой санкции, в том числе денежными штрафами и заключением под стражу.

Принимая во внимание ту критическую роль, которую архивисты и делопроизводители играют как администраторы и хранители документального наследия, и необходимость иметь дело с несметным числом инструкций и установленных законом требований, авторы этого доклада намереваются выдвинуть на первый план некоторые “правила и инструкции”. Первая часть этого доклада авторства Шэрон Александр-Гудинг посвящена детальному рассмотрению проблемы тайны личной жизни и защиты личных данных. В ней освещены ключевые принципы, обязанности, и терминология из области защиты данных, а также потребности в модернизации некоторых жизненных процессов и процедур, которые мы выполняем в рамках получения информации, в процессе ее обработки и сохранения для доступа, чтобы выполнять новые и когда-либо-изменяющиеся регулирующие требования. Во второй части доклада от Инеке Дезерно затронуты вопросы защиты личных данных на европейском уровне с акцентом на ключевые пункты соответствующего законодательства Европейского союза. Кроме того, будут рассмотрены деликатные отношения в области законодательства о защите персональных данных в ЕС и доступа к документам

(или свобода информации).

## **Архивы переселения жителей района строительства Дамбы трех ущелий на реке Янцзы: краеугольный камень для управления и развития**

**Ван Янмин (Wang Yanmin)**

Переселение населения в результате реализации проекта строительства Дамбы трех ущелий на реке Янцзы в Китае затронет приблизительно 1.35 миллиона человек. Архивы, связанные с проектом переселения, чрезвычайно важны: для документирования результатов переселения, для защиты прав переселяемых людей и обеспечения будущих поколений сведениями об их семьях, для поддержки правительственных учреждений в проведении политики на основе документальных свидетельств и решений. Признавая важность этих архивов, государство предприняло различные меры, включая специальные инструкции, контроль за реализацией проекта, а также и ресурсы для гарантии того, что архивы будут собраны, упорядочены и сделаны доступными.

## **Доставка особого значения: Раскрыть послание об архивах Северной Америки.**

**Шелли Суини (Shelley Sweeney)**

Архивисты пришли к выводу, что продвижение архивов имеет огромное значение для обеспечения общественного признания, для моральной и финансовой поддержки. Ассоциации профессиональных архивистов в Северной Америке продвигали архивы, в то время как общества специалистов, такие общества, которые представляют адвокаты, инженеры и доктора были исключительно заняты своей работой. Канадские архивные ассоциации создали веб-страницы с ресурсами, конференциями, презентациями, радио шоу, разработали успешную «Декларацию по архивам Квебека», которая просит государственных членов о содействии в обеспечении гарантии того, что

управление архивами представляет ценность и что архивы находятся в сохранности и стали доступными. Общество американских архивистов объявило проведение Архивного месяца за счет набора, который предоставляет постеры и ресурсы архивистам для презентации их документов через блоги, PCC, ссылки в Википедии, Youtube, Flickr и Footnote. com, используя возможности Веб 2.0. Все эти усилия по продвижению архивов недостаточно успешны, но по крайней мере борьба за признание того, что архивисты должны продвигать архивные документы и профессию архивиста выиграна.

## **Архивы сообществ: на службе у населения**

**Эндрю Флинн (Andrew Flinn)**

Доклад “Архивы и их сообщества: на службе у населения” посвящен некоторым современным дебатам относительно того, что известно в Великобритании как архивы независимого сообщества. В статье освещаются примеры деятельности архива сообщества. Наконец в контексте поиска поддержки устойчивого развития таких независимых, находящихся на содержании сообществ собраний, статья исследует, могут ли такие действия как программы помощи, обучение разнообразию, постопекунская поддержка рассматриваться как основные профессиональные архивные обязанности (по крайней мере в архивах общественного сектора) и если так, до какой степени они должны быть отражены в учебных планах архивных образовательных программ.

## **Российские архивы на службе общества**

**В.П.Козлов (Vladimir Kozlov)**

В докладе говорится об огромной роли архивов в современном информационном мире, особенно, в странах, переживших внутренние и внешние катаклизмы. Архивы являются важнейшим инструментом осмысления пережитого и реабилитаций.

XX век оказался для России веком гранди-

озных потрясений, и с середины 1980-х годов архивы оказались особенно востребованными, произошло расширение сферы использования.

В докладе приводятся данные о таких направлениях работы в рамках новых потребностей, как реабилитация жертв репрессий, выяснение судеб погибших во время Великой отечественной войны (1941-1945гг.) и военнопленных, документальное обеспечение выплаты компенсаций.

Документальное обеспечение реабилитационного процесса, социально-правовых запросов граждан России привело к созданию многочисленных баз данных.

Ныне возможности российских архивов почти адекватны запросам общества.



## دور الأرشيف، والإدارة، والتنمية

روس جيبز

Ross Gibbs

مقدمة الجلسة لإعداد القرينة التي تستوجب دعوة الأرشيفيين الوطنيين لمراجع عام، ومدقق في الشكاوى الحكومية، ومفوض خدمة عامة للتحدث في المجلس الدولي للأرشيف.

## الأرشيف والمدققون والمراقبة. تحالفات إستراتيجية

ديس بيرسون

Des Pearson

السياسات وحفظها أمران أساسيان للحكومة الشفافة المسؤولة. وفي أستراليا يتزايد عدد التحالفات الإستراتيجية بين الأرشيفات والسلطات الرقابية (أي تلك التي ترصد وتراجع أعمال الجهات التابعة للقطاع العام، والتي تحدد معايير الإدارة). فعلى مدى العقد الماضي أسفرت أعمال الرقابة عن التعرف على التحديات الكبرى في مجال إدارة السياسات الحكومية، بما في ذلك الافتقار للتخطيط الاستراتيجي، وإدارة السياسات الالكترونية، وعدم توافق التوجه مع المعايير القائمة. ومن خلال استعراض أجهز في 2008 مكتب المدقق العام لولاية فكتوريا وشمل ما يزيد عن مائة جهة، برزت القضايا ذات الاهتمام الأوسع في القطاع العام بكامله.

وإذا كان قد تم التعامل بالفعل مع بعض

من تلك الهموم من خلال التحالفات بين مديري السجلات، والمهتمين في مجال الإدارة، فإن مجتمع حفظ السجلات مطالب بمواصلة السعي لتحقيق الأهداف المشتركة مع السلطات الرقابية، وكذلك مواصلة تشجيع وضع إدارة السجلات على قائمة واهتمامات القطاع العام.

## الأرشيف والمدققون في الشكاوى - حلفاء طبيعيين

ليو دونلي

Leo Donnelly

يعد الأرشيفيون والمدققون في الشكاوى الحكومية حلفاء طبيعيين في قضية الحكومة الجيدة. أولاً: يساعد الحفاظ الجيد للسجلات (على النحو الذي يضطلع به الأرشيفيون) في تفادي حالات سوء الإدارة، الأمر الذي يقلل من احتمالات الحاجة إلى قيام المحققين في الشكاوى الحكومية لإجراء تحقيقات. ثانياً: تعين السجلات المحفوظة جيداً، المحققين في الشكاوى الحكومية في حال الحاجة إلى إجراء تحقيقات وبالعكس تعيق السجلات غير المحفوظة جيداً مثل تلك التحقيقات. يبرز هذا المقال الحجج في هذا الشأن بالتحقيقات التي تمت في كارثة الكهف اليوناني عام 1995م في نيوزيلندا. ويدعو المقال، الأرشيفيين إلى والمحققين في الشكاوى الحكومية إلى التعاون لتطوير مصالحهم المشتركة في سبيل تحقيق الإدارة الرشيدة.

## دور الأرشيف، وحلفاؤها، والتنمية

ريجو أي. لوا

Rigo A. Lua

وجهة نظر مفوض لجنة الخدمة العامة حول أهمية الحفظ الجيد للسجلات العامة، وكيف يمكن لمفوضي الخدمة العامة والأرشيفيين العمل معاً لتحقيق وتحسين الأداء في هذا المجال.

## سجلاتي وأنا - كيف يمكن لرابطة ما أن تساعد العاملين في الأرشيف على تثقيف المسؤولين؟

أليس جريبون

Alice Gripon

رغبة من الرابطة الفرنسية للعاملين بالأرشيف في زيادة بالقطاع العام وعي المسؤولين بمهنة الأرشيف، فقد وضعت يدها على طريقة تجعل الناس يتحدثون عنها: منشور يضم نصاً واضحاً داخل تصميم جذاب. فلتك المهنة موقع متدني من حيث وعي الجماهير بها، ومن ثم يتعين علينا تغيير طريقة اتصالنا بالجماهير إذا كان لنا أن نبقى ونزدهر. كما يتعين علينا تحسين الإدارة اليومية لدور الأرشيف، وبأسرع ما يمكن. فالعاملون بالأرشيف بحاجة إلى تبسيط وتوضيح مجمل ما يستخدمونه من مصطلحات تتعلق بمهنتهم، كما أنهم بحاجة إلى زيادة إتاحة ذلك العمل أمام الناس. وهكذا فقد بات من أولويات الرابطة جعل موظفي المستقبل في الخدمة المدنية خلال تدريبهم الأولي على درجة من الوعي تجعلهم يحسنون ممارسات إدارة السجلات باعتبار أن ذلك جزء لا يتجزأ من أعمالهم، شأنه شأن تعلم كتابة التقارير، أو فهم قواعد العمل بالقطاع العام ومسؤولياته. ومن الأدوات التي تسهل تلك المساعي ذلك المنشور بما يتضمنه من مدخل واضح ومشاريع مرتبطة وقد تم وصفها جيداً.

## إدارة السجلات الراهنة وشبه الراهنة كمساهمة للإدارة الجيدة في الدول النامية: نموذج وزارة الاقتصاد والمالية في السنغال

فاتو نجوم

Fatou Ngom

تبنت السنغال برنامجاً وطنياً جيداً للإدارة في عام 2001م، وتقوم وزارة الاقتصاد والمالية بتنفيذ سياسة وطنية في المجالات الاقتصادية والمالية حيث أنها مسؤولة وبشكل مباشر عن المكون الاقتصادي لذلك البرنامج. وفي يونيو 2003، وكجزء من البرنامج، قامت الحكومة السنغالية بالتعاون مع البنك الدولي بتجربة لتقييم نظام الإدارة المالية بغرض التعرف على كفاءة إدارة الموارد العامة وتحديد الإجراءات التصحيحية الملائمة. ولقد أسفرت تلك التجربة عن تحديد مواطن الفشل في إدارة الأموال العامة على كافة مستويات السلسلة المالية، ومن ثم طرحت اقتراحات لتحسين في تلك المجالات، بما في ذلك إدارة السجلات في وزارة الاقتصاد والمالية. ولقد أدى تنفيذ التوصيات اللاحقة إلى تشخيص وتقييم الاحتياجات العاجلة للوزارة في مجال إدارة السجلات ومن ثم فقد تم وضع خطة طوارئ لتحسين نظام إدارة السجلات. ولقد فتحت تلك الخطة الطريق إلى برنامج متوافق لحفظ الملفات وإدارة السجلات، حيث تم تشكيل لجنة فنية عُهد إليها بتنفيذ الخطة وتقديم المشورة في مجالات مثل نظم الإدارة الإلكترونية، وبناء القدرة على إدارة المعلومات

## إدارة السجلات في قطاع الشركات: هل المؤسسات المالية ملزمة بأهمية التقييد بالقوانين واللوائح ذات الصلة؟

زاوية محمد يوسف، وأم أسماء مختار

Zawiyah Mohammad Yusuf  
and Umi Asma' Mokhtar

تستهدف هذه الورق تحديد ما إذا كانت المؤسسات المالية في ماليزيا تلم بالقوانين واللوائح (قانون وتنظيم الشركات لعام 1966م؛ قانون المصارف وقانون المؤسسات المالية (BAFIA) لعام 1989م؛ وكتاب المصارف (قانون البيئة) المنظم لإدارة السجلات. تنحصر أهداف هذه



الدراسة في بحث ما إذا كانت المؤسسات المالية تتقيد بالقوانين واللوائح المذكورة؛ وما إذا كانت اللغة المستخدمة فيها مفهومة لدى الشركات التجارية، وما إذا كانت تلك المؤسسات تبنى المواقف الصحيحة تجاه إدارة السجلات. وشاركت عشر مؤسسات مالية في مسح نفذ عام 2005م. ولقد أوضحت النتائج أن المؤسسات المالية في ماليزيا ملزمة بالقوانين واللوائح. وبرغم ذلك لم تغطي تلك المؤسسات الأولوية لإدارة السجلات بسبب عدم وضع تلك القوانين واللوائح موضع التنفيذ. وأظهر المسح إقرار المشاركين في المسح بفوائد تبنى برامج لحفظ السجلات، غير أنهم لم يتخذوا الخطوات اللازمة لأنهم لم يروا أن هناك حاجة ملحة لذلك التوجه.

## إدارة الأرشيف والسجلات في بنجلادش: برنامج للحكم الديمقراطي

فلوراس جيراردتس

Florus Geraerdts

يتناول فلوراس جيراردتس الحالة الصعبة للأرشيف والسجلات في بنجلادش، وعمل إدارة الأرشيف والسجلات التي تسعى لزيادة الوعي بأهمية المحافظة الجيدة على السجلات، وعقد تحالفات إستراتيجية، ودعم بناء قدرات الجهات المنوطة بحفظ السجلات العامة والخاصة.

هل تتحاج بنجلادش لإدارة الأرشيف والسجلات؟ هذا هو السؤال الذي برز خلال تفكيري في كيفية جذب اهتمام زملائي وغيرهم من خارج نطاق العمل الأرشيفي، وذلك حتى يتسنى تطوير الأرشيف في بنجلادش. وثمة وقائع معينة ساعدت كثيراً في الإجابة عن ذلك السؤال. فإثناء عودتي إلى دكا على متن طائرة في رحلة داخلية في فبراير 1995، افتقدت آلة التصوير، ويبدو أنها قد سرقت. وعندما توجهت لإبلاغ الشرطة في منطقة كانتونمنت باحتمال السرقة، واجهت ضابطاً شاباً أبدى استعداداً لمساعدتي، لكنه لم يوفق في ذلك. واقتراب منا رجل أكبر سناً وقام بشرح المشكلة، وفي الوقت نفسه طرح حلاً لها. «هذا الشاب لا يعرف إجراءات التقدم بلاغ، ولا يعرف كيف يجد النماذج الصحيحة، وعلى ما يبدو ليس لديه السجل الخاص بتدوين البلاغات، لذا فقد ناولت صبي المكتب حفتة من التاكا (عملة بنجلادش) وأمرته أن يشتري ورقتين «ليتك تعلم أنه منذ مغادرة البريطانيين، وبصفة خاصة منذ استقلالنا والضباط الشبان لا يعرفون الإجراءات، فهم لا يدرون

كيف يدرون أجهزة الدول». وسردت تفاصيل السرقة، وفكرت في الخناصص. فهذا ضابط كبير متقاعد من الجيش ويعني تماماً المؤهلات التي يفترق إليها ضابط الشرطة الشاب، وهي عدم الدراية بأسلوب حفظ الوثائق في ملفات، وذلك على الرغم من أن الذاكرة الجماعية لا تزال تعني شيئاً عن تلك الإجراءات. وفي حالتي تلك كان الأمر لا يزيد عن آلة تصوير مفقودة، فما بالك بالبلاغات الأكثر خطورة، مثل القتل أو الاغتصاب؟ كيف يتسنى للقضاء أو هيئة تسجيل الأراضي العمل بشكل سليم دون أن يتوفر لهما سجلات يعتمد عليها؟ لقد نبهت الدكتور أن ثرستون (وهي من الأمانة الدولية لإدارة السجلات (IRDT) خلال مؤتمر المجلس الدولي للأرشيف في يوليو 2008 (والذي عقد في كوالالمبور) - إلى الحاجة للتكامل في إدارة الموارد البشرية، ومكافحة الفساد عن طريق التغلب على ظاهرة «العامل الشبح» (أي العامل المقيد بسجل الرواتب دون أن يكون له وجود فعلي، أو لم يعد يعمل بالمؤسسة، ويذهب راتبه إلى أطراف ثالثة فاسدة) لذا فإن جودة إدارة السجلات لدى أقسام الموارد البشرية بالوزارات، والكلية، والمستشفيات، والإدارات المالية توفر قدراً كبيراً من المال، وتضمن صرف الرواتب لمن يعملون فحسب. ولقد وفرت الأمانة الدولية لإدارة السجلات مثالاً على ذلك في حالة سيراليون، ولقد أعجبتنا جميعاً به نحن العاملون في برنامج إدارة الأرشيف والسجلات في بنجلادش (بنجلادشيون وهولنديون)، وازدنا يقيناً بالحاجة الماسة لإصلاح إدارة الأرشيف والسجلات حتى يمكن تخليص بنجلادش من الفساد.

## نموذج الحكومة الكورية المبتكر لسجلات رئاسة الجمهورية

لي يونج - تام

Lee Young-nam

تشرح هذه الورقة كيفية إعداد وتنفيذ النموذج المبتكر الذي أعدته الحكومة الكورية فيما بين عامي 2004، 2008م لإدارة سجلات رئاسة الجمهورية. وكانت خارطة الطريق لذلك المشروع قد وضعت في 2004م لدى تنصيب الرئيس السابق للجمهورية، رو مو-هيون، وتم إنجاز المشروع بالتحويل الناجح لسجلات ذلك الرئيس إلى الأرشيف الرئاسي في فبراير 2008م.

ولقد أثبت النموذج المبتكر نجاحه، والدليل على ذلك ما يلي: إنشاء الأرشيف الرئاسي الذي

يقوم بجمع وإدارة السجلات الخاصة بكافة الرؤساء السابقين، وصياغة قانون إدارة السجلات الرئاسية، والنقل التام لثمانى مليون ملف فى الهيئة الورقية والإلكترونية خلال الخمسة شهور من أكتوبر 2007 حتى فبراير 2008م.

ويدرج المؤلف عوامل نجاح المشروع على النحو التالى: فلسفة الرئيس ذاته والتزامه بمتابعة التجديد فى إدارة السجلات الرئاسية، والعمل الشاق الذى قام به الفريق الذى عهد إليه بتنفيذ المشروع، والتعاون الوثيق بين الأرشيف الرئاسي ومكتب الرئيس، والأرشيف العام، ومؤسسات إدارة السجلات. ويوضح المؤلف أن مشاركة المهنيين المدنيين فى إعداد وتنفيذ النموذج المبتكر أمر حيوى يساعد فى تحقيق هدف الوصول إلى صياغة السياسات والإدارة على أسس سليمة.

## دور الأرشيف وحلهاؤها

دانييل ويكمان

Danielle Wickman

كون الأرشيف الوطنى فى جزر سليمان تحالفات مع الحكومة بهدف تحسين أنظمة حفظ السجلات وعملياتها. وقد تميزت بعض تلك التحالفات بنجاح كبير بينما حققت تحالفات أخرى نجاحاً أقل. تنظر هذه الورقة إلى النتائج التي توصل إليها كل تحالف، وتبحث العوامل التي تؤدي إلى تحقيق التحالف الناجح.

## الذاكرة الرقمية للمجتمع: مشروع الأرشيف الوطنى

ماريا جوزيه جستو

Maria José Justo

وثائق الكاتب العدل عنصر أساسى فى دراسة التاريخ الحضرى من حيث كونها تشمل غالبية الأنشطة الخاصة بغالبية الناس فى إدارة كل من حياتهم العائلية، والمواقف التي يمكن وصفها بأنها غير عادية،، فى إطار السلوك خارج نطاق أعرف المجتمع. لذا فإن الإجراءات الخاصة بوثائق الكاتب العدل تمثل انعكاساً صادقاً للمجتمع عند أي وقت محدد. والهدف الأساسي من المشروع التعرف على المصادر الراهنة لوثائق الكاتب العدل (حالتها، وحجمها، ومداهها، ومواقعها) فى الدول الست والسبعون التي تعمل بنظام الكاتب العدل، وإمكانية الوصول لتلك المعلومات من أي نقطة

وفى أي مكان. ومن أهداف المشروع أيضاً توفير أوصاف موحدة ذات مستويات متعددة للأرشيفات الوطنية باستخدام المعيار الدولي لوصف الأرشيف (ايسادج)، وإعداد دليل عام على أساس الموضوع، والدول، ونوع المعاملات القانونية، وأسلوب التوثيق. وثمة خبرة قائمة فى مثل ذلك العمل لدى الأرشيف الجامعي التاريخي فى سانتياغو دي كومبيليا، والذي تتضمن مقتنياته السجلات الوثائقية لإقليم كورنوا، وهذه يتم توصيفها ورقمنتها. وتلك الأنشطة نفع مزدوج، فهي تصل بالإتاحة إلى أعلى الدرجات من ناحية، ومن ناحية أخرى تحافظ على الوثائق الأصلية.

## عندما يمتد التعاون الدولي إلى الأرشيف: مثال تونس

كريستوف جيكوبس

Christophe Jacobs

يخصر برنامج المفاوضات الأوروبية للتعاون الخارجي (يوروب إيد) جزءاً من ميزانيته لمشروعات تتعلق بتحسين الحكم باعتبار أن ذلك ضمان للحقوق الأساسية.

ويهدف بعض من تلك المشروعات إلى دعم قدرات النظام القضائي للدول، ويتضمن ذلك أغراضاً تتعلق بإدارة الأرشيف. ولقد تم ذلك بالفعل فى عدد من الدول منها المغرب، وتونس حالياً. وبالإشارة إلى وزارة العدل وحقوق الإنسان فى تونس، تبرز هذه المقالة، التحديات التي تواجه مثل تلك المشروعات، ومنها التعاون بين الأرشيفات المحلية والخارجية، ومخاطر التداخل الأرشيفي، ونقل المهارات والمعارف الأرشيفية.

## إتاحة المعلومات ودمقرطتها: توثيق فظائع الحرب بواسطة لجنة الحقائق والمصالحة.

بروسكوفيا سفارد

Proscovia Svärd

ينبغي أن تتضمن عملية إعادة البناء فى فترة ما بعد الصراع فى ليبيريا إنشاء بنية تحتية معلوماتية مع انطلاق لجنة الحقائق والمصالحة، وذلك من أجل تعزيز نشر ما توصلت إليه تلك اللجنة، وتبصير المواطنين به.

وكان ينبغي أن تضم اللجنة بين أفرادها عدداً

من الأرشيفيين وإحصائي المعلومات التي تتولد عن أعمال اللجنة. ولسوف تفرز عملية التوثيق الدائرة حالياً وثائق مركبة، ولذا فهي بحاجة إلى إمكانات للحفظ وقنوات للنشر إذا كان لها أن تحقق الأغراض التي قامت من أجلها. ويبنى هذا المقال على خبرات تراكمت من جراء الأعمال التي أنجزتها مؤخراً لجنة الحقائق والمصالحة. ومن خلال إتاحة المعلومات يتسنى للمواطنين ومنظمات المجتمع المدني استجواب الحكومة حول تنفيذ توصيات اللجنة. ولسوف تكون مؤسسات إدارة المعلومات (مثل الأرشيف الوطني الليبيري، والمكتبات، أو أي هيئة مستقلة للمتابعة) بحاجة إلى توفير الآليات والأدوات الكفيلة بتمكينها من إدارة المعلومات. فأرشيف اللجنة جزء من السجل الوطني والذاكرة الجماعية التي تعري فظائع الحرب، فقد شكلت لجنة الحقائق والمصالحة من أجل توثيق الفظائع التي ارتكبت ضد السكان المدنيين فيما بين 1979، 2003م. وإدارة المعلومات المتولدة عن ذلك التوثيق أهمية كبرى بالنسبة لعمليات العلاج، ونشر الديمقراطية، والمصالحة.

## تضييق الفجوة بين حماية البيانات وحفظ السجلات

شارون ألكسندر جونج و آينيك ديزرنو

Sharon Alexander-Gooding  
and Ineke Deserno

كيف يمكننا في عالم الغد أن ننظم وندير البيانات التي ننتجها وننقلها ونحتفظ بها؟ هذا أمر حيوي بالنسبة لديمومة المؤسسات ذاتها وإدارة المخاطر، فالمتطلبات التنظيمية التي يتعين علينا الالتزام بها كثيرة، ولم يعد ممكنًا تخزين المعلومات بشكل مؤقت، كما لم يعد بوسع مديري السجلات الاحتفاظ بالبيانات - وبصفة خاصة المعلومات الشخصية - باستثناء تلك التي من أجلها تم الحصول عليها. ولسوف يؤثر ذلك في المعلومات الزائدة عن الحد والتي سوف تتراكم لدى الأرشيف مضيعة معنىً جديداً لمبدأ الحياد داخل المجموعات الواردة من ذات المصدر. ويضاف إلى ذلك أن الأرشيفيين ومدراء السجلات مطالبون باتباع "القواعد الجديدة"، وغالبية هذه القواعد يتغير باستمرار، كما أنها قد تختلف باختلاف الحدود والمواقع الجغرافية.

وبصفة عامة فإن تشريع حماية البيانات يقوم على حقوق الإنسان، ويسعى إلى ضمان حق الفرد في الخصوصية بالنسبة للمعلومات الشخصية. ويرتكز التشريع على الملفات المهيكلية اليدوية،

والمعالجة الإلكترونية لتلك البيانات. وللوفاء بالمتطلبات والمبادئ المتضمنة في ذلك التشريع يتعين على الأرشيفيين ومدراء السجلات تعديل إجراءاتهم وعملياتهم لضمان توفير ومعالجة أي معلومات شخصية موجودة في السجلات العامة وبشكل عادل، وأيضاً لضمان الاحتفاظ بتلك المعلومات للأغراض المبينة فحسب - وبالمثل لضمان المحافظة عليها سليمة وأمنة ودقيقة وحديثة، وكذا لضمان عدم الاحتفاظ بها مدة أطول من اللازم على أساس الغرض الأصلي من جمعها، وأخيراً لضمان تطبيق حقوق إتاحة البيانات الشخصية. ولسوف يترتب على عدم مراعاة أي من تلك الإجراءات غرامات تشمل فيما تشمل غرامات مالية والسجن.

فيذا أخذنا في الحسبان الدور الحيوي الذي يقوم به الأرشيفيون ومدراء السجلات بصفتهم مديرين وأمناء على التراث الوثائقي، والحاجة إلى الالتزام بالعديد من النظم والمتطلبات القانونية بهدف مؤلفاً هذا البحث إلى إبراز بعض "القواعد والنظم". فالجزء الأول من هذا البحث وهو من إعداد شارون ألكسندر جونج) يطرح مدخلات تفصيلية حول حماية الخصوصية والبيانات الشخصية، ويبرز المبادئ والمسؤوليات والمصطلحات الأساسية فيما يتعلق بحماية البيانات، والحاجة إلى إعادة هندسة بعض العمليات والإجراءات الحيوية في مجال جمع المعلومات ومعالجتها والمحافظة عليها بحيث يمكن الدخول إليها، وذلك حتى يمكن الالتزام بالمتطلبات التنظيمية الجديدة دائمة التغيير أما الجزء الثاني من البحث (وقد أعده آينيك ديزرنو) فيناقش حماية البيانات الشخصية على المستوى الأوروبي، ويبرز النقاط الأساسية في تشريع الاتحاد الأوروبي. ويبحث هذا الجزء أيضاً العلاقة الحساسة بين حماية البيانات الشخصية لدى الاتحاد الأوروبي وتشريع إتاحة الوثائق (أو حرية المعلومات).

## إدارة الأرشيف الخاص بإعادة توطين السكان من منطقة ثلاثي سد جواجيز على نهر الينجتسي: مرتكز الإدارة والتطوير.

وايخ يانمين

Wang Yanmin

يتم إعادة توطين 1,35 مليون نسمة نتيجة لتنفيذ مشروع ثلاثي سد جورجيز على نهر الينجتسي في الصين ولالأرشيف المتعلق بتلك العملية أهمية كبرى من حيث تسجيل آثارها في المنطقة، وأيضاً

من حيث السكان المعنيين، وذلك حتى يتسنى الحفاظ على حقوقهم، وتبصير الأجيال القادمة حول عائلاتهم، وكذلك لدعم الإدارات الحكومية في صياغة سياسات واتخاذ قرارات قائمة على الشواهد والأدلة.

والدولة إذا تدرك أهمية ذلك الأرشيف قد اتخذت عدة إجراءات منها تحديد القواعد والنظم، ومراقبة تنفيذ المشروع، وتخصيص الموارد وذلك لضمان جمع الأرشيف وتنظيمه وإتاحته.

## استخلاص رسالة حول الأرشيف في أمريكا الشمالية

شيلي سويني

Shelley Sweeney

لقد تبين الأرشيفيون أن ثمة أهمية متزايدة للارتقاء بالأرشيف حتى يمكنه الظفر باهتمام المجتمع، ورفع الروح المعنوية والدعم النقدي وتعمل روابط الأرشيفيين المهنيين في أمريكا الشمالية على الارتقاء بالأرشيف، وفي الوقت نفسه تعمل جمعيات أخرى (مثل تلك التي تمثل المحامين، والمهندسين، والأطباء) على الارتقاء بمهنتها، وتكاد تقوم بذلك وحدها. والأرشيف بحاجة إلى مكانة أعلى قبل أن يمكن لمهنة الأرشيف أن تحظى بالاعتراف والتقدير. ولقد أنشأت روابط الأرشيف الكندية صفحاتين على الشبكة العنكبوتية، وهذه تتضمن الموارد، والمؤتمرات، والمعارض، والبرامج الإذاعية. كذلك فقد صاغت "إعلان كيويك حول الأرشيف"، وتلك خطوة ناجحة تماما، وتطالب أفراد الجمهور بالمساعدة لضمان الحصول على التقدير الكافي لإدارة الأرشيف، وأيضاً لضمان المحافظة على الأرشيف وجعله متاحاً.

وقد نظمت جمعية الأرشيفيين الأمريكيين ما عُرف بـ (شهر الأرشيف)، وذلك من خلال حقيبة صغيرة تضمنت ملصقا وموارد للأرشيفيين لمساعدتهم على النهوض بالأرشيف. كذلك فقد قامت دور الأرشيف في الولايات المتحدة وكندا بجهود فردية تطوي على تجربة عرض سجلاتها من خلال منتديات الشبكة العنكبوتية (بلوج) وملخصات المواقع الثرية (آر.إس. إس) وما تتضمنه من مراجعات، والروابط مع دائرة المعارف الحرة (ويكيبديا) و "يوتوب"، و "فليكر" و "فوت نوت دوت كوم" باستخدام إمكانيات الويب 2.0، ولقد حققت كل تلك الجهود الترويجية نجاحاً متواضعاً ولكنها شكلت خطوة هامة على طريق الاعتراف بحيث يمكن القول بأن الأرشيفيين قد كسبوا تلك المعركة.

## الأرشيفات ومجتمعاتها: خدمة الناس

آندرو فلين

Andrew Flinn

يوضح هذا المقال بعضاً من الحوارات المعاصرة حول نمو وأثر ما يعرف في المملكة المتحدة بالأرشيفات المستقلة للمجتمعات والمشاركة.

ويعتمد المقال جزئياً على بحث تم في كلية لندن الجامعية (بتمويل من مجلس بحوث الفنون والعلوم الإنسانية بالمملكة المتحدة)، وي طرح أمثلة لأنشطة الأرشيفات المجتمعية. وفي إطار السعي لدعم ديمومة مثل تلك المجموعات المستقلة والتي هي بحوزة المجتمعات يستشرف المقال ما إذا كانت أنشطة مثل التواصل مع المجتمع، والتدريب على التنوع، والدعم في مرحلة ما بعد الخدمة يمكن اعتبارها ضمن المسؤوليات الأرشيفية المهنية ( في أرشيفات القطاع العام على أقل تقدير). وإذا كان الأمر كذلك فإلى أي مدى ينبغي أن تنعكس في مناهج وبرامج التعليم الخاصة بالأرشيف؟

## الأرشيف الروسي في الخدمة العامة

فلاديمير كوزلوف

Vladimir Kozlov

تركز هذه المقالة على الدور الرئيسي الذي يلعبه الأرشيف في عالم المعلومات الحديث، خاصة في الدول التي مرت بتغيرات جوهرية على المستويين الداخلي والخارجي. فالأرشيف هو الأداة الهامة التي تمكن من فهم تلك الخبرات والتغلب على آثارها. ولقد كان القرن العشرين فترة تحولات كبرى في روسيا، ومنذ منتصف ثمانينيات القرن الماضي ازدادت الحاجة للأرشيف، وبدأ التوسع في طرق ومجالات استخدامه. وتوضح المقالة كذلك التحديات في إطار تلك المتطلبات الجديدة: تأهيل ضحايا القمع، وتوضيح ما حدث لمن سقطوا خلال الحرب الوطنية العظمى (1941-1945)، وأسرى الحرب، وسداد التعويضات للمعتقلين، ولقد أدى توثيق عملية التأهيل تلك، والعدد الكبير من التحقيقات القانونية الفردية إلى تكوين عدد كبير من قواعد البيانات. فمنذ أواخر تسعينيات القرن الماضي تغير الموقف، وبات للأرشيف الروسي مقدرة تفوق تقريباً لوفاء باحتياجات المجتمع.

# 摘要

## 档案及其联盟—文件管理与善治引言

罗斯·吉布斯 (Ross Gibbs)

本大会的引言介绍了国家档案馆馆长会议为什么邀请总审计员、政府监察员和公共服务专员向国际档案理事会致辞的背景。

## 档案，审计员和职责—战略联盟

德·皮尔森 (Des Pearson)

文件和文件保管是透明政府、责任政府的基础。在澳大利亚，档案馆和“监管机构”（亦即那些围绕公共部门服务机构和阐释管理标准的评审和监督机关）之间战略联盟的数量与日俱增。过去十年中，审计工作对政府文件管理而言是最重要的挑战，包括缺乏战略规划、电子文件管理，以及与现行标准的指导不一致。维多利亚州审计署2008年对100多家服务机构的评审凸显遍及公共部门更为广泛的利益问题，其中一些问题已通过文件管理者和管理专家联盟提了出来。文件保管行业必须继续致力于与“监管机构”共同达成那些目标，继续促使文件管理融入公共部门评审议事日程之中。

## 档案和政府监察员—天然的联盟

利奥·唐尼利 (Leo Donnelly)

档案工作者与政府监察员在善治过程中应携手合作。首先，正如档案工作者倡导那样，有效的文件管理能防止暴政事件，从而可能减少政府监察员的调查量；其次，即便开展调查，有效的档案管理可以为政府监察员提供帮助，反之，缺乏有效的档案管理会阻碍此类调查。本文以1995年新西兰克里克惨案为例阐明了该观点，呼吁档案工作者与政府监察员积极合作，共同加强管理。

## 档案、管理与发展—未来社会的写照

里高·刘 (Rigo A. Lua)

公共服务委员会(PSC)专员对公共文件管理重要性、档案工作者和公共服务专员如何合作并取得成效的看法。

## “文件和我”—协会如何帮助档案工作者培训官员

爱丽丝·格里朋 (Alice Grippon)

法国档案工作者协会找到了一种让公共部门更关注档案行业的方法：出版了一

本文本清晰、版式引人注目的宣传册。在公众意识中，档案行业排名靠后，想要生存和发展以及尽快提高档案的日常管理，我们就必须改变沟通方式。档案工作者需要简化和明确专业术语，使工作更易“理解”。因此协会首先要做的就是让未来的公务员通过培训了解如何将良好文件管理方法纳入工作，同时学习如何编写一份报告或了解公共部门的规则和责任。促成此事的方法已落实，宣传册介绍了具体的办法和相关的新项目。

## 现行和半现行文件的管理 对发展中国家善治的贡 献——以塞内加尔经济和财 政部为例

法图·恩戈姆 (Fatou Ngom)

塞内加尔在2001年通过了一项全国善治方案。经济和财政部 (MEF) 负责在经济和金融领域贯彻落实国家政策，因此，它直接负责该善治方案中的经济组成部分。2003年6月，作为方案的一部分，塞内加尔政府与世界银行和其他发展伙伴合作，进行了公共财政管理制度的评估工作，以评估管理公共资源的效率和进行适当的纠正措施。这项评估工作确定了公共财政管理制度在各级财政链的主要缺失；在某些方面的改善建议，包括经济和财政部的文件管理系统。对经济和财政部的评价是迫切需要加强文件管理，随后制定了一个应急计划，以改善文件管理系统。该计划开辟了统一归档的文件管理的道路，设置了一个技术委员会负责实施该计划，在诸如电子管理系统相关领域给予指导，培养信息管理人员的能力。

## 马来西亚企业档案管理— 金融机构是否了解遵守相 关法令和法规的重要性

札维亚·穆罕默德·尤索夫  
海·艾斯玛·莫达  
(Zawiyah Mohammad Yusof  
and Umi Asma' Mokhtar)

本文旨在确认马来西亚金融机构是否了解有关文件管理的法律和法规[公司法与条例1996；银行法和与财政机构法(BAFIA) 1989；银行家登记簿（证据法1989）和证据法]。本项研究的目标是调查金融机构是否遵守已有的法令和法规；对商业而言，法令和法规的措辞是否可以理解；以及这些机构对文件管理是否采取了正确的姿态。10个金融机构参与了2005年进行的调查。结果显示，马来西亚金融机构熟知相关法令和法规。不过，由于缺乏相关法令和法规执行力度，文件管理并没有得到优先考虑。答卷者认同开展文件管理的益处，但因需求看上去不那么紧迫而没有采取适当的措施。

## 孟加拉国档案和文件管理 (BARM) —民主施政纲领

弗洛鲁斯·杰拉茨 (Florus Geraedts)

介绍了孟加拉国档案和文件管理存在的问题以及开展的工作：努力提高对文件管理重要性的认识，建立战略联盟，为公共和私人的文件保管提供支撑。

## 韩国政府总统文件的创新 模式

李永南 (Young-nam Lee)

本文对韩国政府总统文件创新模式的设计、建立及于2004年至2008年初付诸实践进行了说明。总统文件创新路线图起草于2004年前总统卢武铉就职典礼，完成于2008年2月成功地将卢武铉的总统文件移交给总统档案馆。总统文件创新模式已被下列证据证明是成功的：总统档案馆收集和管理了所有前总统的文件；制定了总统档案馆管理法；2007年10月至2008年2月5个月间，完

成了800万份纸质文件和电子文件的移交。总统文件创新模式成功的关键因素作者列出如下：总统本人的理念和对总统文件管理创新的追求；创新工作组的辛勤工作；与总统档案馆、总统办公室及公共档案和文件管理机构的密切合作。创新模式中民间专业人士的参与，对于实现基于治理的政策制定和管理这一目标也是至关重要的。

## 档案及其联盟

丹妮尔·威克曼  
(Danielle Wickman)

在所罗门群岛，国家档案馆与政府联合，共同改善文件管理系统和过程。有些联合非常成功，有些尝试却非如此。本文对每个合作的绩效进行了分析，研究出导致合作成功的因素。

## 社会数字记忆：公证档案项目

玛丽亚·约瑟·贾斯多  
(María José Justo)

公证文件对于城市历史研究极为重要，它记录了大多数人的大部分活动，包括应对“平凡生活”或“特别”情况，以及社会传统标准之外的行为。公证是会在任何时刻的忠实反映。这个项目的目标是对于76个国家现存公证原始资料的状况（其保存条件、规模、范围和保存地点）做出专业评估，确认无论何时何地利用公证信息的可能性。该项目想用国际档案著录标准，对所有公证档案进行统一的多层次著录，并按主题、国家、法律事务类型和文献类型编制一本通用分类词典。圣地亚哥德孔波斯特拉大学历史档案馆在这项工作上有现成的经验，其馆藏包括科罗涅省的公证文件，这些文件正在进行著录和数字化。这些活动有双重成效：一方面优化利用，另一方面保护原件。

## 何时档案界引入国际合作机制：突尼斯实例

克里斯托弗·雅各布  
(Christophe Jacobs)

欧洲委员会外部合作计划（欧援）从预算中拨出一部分款项给相关项目以提高管理水平作为对基本权利的保障。其中一些项目旨在加强一国司法制度的容量，且把相关档案管理目标包含在内。这种情况已在一些国家发生，例如摩洛哥和现在的突尼斯。本文以突尼斯司法和人权部为例，阐明了这些项目所面临的挑战，例如：本地与外部档案工作者之间的协调、“档案介入”的风险，以及档案技巧和知识的传授。

## 信息的利用和民主化：利比里亚真相与和解委员会的战争暴行文献

普罗斯科维亚·斯韦德  
(Proscovia Svärd)

《真相与和解委员会(TRC)》开始着手信息基础设施建设，促使调查结果向市民公开应作为利比里亚战后重建的一部分。《真相与和解委员会》工作人员应包括档案工作者和信息专业人员，他们将有计划地管理不断生成的信息。不断生成的各种文件需要适当的保护设施和传播渠道，本文总结了塞拉利昂《真相与和解委员会》最近完善的文件处理经验。通过信息利用，公民和民间社会组织可以询问政府执行《真相与和解委员会》建议的情况。信息管理机构，如利比里亚国家档案馆、国家图书馆或独立的后续机构，需要配备装备以便能够从事信息管理。《真相与和解委员会》档案是国家的记录及对战争暴行的集体记忆。利比里亚《真相与和解委员会》的设立是为了证明1979年至2003年对平民犯下的暴行。管理这些文件对创伤的愈合、民主化进程以及和解进程至关重要。

## 弥合数据保护和文件管理之间的差距

莎伦·亚历山大古丁伊内克·德瑟诺  
(Sharon Alexander-Gooding  
and Ineke Deserno)

未来如何组织和管理我们生成、接收和维护的数据对机构的可持续性和风险管理至关重要。监管要求大量存在，我们必须遵守这些要求，再也不能以特定方式存储信息。除非所获得的信息，特别是个人信息是以利用为目的，否则文件管理者再也不能保管利用这些数据。这将影响到其它信息，它们是档案馆自然增加的，为全宗内公正原则补充了新的意义。此外，档案工作者和文件管理者必须遵循的“新规则”大部分是经常变化的，并且“新规则”可能随地理位置而不同。

一般而言，数据保护法基于人权和寻求确保个人隐私权。它着重于结构化的手工文件和此类数据的电子化处理等。为了履行法规的要求和原则，档案工作者和文件管理者不得不修正其程序和过程，以确保任何政治实体的个人信息得到公平地获取和处理，确保这些信息仅用于所规定的原用途，确保保管得安全、可靠、准确和得到及时更新，确保按规定时间保管、不超时，以及保证个人数据的利用权利。未履行任何这些措施将受到包括罚款和监禁在内的制裁。

记住档案工作者和文件管理者肩负着文献遗产的管理和保管的重任，必须遵守的条例、法令繁多，本文的作者有意突出一些“规则和条例”。本文的第一部分由莎伦·亚历山大古丁主笔，将提供详细的有关隐私和个人数据保护方面的信息。将突出数据保护的重点原则、职责和术语，信息捕获、处理、保护和利用一些重要程序和步骤重新设计的需求，以适应新的和不断变化的监管要求。本文的第二部分由伊内克·德瑟诺主笔，将讨论欧洲的个人数据保护，强调欧盟立法要点。此外，将着眼于欧盟个人数据保护和文献利用（或信息自由）法之间的微妙关系。

## 长江三峡工程移民档案管理——治理和发展的基石

王燕民 (Wang Yanmin)

中国长江三峡工程带来约135万的移民。与移民安置规划相关的档案是极为重要的：记录了相关安置地和人口的影响；移民权利的保护，让移民后代了解他们的家庭；以及为政府行政部门制定以事实为依据的政策和决定提供支撑。认识到这些档案的重要性，国家已采取各种措施，包括具体的规定、工程监测和办法，以确保档案的收集、整理和利用。

## 特别传递：来自北美档案的讯息

谢莉·斯威尼 (Shelley Sweeney)

档案工作者意识到，提升档案的地位以保证社会认可、鼓舞士气和资金支持越来越重要。在北美，档案工作者专业协会一直在推动档案事业，而其他专业协会，如律师、工程师、医生，几乎是完全致力于提升自身的事业。但在档案界，只有进一步提高档案的知名度，胆敢行业才能得到认同。加拿大档案协会创建了载有资源、会议、展览和电台节目的网页，并成功开展了“魁北克档案宣言”活动，要求市民重视档案管理，确保档案得到妥善保管和利用。美国档案工作者协会通过一个向档案工作者提供海报和资料的插件来宣传档案，开展“档案月”活动。美国和加拿大各档案馆已经尝试通过采用Web 2.0功能的博客、RSS feeds、维基百科链接、YouTube、Flickr以及Footnote.com介绍他们的文件。所有这些推广工作还算成功，至少档案工作者认识到必须宣传档案和档案工作者这一战斗已经取得胜利。

## 档案与社区：为人民服务

安德鲁·弗里恩

(Andrew Flinn)

“档案与社区：为人民服务”概述当代热议的有关英国独立社区档案馆的发展及其巨大影响等问题。本文部分以伦敦大



学的研究为基础，英国艺术与人文研究会提供经费支持，文章将提供各种社区档案活动实例。最后，基于寻求此种独立社区档案模式的可持续发展，文章将探讨诸如外展服务、多样性培训、后监护支持等活动是否现在应视为档案专业的核心职责（至少在公共部门档案馆是如此）。如果如此，这些活动在档案教育课程计划中应反映到何种程度。

## 俄罗斯档案馆在公共服务中的作用

弗拉基米尔·科兹洛夫

(Vladimir Kozlov)

文章着重论述了档案馆在现代信息世界所发挥的重要作用，特别是在经受了国内外大灾难的国家。档案是了解灾难经历和灾害恢复最重要的途径。二十世纪是俄罗斯最动荡的时期之一，80年代中期已显现出对档案的巨大需求，并且利用方式也得到拓展。文章强调了新需求框架下的挑战：被镇压者的平反昭雪，卫国战争（1941-1945）阵亡者和战俘的认定，对被拘留者的赔偿金支付。记录平反昭雪过程的文件，以及大量的个人和法律咨询，导致了大量数据库的建立。由于90年代后期形势发生了变化，如今俄罗斯档案馆的潜力几乎满足了社会的需要。



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*Comma* (ISSN 1680-1865) is published two or three times a year. It is distributed free of charge to all members of the International Council on Archives (ICA). Separate subscription is not currently possible.

*Comma* (ISSN 1680-1865) paraît deux ou trois fois par an. Il n'est envoyé gratuitement qu'aux membres du Conseil international des archives (ICA). Il n'est pas possible de s'abonner actuellement.

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### **Thanks**

#### **Merci**

Many thanks to our colleagues for the preparation of this issue and also to those who kindly gave their time and skills to translate articles or abstracts.

Merci à tous les collègues qui nous ont aidés à préparer ce numéro. Merci aussi à ceux qui ont apporté leur aide et leurs compétences pour traduire des articles et résumés.

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### **Impression**

DÉJÀ-GLMC, Parc d'activités Les Doucettes, 23 avenue des Morillons, 95146 Garges-lès-Gonesse cedex, France.



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**Governance,  
development  
and strategic  
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The overall theme of the 2008 ICA Congress, "Mapping Future Society", was broad enough to encompass papers ranging across the entire spectrum of archives, from their management as objects, to the role of recordkeeping from the widest social and cultural perspectives. This first of two Congress volumes focuses on the role of effective recordkeeping as the keystone for accountability and good governance in public administration and civil society, and on the partnerships which must be made to enable this.

*The Congress volumes are appearing in hard copy, as part of our new policy of publishing ICA's professional journal in print, in response to the needs of our members. After four years of electronic-only publication, the first volume to appear in print was 2007-3/4. From this issue onwards, two volumes of Comma will be published annually.*

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KUALA LUMPUR**

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développement  
et alliances  
stratégiques**

Le thème général du Congrès 2008 de l'ICA, « Bâtir la société du futur », était suffisamment vaste pour englober des interventions couvrant tout le spectre des archives, depuis leur gestion en tant qu'objets jusqu'au rôle de l'archivage du point de vue social et culturel. Ce premier des deux volumes consacrés au Congrès est centré sur le rôle d'un archivage effectif en tant que pilier pour la responsabilisation et la bonne gouvernance dans l'administration publique et dans la société civile, et sur les partenariats qui doivent être établis pour y parvenir.

*Les volumes du Congrès paraissent au format papier, conformément à notre nouvelle politique de publication imprimée de la revue, afin de répondre aux besoins de nos membres. Après quatre ans de publication uniquement électronique, le premier volume paru au format papier était le 2007-3/4. À partir de ce numéro, deux volumes de Comma paraîtront chaque année.*

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